



IAPD Report

TREVIN RICHARD KENT

CRD# 6096717

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

TREVIN RICHARD KENT (CRD# 6096717)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **11/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	THEPARTNERS WEALTH MANAGEMENT	CRD# 314816	01/05/2023

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	THEPARTNERS WEALTH MANAGEMENT	314816	Monterey, CA	11/16/2021 - 12/31/2022
B	CENTAURUS FINANCIAL, INC.	30833	MONTEREY, CA	06/25/2013 - 11/12/2021
IA	CENTAURUS FINANCIAL, INC.	30833	MONTEREY, CA	06/25/2013 - 11/12/2021

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

Yes

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **THEPARTNERS WEALTH MANAGEMENT**
Main Address: NW CORNER OCEAN AVENUE AND MISSION STREET
SECOND LEVEL
CARMEL BY THE SEA, CA 93921
Firm ID#: 314816

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	01/05/2023

Branch Office Locations

THEPARTNERS WEALTH MANAGEMENT
299 Webster Street
Monterey, CA 93940



Qualifications



PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination (S7TO)	Series 7TO	03/31/2024
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	06/25/2013

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	03/27/2013



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	11/16/2021 - 12/31/2022	THEPARTNERS WEALTH MANAGEMENT	CRD# 314816	Monterey, CA
B	06/25/2013 - 11/12/2021	CENTAURUS FINANCIAL, INC.	CRD# 30833	MONTEREY, CA
IA	06/25/2013 - 11/12/2021	CENTAURUS FINANCIAL, INC.	CRD# 30833	MONTEREY, CA

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2021 - Present	THEPARTNERS WEALTH MANAGEMENT dba CENTRAL COAST FINANCIAL MANAGE	INVESTMENT ADVISERREPRESENTATIVE/FINANCIAL ADVISOR	Y	Carmel By The Sea, CA, United States
03/2013 - 11/2021	CENTAURUS FINANCIAL INC	REGISTERED REP	Y	ANAHEIM, CA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

(1) CENTRAL COAST FINANCIAL MANAGEMENT, INC. [PRESIDENT] (INVESTMENT RELATED), 299 WEBSTER STREET, MONTEREY, CA 93940. BUSINESS ENTITIS OUR DBA FOR BRANDING AND BUSINESS OPERATIONAL PURPOSES. ADMINISTRATIVE ASSISTANT/OFFICE MANAGER, SINCE 7/1/2012; PRESIDENT, SINCE 3/14/2016.

(2) HIGHLAND CAPITAL BROKERAGE [AGENT] (INVESTMENT RELATED) 3535 GRANDVIEW PARKWAY STE. # 600 BIRMINGHAM, AL 35243. AGENCY SERVES AS OUR BROKERAGE COMPANY FOR THE RESEARCH AND CLIENT INVESTMENT INTO LIFE INSURANCE AND FIXED ANNUITY PRODUCTS. INDEPENDENT AGENT, SINCE 11/15/2021.

(3) MONTEREY DENTAL CONTOURS, RICHARD E. KENT DENTAL GROUP, INC. (TREASURER) [NON-INVESTMENT RELATED]. 2100 GARDEN ROAD BLDG K MONTEREY, CA 93940; FAMILY OWNED GENERAL DENTISTRY PRACTICE SINCE 3/1/2016. I SERVE AS THE TREASURER AND BOOKKEEPER FOR THE CORPORATION AND ASSIST WITH BUSINESS PLANNING AND FINANCIAL BOOKKEEPING FOR MY FAMILY'S BUSINESS (DEVOTED TIME IS 15 HOURS PER MONTH)



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	The customer alleges that the Registered Representative recommended an unsuitable, high-risk, investment and breached his fiduciary duty. No specific dates for the alleged activity were identified in the Statement of Claim.
Product Type:	Debt-Corporate
Alleged Damages:	\$230,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	24-00752
Filing date of arbitration/CFTC reparation or civil litigation:	04/08/2024

Customer Complaint Information

Date Complaint Received:	04/14/2024
Complaint Pending?	No



Status: Settled
Status Date: 04/22/2025
Settlement Amount: \$73,000.00
Individual Contribution Amount: \$0.00
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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: CENTAURUS FINANCIAL, INC.

Allegations: This customer dispute/claim is a "products" case wherein CLAIMANTS allege that RESPONDENT [Centaurus Financial] did not conduct reasonable due diligence on an investment that they approved for their advisors & clients to purchase. The claimants' original investment was made in April 2019 and the investment company filed for chapter 11 bankruptcy in 2022. Their claim of 'unsuitability' is being made in arrears due to the investment company's recent financial challenges, which were non-existent & therefore unknowable at the time of their investment.

Product Type: Debt-Corporate

Alleged Damages: \$230,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 24-00752

Filing date of arbitration/CFTC reparation or civil litigation: 04/08/2024

Customer Complaint Information

Date Complaint Received: 04/14/2024

Complaint Pending? Yes

Status:

Status Date: 08/22/2024

Settlement Amount:

Individual Contribution Amount:

Broker Statement I unequivocally disagree with the inaccurate summary of allegations provided here by my former broker/dealer firm: Centaurus Financial. Per the Statement of Claim that was filed, the claimants did not sue me for breaching my fiduciary duty and I was not named as the respondent party of their claim. The claimants were specifically arguing that this was a "defective product" type case and were suing Centaurus Financial. This means that they were contending Centaurus Financial failed to conduct proper due diligence and research when they approved this



product and made it available to their advisors and clients. As a registered representative of Centaurus at the time of this transaction, I was only permitted to offer investment products that were approved by Centaurus Financial and was never involved in the broker dealer's product review/approval processes. In addition to the aforementioned errancy regarding breaching my fiduciary duty, the claimants were initially seeking a dollar amount of \$150,000 as a return of their initial investment amount. This summary inaccurately lists a claim amount of \$230,000; it appears that Centaurus was permitted to 'bundle' an additional \$80,000 "damage" claim amount, from a separate & unrelated financial advisor & client. I would be happy to provide a copy of the Statement of Claim (with confidential information redacted) to any party who wishes to review the actual claim details provided therein. My desire was to see Centaurus contest the claim due to its numerous inaccuracies & errant claims; despite my efforts to provide Centaurus with substantial substantive information to support the refutation of this claim, Centaurus chose to 'settle' it, without my involvement, rather than to contest/arbitrate the case.



End of Report

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