

# Amie B. Parrish

1233-I Richelle Lane  
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May 1999 – Present

**WELLS FARGO Private Client Services** Santa Barbara, CA

Financial Consultant and Registered Principal

*As Operations Manager from 5/99-9/03:*

- Supported 17 Financial Consultants covering 22 retail branches in Ventura, Santa Barbara and San Luis Obispo counties
- Provided a challenging, supportive and rewarding team environment to direct reports
- Responsible for Cashiering, Margin, Transfers, Compliance, Audit & HR
- Formulated, implemented and enforced policies & procedures, managed daily operations
- Managed a group of support personnel through hiring, training and evaluating employees
- Provided a high level of support for Trust, Investment Management, Private Banking and Brokerage Services
- Consistently improved customer service and loyalty

*As Financial Consultant from 09/03 to present:*

- Service over 600 brokerage accounts
- Partner with Trust Officers, Portfolio Mgrs, Private Bankers, Mortgage Consultants, CPAs and Attorneys providing comprehensive investment services
- Lead investment seminars
- Maintain active referrals and prospecting lists
- Prepare reports, proposals and cash flow analysis
- Offer investment advice through Retirement Planning, Educational Savings Planning, Estate Planning, Insurance Planning and Credit
- Provide strategic planning through asset allocation
- Build relationships and improve customer service and loyalty through cross selling

May 1997 – May 1999

**SUTRO & COMPANY** (currently RBC Dain Rauscher) Woodland Hills, CA

Senior Registered Sales Assistant to Corporate Executive Services Group

- Maintained and serviced over 1000 accounts generating \$3mm in gross commissions
- Prepared account appraisals, spreadsheets, income schedules, proposals and reports
- Maintained trades, commissions, research and all files
- Coordinated meetings, kept calendar, screened phone calls, high volume problem solving
- Coordinated scheduling, materials, proposals with Investment Management Department
- Trained, scheduled and supervised three private assistants

July 1989 – May 1997

**WERTHEIM SCHRODER & CO., INC.** (currently Smith Barney) Los Angeles, CA

*Executive Assistant to Director & Senior Registered Sales Assistant*

- Maintained and serviced over 1000 accounts generating over \$1mm in gross commissions with \$250mm under management
- Prepared account appraisals, asset allocations, income schedules, presentations, proposals and reports
- Maintained trades, commissions, research and client files
- Coordinated meetings, kept calendar, made travel arrangements, prepared expense reports, high volume problem solving

- Relocated and managed a remote institutional satellite office for 30 months (1993-1995)
- Screened, trained and supervised a private assistant & additional support staff
- Extensive experience in retail, institutional and fee-based advisory accounts

June 1988 – July 1989

**DREXEL BURNHAM LAMBERT, INC.**, Beverly Hills, CA

*Senior Sales Assistant to Mutual Fund Coordinator*

- Maintained and serviced over 1200 retail accounts as primary client contact
- Prepared profit/loss statements, income schedules, charts and spreadsheets
- Kept calendar, arranged meetings, coordinated large luncheons, made travel arrangements and expense reports
- Screened, trained and supervised private assistant

June 1987 – June 1988

**EF Hutton & Co., Inc.**, (currently Smith Barney) Universal City, CA

*Sales Assistant ~ Branch Cashier*

- Branch cashier promoted to Sales Assistant after 6 months
- Provided support to large broker-trainee group
- Maintained positive lead list, research/client files and trading data
- Directed massive mailings of research and sales information to clients and prospects
- High volume operations and problem-solving
- Processed incoming funds, physical securities, legal transfer items and new accounts
- Involved with facilitating EF Hutton/Shearson merger

## ADDITIONAL INFORMATION

### Education:

1994 – 1995 University of South Carolina, Beaufort, SC

1985 – 1987 College of the Canyons, Valencia, CA

### Licenses:

NASD Series 7, 63, 65, 24, 9 & 10

Life & Health Insurance, Long Term Care Insurance Certification

### Outside Activities:

Past Board Member, Elings Park Foundation ([www.elingspark.org](http://www.elingspark.org))

Past President, Santa Barbara Young Professionals Club ([www.sbypc.org](http://www.sbypc.org))

Big Sister, Big Brothers Big Sisters of America/Family Services Agency of Santa Barbara

Volunteer, Sarah House (AIDS Housing of Santa Barbara)

Ambassador, Goleta Chamber of Commerce

Co-Founder, Santa Barbara Young Republicans Club

Member, Women's Culinary Arts Guild

Member, Navy League

Member, Santa Barbara International Film Festival Development Committee

Various other volunteer efforts

### Awards:

Wells Fargo Best Recognition Program Winner

Wells Fargo Service Excellence Award

2005, "40 Under 40" Pacific Coast Business Times