

Marshall Gandy is a Senior Officer and Co-Acting Regional Director in the Fort Worth Regional Office of the Securities and Exchange Commission. Mr. Gandy leads a staff of forty-five accountants, examiners, attorneys, and support personnel responsible for examining broker-dealers, investment companies, investment advisers, hedge fund managers, private equity firms, municipal advisers and transfer agents in Texas, Oklahoma, and Arkansas. In addition, Mr. Gandy serves on the Executive Committee for the Office of Compliance Inspections and Examinations. He was privileged to receive the 2014 SEC Chair's Award for Excellence in Leadership.

From 1999 through 2007, Mr. Gandy was a Trial Attorney in the Fort Worth Regional Office with litigation responsibility for enforcement actions authorized by the Commission in United States District Courts involving violations the federal securities laws. Prior to returning the Commission, Mr. Gandy served as Senior Regional Counsel in Dallas District Office of the Financial Industry Regulatory Authority, where he was designated as a regulatory specialist in the area of Regulation D Offerings and Private Placements. In addition, Mr. Gandy has assisted several United States Attorneys' offices in the preparation and presentation of criminal prosecutions involving securities fraud and related offenses. Mr. Gandy began his legal career in Dallas, Texas as a County Criminal Court Judge and an Assistant District Attorney. He obtained his J.D. from the Southern Methodist University.

