



August 21, 2025

U.S. Securities and Exchange Commission  
Attention: Honorable Paul S. Atkins, Chairman  
100 F Street, N.E.  
Washington, D.C. 20549-1090

Re: NSCP Proposal for the Creation of the SEC Compliance Advisory Committee

To the Honorable Paul S. Atkins:

Thank you for the opportunity to offer this proposal for the establishment of a Compliance Advisory Committee ("Committee") within the Securities and Exchange Commission. The National Society of Compliance Professionals ("NSCP") is submitting the attached framework to advance the creation of the Committee, outline its purpose, composition, and scope, and highlight the value to the SEC and to the broader financial services industry. In advancing this framework, NSCP has obtained the support of the Financial Services Institute, Investment Advisers Association, and Insured Retirement Institute.

This initiative underscores NSCP's commitment to elevating the compliance profession and fostering collaboration between industry stakeholders and regulators. The proposed Compliance Advisory Committee is envisioned as a platform to provide expert guidance and recommendations to the SEC on compliance-related issues affecting broker-dealers, investment advisers and other similar regulated entities. The committee would serve as a conduit for industry perspectives, identifying practical solutions to enhance compliance processes, mitigate risks and address regulatory priorities.

As a long-time supporter of the compliance profession and its benefits to the financial services and investment industry, we thank you and the Commission for considering our request for the creation of the Compliance Advisory Committee, and the NSCP would welcome the opportunity to meet with the Commission and its staff to discuss our request. Please do not hesitate to contact me, [lisa@nscp.org](mailto:lisa@nscp.org) or (860) 419-5007 with any questions regarding this letter and the related proposal.

Respectfully yours,

A handwritten signature in blue ink that reads "Lisa Crossley".

Lisa Crossley, Executive Director and CEO  
National Society of Compliance Professionals

CC: Vanessa Countryman, Secretary, SEC  
Honorable Caroline A. Crenshaw, Commissioner, SEC  
Honorable Hester M. Peirce, Commissioner, SEC  
Honorable Mark T. Uyeda, Commissioner, SEC  
Karen Barr, President and CEO, Investment Advisers Association  
David Bellaire, Executive Vice President and General Counsel, Financial Services Institute  
Jason Berkowitz, Chief Legal and Regulatory Affairs Officer, Insured Retirement Institute  
Patrick Hayes, Chair, National Society of Compliance Professionals, Board of Directors

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**National Society of Compliance Professionals**

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