

# NICOLAS A. ROCHA

Philadelphia, PA  
240-486-5238

[Professional Website](#)

nckrocha@gmail.com  
[linkedin.com/in/nic-rocha/](https://www.linkedin.com/in/nic-rocha/)

## PROFESSIONAL SUMMARY

Versatile and results-driven Business Development Professional with experience in the financial services sector, specializing in strategic growth and data analytics. 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 SQL database administration and analysis, data science, and pipeline reporting. I employ 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.

## 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 • 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 team contributed directly to \$60 billion in North American sales during the COVID-19 pandemic by delivering vital reports to 850+ clients across nine industries.
- Translated complex data analysis into intuitive presentations, influencing critical stakeholder decisions and contributing to a 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.

**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