

NICOLAS A. ROCHA

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PROFESSIONAL SUMMARY

Versatile and results-driven Business Development Professional with 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 Salesforce 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. Re-selected for expanded leadership roles through 2024.
- 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.com

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