

Diana Dorn, Finance Executive

Diana Dorn Tackles the Future of Finance



Diana Dorn
Finance Executive

For many people, New Year's resolutions involve taking better care of their finances. Finance executive Diana Dorn makes it her business to help individuals, families, foundations and corporations do exactly that. Her firm takes on some of the most complex accounts — those of ultra high net worth clients. The company has also established a niche market in venture capital distribution, which separates them from many financial agencies in the U.S.

Diana Dorn, vice president and branch manager of private client services, harbors insight on the future of the finance field. "Our industry is looking forward to how the results of the 2012 election are going to change regulations. We always need to be prepared for that," she shares. Diana is confident that her firm is up to the challenge of remaining at the forefront of the ever-evolving industry. She does her own part in employing her expertise in corporate compliance and branch management to supervise the sales practices of the firm's financial advisers and wealth managers. Diana intends to remain committed to upholding her company's mission of providing top-notch wealth and investment services to clients nationwide.

Meet Diana Dorn

Diana Dorn is a finance and securities professional with more than 35 years of experience. She holds NASD and FINRA certifications in Series 4, 7, 8, 24, 53, 63, and 65. Prior to her current position, she cultivated her skills with corporations such as Charles Schwab & Co., Inc., Wells Fargo Securities, Inc., and LPL Financial. A skilled leader and networker, Diana has also done compliance consulting and has successfully developed high-performing teams. She looks forward to taking on more consulting and mentoring roles in the future. Click [here](#) to view Diana's exclusive video profile.

Diana Dorn

San Francisco, CA

Telephone: (415) 364-2872

Email: diana_dorn@yahoo.com

*"When it is a question of money,
everybody is of the same religion."*

~Voltaire

Q&A with Diana Dorn

Diana Dorn is being spotlighted in Who's Who Publishers' "Top 101 Industry Experts." Below is an exclusive expert from her feature.

Q. What characteristics help to separate you from your competitors?

A. I have a real interest in people and seeing them succeed.

Q. Did you ever consider pursuing a different career path or another profession?

A. Yes, I always wanted to go into fashion merchandising and design. I got sidetracked because I wanted to go to a private school and I took a temporary job with Smith Barney — 35 years later, here I am! It was something that really got into my blood right away and I had a passion for it.

Q. Who are people who have greatly influenced you?

A. David Magelssen inspired me. He was the very first person who hired me into this industry and I think it was because he was so passionate about what he was doing, that I caught the fever from him. There have been others who have noticed leadership abilities in me, such as the first woman who moved me into a supervisory role when I didn't even realize my own potential. People have noticed things in me that I didn't know I had and have helped me bring them out.

Q. What advice can you offer fellow members or others aspiring to work in your industry?

A. Never stop learning; there are always new products and new rules, and external influences on what we do. You need to maintain some currency in what you are doing. There are new technologies and you always need to see how you can improve.



Awards & Distinctions

Top Female Executive (2012)

Chairman's Club, Charles Schwab

*Customer Service of the Year Award,
Round Hill Securities, Inc.*

Featured, Pro-Files Magazine (2013)

Elite American Executive (2012)

*Excellence in Service Award,
Charles Schwab & Co., Inc.*

*Lifetime Achievement Award,
Worldwide Who's Who*

Outside of the Office

Before she discovered her passion for the finance industry, Diana Dorn studied music and art at Northwest University. She maintains her love for the fine and performance arts to this day. Diana is a fan of jazz music, and enjoys attending theater and ballet. She is also married to an accomplished artist who is best noted for his work in high-end fashion magazines. "He even designed my wedding ring," Diana notes.

Diana is a supporter of the San Francisco Jazz Organization, a major performing arts association in the San Francisco Bay Area, and one of the leading presenters of jazz and related forms of music in the world. "I would like to become more involved with SFJazz and the annually held San Francisco Jazz Festival," Diana states. She also aspires to work as a docent at the San Francisco Museum of Art.