

## CURRICULUM VITAE

Name: **Ralph Broadwater, MD, CFP®**

Present Title: Financial Advisor  
Chief Investment Officer, Principal  
The Arkansas Financial Group

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Date of Birth: September 29, 1955

Birthplace: St. Louis, Missouri

Marital Status: Married - Anne Jansen Broadwater

Children: John Thomas, Michael Jansen

## Education

- 1971-73 Southside High School  
Ft. Smith, Arkansas
- 1973-77 Southern Methodist University  
Dallas, Texas  
B.A., Chemistry, magna cum laude
- 1977-81 University of Arkansas for Medical Sciences  
Little Rock, Arkansas  
M.D.

## Postgraduate Training

- 1981-82 Surgical Intern  
University of Arkansas for Medical Sciences  
Little Rock, Arkansas  
Gilbert S. Campbell, M.D., Chairman
- 1982-85 Resident in General Surgery  
University of Arkansas for Medical Sciences  
Little Rock, Arkansas  
Robert W. Barnes, M.D., Chairman
- 1985-86 Chief Resident in General Surgery  
University of Arkansas for Medical Sciences  
Little Rock, Arkansas  
Robert W. Barnes, M.D., Chairman
- 1986-87 Fellow, Surgical Oncology  
University of Texas M.D. Anderson Cancer Center  
Houston, Texas  
Charles M. Balch, M.D., Chairman
- 1987-88 Senior Fellow, Surgical Oncology  
Teaching Associate  
University of Texas M.D. Anderson Cancer Center  
Houston, Texas  
Charles M. Balch, M.D., Chairman
- 1996-97 CORE Scholar (Center for Outcomes, Research, &  
Effectiveness)  
Little Rock, Arkansas  
G. Richard Smith, M.D., Director

## Postgraduate Training, continued

1996-1998                      CFP Program  
College of Financial Planning  
Denver, Colorado

## Academic Appointments

1987-88                      Teaching Associate  
University of Texas M.D. Anderson Cancer Center  
Houston, Texas

1988-93                      Assistant Professor of Surgery  
University of Arkansas for Medical Sciences  
Little Rock, Arkansas

1993-2020                      Associate Professor of Surgery, with tenure  
University of Arkansas for Medical Sciences  
Little Rock, Arkansas

## Licensure and Certification

1981                      Arkansas State License # C-6025  
1981,86                      Advanced Cardiac Life Support  
1982                      Advanced Trauma Life Support  
1986-94                      Texas State License # H1744  
1987                      American Board of Surgery, #32107  
American Board of Surgery  
Recertified October 21, 1994, December 2005, December 2016  
1989, 1991                      American College of Surgeons Cancer Management Course,  
Instructor  
1991                      Fellow, American College of Surgeons (F.A.C.S.)  
1997                      Series 7 General Securities Representative Examination  
1997                      Series 66 Registered Investment Advisor Examination  
1997                      Series 24 General Securities Principal Examination  
1998                      CFP® Certification Examination  
2003                      CFP® Certificant  
2006                      Accredited Investment Fiduciary (AIF®), Center for Fiduciary Studies  
(expired 8/1/2025)

## **Administrative Responsibilities**

### **National**

1988-	Society for Surgical Oncology 1991 - Education Committee 1997 - Training Committee
1988-2015	Southwestern Surgical Congress 1990 - Resident's Committee 1997 - Budget and Finance Committee
1993-2001	Commission on Cancer, American College of Surgeons
1993-2000	Commission on Cancer, Regional Chairman American College of Surgeons
1998-2001	Commission on Cancer - Chairman, Standards Committee
1998-2001	Commission on Cancer - Executive Committee

### **Loco-regional**

1990-1997	American College of Surgeons, Commission on Cancer State Chairman
1989-1990	American Cancer Society, Arkansas Division
1989-1994	American Cancer Society, Board of Directors

### **Institutional**

1985-86	Administrative Chief Resident
1985-86	Medical Records Committee
1986-88	Student Education Committee
1988-90	Arkansas Cancer Research Center Internal Advisory Board
1988-89	Cancer Committee Chairman, 1989-90
1988-94	New Products Committee
1988-96	American College of Surgeons Commission on Cancer Cancer Liaison Physician
1989-92	Institutional Review Board
1989-94	Department of Surgery Director, Student Education
1989-90	Veteran's Hospital, Cancer Committee, Chairman
1993-96	ACRC Clinical Protocols Review Committee
1993-96	Operating Room Management Committee
1994-2000	Center for Outcomes, Research, and Effectiveness
1994-1996	Managed Care Committee, Medical College Physician's Group
1994- 1996	Academic Affairs Committee
1995-96	Group Practice Task Force Committee Medical College Physician's Group
1995-2002	Executive Committee, Surgery Department
1994-2000	Surgical Services Board
2002	Search Committee, Ob-Gyn Chairman
2002-2007	Chairman's Advisory Council, Department of Surgery

## **Educational Responsibilities**

1986	Developed formal curriculum for clinical research M.D. Anderson Surgical Oncology Fellowship
1986-88	Student Education Committee
1989-94	Department of Surgery, Director of Student Education
1990-96	Sophomore Medical Ethics Course
1994-96	UAMS Curriculum Committee
1999-2005	Course Director Senior Block 10 Course

## **Awards and Honors**

1974	Phi Eta Sigma
1975	Harold Jeskey Scholarship
1977	Phi Beta Kappa
1986	Robert M. Bransford Award Outstanding Chief Resident
1986-87	American Cancer Society Clinical Fellowship
1995	Leadership Greater Little Rock
2000-16	Best Doctors' in America
2004-10	150 Best Financial Advisors for Doctors Medical Economics
2007	Spirit of the Frontier Award, City of Ft. Smith
2013	Outstanding Teaching Attending, Department of Surgery

## **Professional Societies**

American College of Surgeons, Fellow  
American College of Surgeons Oncology Group  
American Radium Society 1994-2001  
American Society of Breast Surgeons  
American Society of Clinical Oncology  
Arkansas Blood and Cancer Society  
Association for Surgical Education 1988-1994  
Central Arkansas Estate Council  
Financial Planning Association  
Little Rock Academy of Surgeons  
M.D. Anderson Associates  
National Surgical Adjuvant Breast and Bowel Project (NSABP)  
Society for Surgical Oncology  
Southeastern Surgical Congress  
Southern Medical Association  
Southern Oncology Association  
Southwest Oncology Group (SWOG)  
Southwestern Surgical Congress

## **Social Organizations**

Lambda Chi Alpha Fraternity  
Christ the King Catholic Church  
Finance Board 2002-2006  
Komen Foundation Board Member 1995-1998  
Ovation Symphony Board 1998-2000  
Chaine de Rotisseurs  
Chevalier de Tastevin  
Writer's Colony at Dairy Hollow, Board of Directors 2000-2002

## **Research Interests**

breast cancer  
melanoma  
financial planning  
liver metastasis  
colorectal metastasis  
health care economics

## Bibliography

### Published Articles

1. Westbrook KC, Lang NP, **Broadwater JR**, and Thompson BW. Posterior surgical approach to the rectum. *Ann Surg* 195:677-685, 1982.
2. **Broadwater JR**, Bryant RL, Petrino RA, Mabry CD, Westbrook KC, and Casali RE. Advanced hidradenitis: review of surgical management in 23 patients. *Am J Surg* 144:668-670, 1982.
3. Erickson CA, Lang NP, **Broadwater JR**. A patient management simulation authoring language and interpreter. *Focus on Surgical Education*, December:5-6, 1985.
4. Williamson MR, Boyd CM, McGuire EL, Angtuaco T, Westbrook KC, Lang NP, Alston J, **Broadwater JR**, Navab F, and Bersey ML. Precise localization of gastrointestinal bleeding by use of an intraoperative hand-held radiation detector. *Radiology* 159:272, 1986.
5. Stair JM, **Broadwater JR**. Management of colorectal cancer metastatic to the liver. *J Ark Med Soc* 82:452-456, 1986.
6. Golladay ES, **Broadwater JR**, Mollitt DL. Pyloric stenosis - a timed perspective. *Arch Surg* 122:452-456, 1987.
7. **Broadwater JR**, Stair JM. Sternoclavicular osteomyelitis: coverage with a pectoralis major muscle flap. *Surgical Rounds for Orthopedics* 2:47-50, 1988.
8. Edwards MJ, **Broadwater JR**, Bell JL, Ames FC, Balch CM. Economic impact of reducing hospitalization for mastectomy patients. *Ann Surg* 208:330-336, 1988.
9. **Broadwater JR**, Edwards MJ, Hohn DC, Balch, CM. A formal curriculum for clinical research. *Focus on Surgical Education*, Summer:12-13, 1989.
10. Edwards MJ, Hirsch RM, **Broadwater JR**, Netscher DT, Ames FC. Squamous carcinoma arising in previously burned or irradiated skin. *Arch Surg* 124:115-117, 1989.
11. **Broadwater JR**, Edward MJ, Ross MI, Balch CM. Cooperation in surgical oncology; U.S.-Soviet relations: an agenda for the future. *Foreign Policy Institute Brief*, Johns Hopkins University, p 1-12, 1988.

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12. **Broadwater JR**, Edwards MJ, Ross, MI, Balch CM. U.S.-Soviet relations: An agenda for the future. A report to the forty-first president of the United States. Cooperation in surgical oncology. *Foreign Policy Brief*, Johns Hopkins University, January 1989, p 23-24.
13. Hutchins LF, **Broadwater JR**, Lang NP, Maners A, Bowie M, Westbrook KC. "Breast Cancer" in *Disease-a-month*. Bone RC, ed. Year Book Medical Publishers, Inc. 35:63-125, 1990.
14. **Broadwater JR**, Henderson MA, Bell JL, Edwards MJ, Smith GJ, McCready DR, Swanson RS, Hardy MER, Shenk RR, Lawson M, Ota DM, Balch CM. Outpatient percutaneous central venous access in the cancer patient: a safe alternative to tunneled catheters. *Am J Surg* 160:676-680, 1990.
15. **Broadwater JR**, Edwards MJ, Hortobagyi GH, Ames FC, Balch CM. Mastectomy following preoperative chemotherapy: strict operative criteria controls postoperative morbidity. *Ann Surg* 213:126-129, 1991.
16. Chu DZJ, Erickson CA, Russell MP, Thompson C, Lang NP, **Broadwater JR**, Westbrook KC. Prognostic significance of carcinoembryonic antigen in colorectal carcinoma: the pre and post-resection and pre-recurrence serum levels. *Am J Surg* 126:314-316, 1991.
17. McCready DM, **Broadwater JR**, Ross M, Pollock R, Ota D, Balch C. A case-control comparison of durability and cost between implanted reservoir and percutaneous catheters in patients. *J Surg Research* 51:377-381, 1991.
18. Teplick SK, Harshfield DL, Brandon JC, **Broadwater JR Jr**, Cone JB. Percutaneous cholecystostomy in critically ill patients. *Gastrointestinal Radiology*. 16(2):154-6, 1991 Spring.
19. Brandon JC, Velez MA, Teplick SK, Mueller PR, Rattner DW, **Broadwater JR**, Lang NP, Eidt JF. Laparoscopic cholecystectomy: evolution, early results, and impact on nonsurgical gallstone therapies. *Am J Radiology* 157:235-239, 1991.
20. Klimberg VS, Pappas AA, Nwokedi E, Jensen JC, **Broadwater JR**, Lang NP, Westbrook KC. Effect of supplemental dietary glutamine on methotrexate concentrations in tumors. *Arch Surg* 127:1317-1320, 1992.
21. Klimberg VS, Pappas AA, Nwokedi E, Jensen JC, **Broadwater JR**, Lang NP, Westbrook KC. Effect of oral glutamine on tumor concentrations of methotrexate. *Arch Surg* 127(10):1317-1320, 1992.

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22. Klimberg VS, Nwokedi E, Hutchins LF, Pappas AA, Lang NP, **Broadwater JR**, Read RC, Westbrook KC. Glutamine facilitates chemotherapy while reducing toxicity. *Jpen: Journal of Parenteral & Enteral Nutrition*. 16(6 Suppl):83S-87S, 1992 Nov-Dec.
23. Klimberg VS, Langston JD, Maners AW, Gocio JC, Hutchins LF, Lang NP, Westbrook KC, **Broadwater JR**. Advantages of Papillon protocol in the preoperative radiation treatment of advanced rectal cancer. *Am J Surg* 12(45):282, 1992.
24. Sorenson MK, Fancher S, Lang NP, Eidt JF, **Broadwater JR**. Abnormal gallbladder ejection fraction predicts success of cholecystectomy in patients with biliary dyskinesia. *Am J Surg* 166:672-675, 1993.
25. Eidt JF, **Broadwater JR**, Barone GW. A simplified temporary abdominal closure with latex rubber and Marlex mesh. *J Am Coll Surgeons* 178:512-514, 1994.
26. Barnes JR, Hauer-Jensen M, **Broadwater JR**. When should the "infected" subcutaneous infusion reservoir be removed? *American Surgeon*, 62:203-206, February 1995.
27. Govindarajan R, **Broadwater R**, Maners A, Hutchins L. Hepatic arterial infusion (HAI) of cisplatin and adriamycin with whole liver radiation induces sustained remission in unresectable hepatocellular carcinoma. *Proceedings of ASCO* 16:289a, 1997.
28. **Broadwater JR**. The Surgeon's Perspective: surgical management of liver metastasis. *Protocol*, 1997.
29. Mumtaz H, Williams V, Hauer-Jensen M, Rowe M, Henry-Tillman RS, Heaton K, Mancino AT, Muldoon RL, Klimberg VS, **Broadwater JR**, Westbrook KC, Lang NP. Central venous catheter placement in patients with disorders of hemostasis. *American Journal of Surgery*. 180(6):503-5; discussion 506, 2000.
30. Govindarajan R, Heaton KM, **Broadwater R**, Zeitlin A, Lang NP, Hauer-Jensen M. Effect of thalidomide on gastrointestinal toxic effects of irinotecan. *Lancet*. 356(9229):566-7, 2000 Aug 12.
31. Edwards MJ, Broadwater R, Taft L, Jarowenki D, Mabry C, Beitsch P, Whitworth P, Martin RC, Oetting L. Progressive adoption of cryoablative therapy for breast fibroadenoma in community practice. *Am J Surg* Sep;188(3):221-4, 2004.

32. Dye DW, Broadwater R, Lamps LW. Uncommon malignancies: case 2. Gastric choriocarcinoma. *J Clin Oncol* 23(25):6251-6253, 2005.
33. Edwards MJ, Lewis JD, Pritts,TA, Keller, JE, **Broadwater R**, Robertson R. Track configuration determines driver injury in open wheel motor racing. *Am Surg* 75(9):857-9, 2009.
34. Badgwell BD, Pierce C, Broadwater JR, Westbrook K, Korourian S, Davis D, Hiatt K, Lee J, Cheung WL, Klimberg VS. Intraoperative sentinel lymph node analysis in melanoma. *J Surg Oncol*. Jan 1;103(1):1-5, 2011.

## Book Chapters and Monographs

1. **Broadwater JR**, Balch CM. "Mass in the Neck" in Surgical Therapy. Cameron JL, ed. BC Decker Publishers, 1989, p 754-759.
2. **Broadwater JR**, Edwards MJ, Ross MI, Balch CM. "Cooperation in surgical oncology" in *The Future of U.S.-Soviet Relations*. Serfaty S, ed.. Foreign Policy Institute, 1989, p 207-21.
3. Balch CM, **Broadwater JR**, Singletary E. "Reoperation for melanoma" in *Reoperative Surgery*. McQuarrie DG, Humphrey EW, ed. Yearbook Medical Publishers, inc. 1992, 600-615.
4. Westbrook KC, Bowie M, Lang NP, **Broadwater JR**, Chu DJZ. "Cancer rehabilitation" in *Rehabilitation and the Aging Population*, Maloney FP, Means KM, eds., 4:93-105, 1990.
5. Lang NP, **Broadwater JR**, Klimberg S, Hauer-Jensen M, Baker GF, Westbrook K. "Malignant diseases of the skin" in *Essentials of General Surgery*. Lawrence PF, ed. Williams and Wilkins, 1992, 359-374.
6. **Broadwater JR**. "Upper Extremity Melanoma: How wide should the excision be and should the sentinel node be biopsied?" in *Tumor Board Case Management*, Winchester DP, Brennan MF, Dodd GD, Henson DE, Kennedy BJ, Steele GD and Wilson JF, eds., Lippincott Raven Publishers, 1997, p342-245.

## Abstracts

1. **Broadwater JR**, Henderson MJ, Bell MJ, Edwards MJ, McCready DR, Swanson RJ, Hardy ME, Shenk RR. Outpatient percutaneous central venous access: a safe alternative to tunneled catheters. Proc ASCO 7:298, 1988.
2. **Broadwater JR**, Edwards MJ, Ross MI, Balch CM. Cancer care: A proposal for increased surgical oncology exchange between the United States and Soviet Union, accepted Johns Hopkins Foreign Policy Institute, 1989.
3. Chu DZJ, Erickson C, Russell P, Lang NP, **Broadwater JR**, Westbrook KC. Elevated carcinoembryonic antigen (CEA) in colorectal carcinoma predicts residual or recurrent disease but not survival. Proc ASCO, 8:1334, 1989.
4. McCready DR, **Broadwater JR**, Ross MI, Pollack R, Ota DM, Balch CM. Totally implanted versus percutaneous central venous access system in cancer patients: a case control analysis of durability and cost. Clinical and Investigative Medicine 12(4):B97, 1989.

5. Klimberg VS, Pappas AS, Jensen JC, Nwokedi E, **Broadwater JR**, Lang NP, Westbrook KC. Effect of oral glutamine on tumor concentrations of methotrexate. Arch Surg, March 1992.
6. Hauer-Jensen MH, **Broadwater JR**, Barone GW, Yoder G, Read RC. Anterior inguinal approach for groin herniorrhaphy with preperitoneal prosthetic mesh. Submitted to Nordic Surgical Society, March 1993.
7. Langston JD, Hutchins LF, Maners AW, **Broadwater JR**, Unresectable nonfibrolamellar hepatoma: complete response to combined modality therapy. Southwestern Surgical Congress, January 1993.
8. Sorenson MK, Fancher S, Lang NP, Eidt JF, **Broadwater JR**. Abnormal gallbladder nuclear ejection fraction predicts success of cholecystectomy in patients with biliary dyskinesia. Southwestern Surgical Congress, January 1993.
9. Sorenson MK, Willingham C, **Broadwater JR**. Managing care in breast cancer staging: routine bone scan is not indicated. American Society of Clinical Oncology, January 1994.
10. Barnes JR, Hauer-Jensen M, **Broadwater JR**. When should the "infected" subcutaneous infusion reservoir be removed? Southeastern Surgical Congress, February 1995.

### **Movies, Posters and Videotapes**

1. Broadwater JR, Murphy K. Coccygeal hernia. Cine presented at the Southwestern Surgical Congress, San Diego, California, May 1982. Produced by J. Ralph Broadwater.
2. Stair JM, Thompson BW, Hunton DW, Broadwater JR. In-situ saphenous vein femoral popliteal bypass (above and below the knee). Videotape presented at the Southwestern Surgical Congress, Maui, Hawaii, April 27, 1984. Produced by J. Ralph Broadwater.
3. Gocio JC, Broadwater JR, Lang NP, Westbrook KC, Navab F, Boyd C. Intraoperative radionuclide scanning for location of occult gastrointestinal bleeding. Videotape presented at the Southwestern Surgical Congress, Maui, Hawaii and shown on the Medical Information Cable Network, May 1984. Produced by J. Ralph Broadwater.
4. Barnes RW, Alston JW, Broadwater JR. Technical aspects of carotid artery surgery. Produced by J. Ralph Broadwater.
5. Broadwater JR, Westbrook KC, Riggs C, Lang NP, Nieland B. Innovative surgical education: A cancer teaching program. Poster presented at the Association for Surgical Education, Toronto, Canada, April 17-20, 1985.

6. Erickson CA, Broadwater JR, Lang NP. A patient management simulation command language interpreter. Poster presented at the Association for Surgical Education, Toronto, Canada, April 17-20, 1985.
7. Broadwater JR, Eidt JF, Lang NP, Grismer J, Barnes RW. Assessment of entrance level PG-I surgery residents - a videotape presentation of a multistation model. Videotape presented at the Association for Surgical Education, Dallas, Texas, April 5-6, 1990.