



Comptroller of the Currency  
Administrator of National Banks

US Department of the Treasury

## Biographies

### **Ellen Broadman** **Director for Securities and Corporate Practices**

Ellen Broadman is the Director of the Securities and Corporate Practices (SCP) Division, Office of the Chief Counsel in the Office of the Comptroller of the Currency (OCC).

In this position, Ms. Broadman is responsible for providing legal counsel and support on a broad range of issue areas, including capital markets, permissible bank investments, securities, derivatives, structured transactions, securitization, fiduciary matters, investment advisory activities, corporate governance, director and shareholder issues, corporate activities, functional regulation, annuities and insurance, debt cancellation contracts, tying, and bank powers. SCP drafts interpretive letters, corporate decisions and circulars, handles securities enforcement matters, and assists with regulatory and legislative matters.

She joined the OCC in 1984 in the Litigation Division and handled a number of major enforcement actions against national bank officers before moving to the SCP in 1987 as an Assistant Director. In 1989, she became the Director of SCP.

Ms. Broadman received a juris doctor from Northeastern University School of Law and bachelor of science from the University of California at Los Angeles.

