



## **BETA ALPHA Ψ**

### **EXECUTIVE GRADUATE HONOR**

**March 23, 2021 7PM EST**

**“Ride or Die”: The Evolution of Disruptive Technologies and  
Impact on Financial Professionals**

#### **Speaker Information:**



**Mr. Richard Roche, Managing Director, Little Harbor Advisors, LLC**

Bio: Rick Roche joined Little Harbor Advisors, LLC in April 2013 as a Managing Director. Little Harbor Advisors (LHA) is a sponsor of quantitative investment strategies. Rick has 39 years' experience in investment management and is committed to lifelong learning.

Rick is the founder of Roche Invest AI, LLC, a consultancy that promotes the use of machine learning and alternative investment data in quantitative models. Rick is considered a “Light Quant” (knowledgeable about AI/ML & Alt-Data in quant investing), an avid reader and compulsive counter. From 4Q 2016 through 4Q 2020, Rick Roche read 343 academic or industry white papers >10+ pages in length on AI/ML use in invt. mgmt. and 22 books on artificial intelligence and/or machine

learning with an emphasis on finance/asset management.

From 4Q 2017 thru 4Q 2020, Rick was the featured speaker at 60 FPA Association (CFP) chapters, CAIA chapters, CFA Society and NY-AIR events on *Machine Learning in Investment Management*. His “AI/ML in Invt. Mgmt” program has been enthusiastically received by 3,500+ credentialed advisors and analysts.

He holds Series 3 (Commodities), 7, 63 and 65 licenses. Rick earned his Chartered Alternative Investment Analyst charter designation in 2014. He is also a Member of Society of Quantitative Analysts (SQA), the New York Alternative Investment Roundtable (NY-AIR) and has a new Professional Membership at CFANY. Rick earned a B.A.-History from the University of Dayton.

Rick Roche has consulted 95 major financial companies and has personally trained 75,5000 financial sales pros in customer loyalty marketing, capital market trends and investor behavior.

He has a unique ability to synthesize large amounts of academic and technical research and translate into *actionable* intelligence. His extensive investment background, encyclopedic command of market theory and staccato delivery have earned him the *Top-Rated Speaker* rating.

From 1977 to 1980, Rick served two terms in the Massachusetts House of Representatives representing Springfield, MA.