Senior Advisors

Charles L. Bennett

Charles L. Bennett, Esq., JD, LLM,
Senior Vice President, Intercom Consulting

Charles has more than 25 years experience in the securities markets and in capital formation activities. Previously he was Vice President, Compliance, for Hornor, Townsend & Kent, Inc. He was responsible for developing supervisory, compliance and management oversight systems for a broker dealer and investment advisor with a nationwide distribution system of more than 1,300 brokers and 46 branch offices.

He started his career on the options trading floor of the Pacific Stock Exchange, San Francisco, CA. He then became a member of the staff of the Corporate Financing Department of the NASD in Washington, DC, where he eventually became Department Director in 1991. He directed operations of a 31 employee department that reviewed over 2200 offerings each year raising approximately $355 billion. He was responsible for staffing, systems technology development, strategic planning, and supervision of department that generated approximately $18 million in revenues annually.

After leaving the NASD in 1998 he has associated with three broker dealers, where he has managed syndicate (“IPO”) activities and has acted as counsel and compliance officer. In all these roles he has acted as the business liaison and evaluated, developed or supervised the development of information systems and networks that captured and transmitted sensitive regulatory information between regulated entities and broker dealers registered under the Securities Act of 1934. Charles is a graduate of the University of South Florida and received his Juris Doctor degree from the University of San Francisco, School of Law. He then went on to receive his Masters of Law, Securities from Georgetown University Law School in Washington D.C.   F. Lee Liebolt, Jr.

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F. Lee Liebolt, Jr.’s career as a corporate and securities lawyer has given him a broad knowledge of the capital markets and considerable experience with the development of many innovative financial products and the public and private offering process. Concentrating in the area of broker-dealer and investment adviser regulation, Mr. Liebolt regularly advises investment banks, broker-dealers, investment advisers and private investment entities on federal and state regulatory matters, including disclosure and registration issues and rule-making initiatives of the various regulators. Mr. Liebolt also consults on enforcement and litigation matters involving broker-dealers, investment companies and investment advisers.

Mr. Liebolt has written and lectured extensively on securities law issues. He is the author of a chapter in The Investment Company Regulation Deskbook and has contributed numerous articles to various legal publications. Mr. Liebolt has been a panelist at legal seminars sponsored by Practising Law Institute, Southern Methodist University, the American Bar Association and the North American Securities Administrators Association. Mr. Liebolt is a member of the Federal Regulation of Securities Committee and the State Regulation of Securities Committee of the ABA and formerly served as chairman of the latter committee. He has been a member of several industry advisory committees.

Mr. Liebolt was a partner in Sidley Austin Brown & Wood LLP and certain predecessor firms, where he practiced from 1967 to 2005. From 2005 to 2006, he was senior counsel at Harkins Cunningham LLP. Presently Mr. Liebolt maintains his own law office. He received his law degree from The University of North Carolina at Chapel Hill and his Bachelor of Arts degree from the University of Pennsylvania. He is a member of the New York Bar.