NICOLAS A. ROCHA

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PROFESSIONAL SUMMARY

Versatile and results-driven Business Development Professional with over a decade of experience in the financial services sector, specializing in strategic growth, sales technology optimization, and data-driven solutions. Adept at uncovering actionable insights and converting data into compelling narratives, I have significantly contributed to the growth of Broker/Dealer and RIA partners. Proficient in Salesforce, data analysis, data science, and pipeline reporting. I employ a consultative approach to problem-solving and multi-channel strategies to maximize outreach and develop tailored territory plans. I prioritize fostering robust relationships with stakeholders and driving cross-functional initiatives to align diverse business units toward common goals. Passionate about improving sales tools and processes to maximize productivity, efficiency, and revenue.

AREAS OF EXPERTISE

Agile & Project Leadership • Client Relationship Management • Data-Informed Decision Making • Data Visualization & Presentation • Financial Services Knowledge • Market & Competitive Intelligence • Proficiency in Data Science • Salesforce Optimization • SQL & Relational Database Management • Stakeholder Collaboration • Strategic Business Development

HIGHLIGHTS

- Led a cross-divisional Business Intelligence Team, enhancing client relations through targeted regional market data. This initiative directly contributed to $60 billion in North American sales during the COVID-19 pandemic, delivering vital reports to 850+ clients across nine industries.
- Leveraged prospect and competitor data to translate complex data analysis into intuitive presentations and collateral marketing materials, influencing critical stakeholder decisions and contributing to 20% growth in new client acquisition.
- Published an article on Medium, "The Evolution of AI: Your Super-Intern Might Stick Around Longer than the Summer," exploring AI in the financial services industry. The article received high engagement, with 100 views within 30 days.

DATA SCIENCE PORTFOLIO

Time Series Forecasting Application

- Created an interactive sales forecasting dashboard catering to diverse industries such as Energy, Construction, Telecommunications, and Oil and Gas.

EXPERIENCE

ASSOCIATION OF LATINO PROFESSIONALS FOR AMERICA (ALPFA), Philadelphia, PA **3/2023- Present**
Board Member, Career Fair Chair for ALPFA Convention

- Drive critical initiatives as an engaged board member, fostering 20% membership growth through data-driven engagement strategies.
- As the Career Fair Chair for the 2023 ALPFA Convention, cross-functional collaboration boosted student job placements by 30%.
- Utilize CRM and data analytics to optimize member engagement and event planning, leading to a 300% boost in member participation from 2022 to 2023.

AFFILIATED DISTRIBUTORS, Wayne, PA **7/2019-10/2022**
Business Development Associate

- Onboarded 50+ new clients across nine industries, contributing $1B in sales. Optimized processes by training leaders on Salesforce.
- Established a multi-industrial competitive intelligence unit, leveraging data analytics to influence $60B in sales.
- Partnered with marketing to capture market and competitor data, enabling strategic planning during COVID-19.
- Excelled in a leadership program, driving a 20% increase in new client acquisition.

WASMER SCHROEDER, a portfolio management service of Charles Schwab, Naples, FL **8/2015-6/2019**
Associate Director of Business Development

- Grew and managed the Mid-Atlantic region, increasing AUM by $150M.
- Led 50+ client events, elevating brand presence through immersive engagement.
- Managed communications and crafted targeted value propositions, converting prospects to clients by leveraging CRM systems.

FORTIGENT, LLC, an HNW platform of LPL Financial, Rockville, MD **1/2013-7/2015**
Associate Wealth Consultant / Associate Analyst, Research

- Served as the primary point of contact for Institutional and RIA clients, fostering partnerships and effective stakeholder engagement.
- Conducted training sessions and online portal demonstrations, integrating customer feedback into software updates to enhance user satisfaction.

PATHSTONE FEDERAL STREET, formerly Convergent Wealth Advisors (RIA), Potomac, MD **3/2011-1/2013**
Performance Reporting Analyst

- Managed performance reporting for $1.1B in institutional and private equity assets with 100% accuracy.
- Twice recognized for exemplifying core values of teamwork and customer service.

GRAYSTONE CONSULTING, an institutional consulting business of Morgan Stanley, Washington, D.C. **6/2008-3/2011**
Institutional Consulting Analyst

- Supported team overseeing $12B in AUM, conducting investment analysis for institutional clients.
- Developed portfolio allocation proposals and presentation materials.

EDUCATION

Bachelor of Business Administration (BBA), Finance, Marymount University, Arlington, VA
Certified Data Scientist for Business, Business Science University, Philadelphia, PA
Series 65 - Uniform Investment Adviser Law Examination (Expired)

CERTIFICATIONS

Business Science University, Philadelphia, PA

- **Data Science for Business Part 1**
- **Data Science for Business Part 2**
- **High-Performance Time Series Forecasting**
- **Shiny Web Applications Part 1**
- **Shiny Web Applications with AWS Part 2**

Northwestern University - Kellogg School of Management, Evanston, IL

- **Mastering Sales: A Toolkit for Success**

TECHNICAL SKILLS

CRM & Reporting: MS Office Suite, Salesforce
Database Management and Analysis: Customer Churn and Attrition Prediction, Customer Segmentation, Machine Learning, Shiny Web Applications, SQL Data Analysis & Database Management, Time Series Forecasting
Cloud & Version Control: AWS, Docker, Git