

**Institute of Internal Auditors  
Central Missouri Chapter  
October 11, 2011  
Continuing Professional Education**

**Topics:** One Year Later – What Dodd-Frank promised, What it's done and  
What's still to come

Meeting Ethical Challenges in a Complex World

**Speaker:** Charles (Chuck) Lewis, Vice President, Missouri Bankers Association

Dr. David C. Valentine, Truman School of Public Affairs  
University of Missouri-Columbia

**CPE:** 4 Hours CPE available

**Location:** Schepper's Distributing  
2300 St. Marys Blvd  
Jefferson City, MO

**Date:** Tuesday October 11, 2011

**Time:** 9:00 am – 3:00 pm (Lunch from Noon – 1:00 pm)

**Price:** IIA Members: ..... \$25  
Non-members: ..... \$40  
Full Time College Students... FREE  
(Price includes lunch)

**Registration:** Registration will be limited to 60 people.

To register contact Jon Halwes:

Phone: 573-893-7703

E-mail: [jehal@email.com](mailto:jehal@email.com)

OR mail registration and payment (if necessary) to:

The Institute of Internal Auditors

Central Missouri Chapter

P.O. Box 1604

Jefferson City, MO 65102-1604

Registration deadline is October 7, 2011

**October meeting –  
food donations  
(canned goods or non-  
perishable items) will  
be collected for the  
SAMARITAN  
CENTER!!**

**IIA Members who  
bring food donations  
will receive one point  
towards the  
Membership  
Appreciation Plan.**

### **Speaker Bios:**

**Charles (Chuck) Lewis** began his banking career over 30 years ago, was formerly Director of Risk Management with RSM McGladrey. He also served as President of UMB Consulting Services, Inc., a subsidiary of UMB Financial Corporation. For over 20 years, he was Director of Regulatory Services for UMB Financial Corporation in Kansas City.

In the winter of 2009, Chuck became Vice President in the Compliance Services Division of the Missouri Bankers Association.

A Certified Regulatory Compliance Manager, Chuck frequently speaks at programs sponsored by the American Bankers Association and numerous state banking associations. In 2004, he received the Distinguished Service Award at the ABA's Regulatory Compliance Conference, which is presented to recognize outstanding leadership, initiative, and accomplishment in banking's regulatory compliance management profession. He is a past member of the ABA's Executive Compliance Committee and Missouri Bankers Association's Compliance Task Force Committee, and a current faculty member for the Barret School of Banking (Memphis), the Schools of Banking in Iowa, the Missouri School of Bank Management, the compliance school for the Oklahoma Bankers Association and the Graduate School of Banking in Wisconsin.

He graduated with a Bachelor's degree in Business Administration from Central Missouri State University.

**Dr. David Valentine** is Associate Director for Public Service at the Truman School of Public Affairs. He has been a Research Associate Professor at the School since 2002, where he directs the Legislative Academy, supervises the applied research conducted by the Institute of Public Policy, provides training for non-profit organizations and government officials, and conducts applied research. He has had contracts with several state agencies, including the Secretary of State, the State Courts Administrator, and the Department of Public Safety.

He worked for almost 25 years as an analyst and director in the Division of Research, Missouri Senate. As an analyst, he worked on a broad range of issues, including election law, environmental regulation, governmental organization and efficiency, and public health. He served as Director of the Division of Research for 16 years. As the director, he worked on institutional management and broader policy issues for the Senate, in addition to managing the Division. He served on the Governor's Commission on Management and Productivity, a mid 90's public-private initiative to improve operations and management practices in state government.

Early in his career, Dr. Valentine taught political science at Saint Louis University and at the University of Arkansas-Monticello.

### **Topics of Discussion:**

#### **One Year Later – What Dodd-Frank promised, What it's done and What's still to come**

It's been over a year since Congress passed the Dodd-Frank Act in an attempt to stabilize the financial industry, and the country's overall economic health. This presentation will cover the major changes to the financial institution industry, what financial institutions have done to implement these changes and what issues are still pending – some expected and some still to be determined!

#### **Meeting Ethical Challenges in a Complex World**

This presentation will look at ethics from both a personal and organizational point of view. It will look at case studies and behavior of both individuals and organizations.