

Nancy Rocha



Nancy Rocha has a longstanding career in financial services including investment banking, credit analytics and asset management. Currently, Ms. Rocha is a director in the public finance division of Stifel, Nicolaus & Company, Inc. (“STIFEL”) where she covers regional markets and services municipal entities in structuring and issuing multi-million dollar debt instruments and direct private placements. Ms. Rocha also serves as Chair of the Diversity and Inclusion Program Committee for Stifel’s public finance department.

Ms. Rocha started her career 20 years ago as an investment banker at UBS Financial Services in New York and went on to manage markets in the Midwest and Southwest in her role as a Vice President at Cabrera Capital Markets in Chicago and Wells Fargo Brokerage LLC in Texas, respectively.

Ms. Rocha spent five years as a rating analyst at Fitch Ratings analyzing and rating bonds as part of the public finance team, further rounding out her expertise in the municipal market.

Following the economic downturn in 2008 Ms. Rocha spent a number of years building relationships at the national, state, and local levels engaging stakeholders on issues pertaining to diversity and inclusion in the asset management industry. In her role as a Senior Director for Capital Advocacy at the New America Alliance, she managed efforts such as the pension fund initiative - a national public/private cooperative initiative focused on the investment opportunities for emerging Latino asset managers. She engaged public and private sector entities at federal and state levels on greater capital access and investments in the Latino community. Building dialogue with the U.S. President’s advisors, key congressional leaders, U.S. public pensions, and federal agency heads such as the Board Chairs of the SEC and FDIC as well as the Board of Governors of the Federal Reserve System was an intricate part of Ms. Rocha’s role.

Ms. Rocha also previously served on a Presidential Inaugural Committee, a White House Presidential Advisory Committee, the U.S. Overseas Private Investment Corporation (OPIC) under the Clinton Administration and as head of investor relations for a NY based private equity firm.

Ms. Rocha received an undergraduate degree in government from The University of Notre Dame and holds a Master’s degree in Public Administration, with a concentration in Public Finance from Syracuse University’s Maxwell School of Citizenship and Public Affairs. As part of Ms. Rocha’s graduate studies in global markets, she worked with the United Nations Conference on Trade and Development (UNCTAD) in Geneva, Switzerland and conducted a comparative analysis of the European Union and MERCOSUR, living and researching in several countries including England, Italy, Argentina, Uruguay, Chile, and Brazil.

Ms. Rocha is a FINRA licensed Municipal Advisor Representative (Series 50), Municipal Securities Representative (Series 52), and a Securities Agent (Series 63).