



IAPD Report

Trenton Kenneth Whalen

CRD# 6869445

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6



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

Trenton Kenneth Whalen (CRD# 6869445)

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 **02/06/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ALPHASTAR CAPITAL MANAGEMENT	CRD# 157423	03/05/2025

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	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	CHARLOTTE, NC	01/10/2024 - 11/26/2024
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	CHARLOTTE, NC	10/25/2023 - 11/26/2024
IA	FIFTH THIRD SECURITIES, INC.	628	CHARLOTTE, NC	05/17/2018 - 05/19/2021

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
Termination	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: **ALPHASTAR CAPITAL MANAGEMENT**
Main Address: 19520 WEST CATAWBA AVENUE
SUITE 112
CORNELIUS, NC 28031
Firm ID#: 157423

	Regulator	Registration	Status	Date
	North Carolina	Investment Adviser Representative	Approved	03/05/2025

Branch Office Locations

ALPHASTAR CAPITAL MANAGEMENT
363 Church Street
North Concord, NC 28025



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	10/18/2023
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	03/28/2018

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	01/05/2024



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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	01/10/2024 - 11/26/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	CHARLOTTE, NC
B	10/25/2023 - 11/26/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	CHARLOTTE, NC
IA	05/17/2018 - 05/19/2021	FIFTH THIRD SECURITIES, INC.	CRD# 628	CHARLOTTE, NC
B	03/28/2018 - 05/19/2021	FIFTH THIRD SECURITIES, INC.	CRD# 628	CHARLOTTE, NC

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
01/2025 - Present	AlphaStar Capital Management, LLC	Investment Adviser Representative	Y	Cornelius, NC, United States
01/2025 - Present	Cabarrus Board of Elections	Chief Judge	N	Concord, NC, United States
01/2024 - Present	Horizon Financial Strategies Advisory, LLC	Owner/ Licensed Insurance Agent	Y	Concord, NC, United States
10/2023 - 10/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Private Client Advisor II	Y	Charlotte, NC, United States
09/2009 - 10/2023	Fifth Third Bank	Banker	N	Charlotte, NC, United States
09/2017 - 05/2021	FIFTH THIRD SECURITIES	REGISTERED REPRESENTATIVE	Y	CHARLOTTE, NC, 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.

Name of the other businessCC Board of Elections
Whether the business is investment-relatedNot investment related
Address of the other businessN Concord NC 28026
Nature of the other businessRun Election Precinct on Election
Your positionChief Judge of 12-05
Title, or relationship with the other businessChief Judge of Election Precinct



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Start date of your relationship Nov-08

Approximate number of hours/month you devote to the other business 10 hrs a year

Number of hours you devote to the other business during securities trading hours 8 hrs a year

Briefly describe your duties relating to the other business Run Election Precinct on Election Day

Do you receive any financial compensation for the business? It is an appointed position yes \$200 an election

Do you handle monies or any kind of accounts for the business, or financial transactions for the business? No

Or do you make any kind of finance related decisions or decisions affecting the business as a whole? No

Name of the other business Maggie Valley Rental 1

Whether the business is invest-related Real Estate Investment

Addr of the other business Maggie Valley NC 28751

Nature of the other business Real Estate 2nd Home Rental

Your position Owner

Title, or relationship with the other bus Owner/ principal

Start date of your relationship Aug-17

Approx number of hours/month you devote to the other business 4 hrs a month

Number of hours you devote to the other business during securities trading hours 0 hrs a month

Briefly describe your duties relating to the other business Make phone calls for rental activities

Do you receive any financial compensation for the business? Yes

Do you handle monies or any kind of accounts for the business, or financial transactions for the business? Yes

Or do you make any kind of finance related decisions or decisions affecting the business as a whole? Yes

Name of the other business Hilton Head Rental 2

Whether the business is investment-related Real Estate investment

Address of the other business Hilton Head Island SC 29928

Nature of the other business Real Estate 3rd home Rental

Your position Owner

Title, or relationship with the other business Owner/ Principal

Start date of your relationship Apr-22

Approximate number of hours/month you devote to the other business 4 hrs a month

Number of hours you devote to the other business during securities trading hours 0 hrs a month

Briefly describe your duties relating to the other business Make phone calls for rental activities

Do you receive any financial compensation for the business? Yes

Do you handle monies or any kind of accounts for the business, or financial transactions for the business? Yes

Or do you make any kind of finance related decisions or decisions affecting the business as a whole? Yes

Name of the other business Foundation for the Carolinas

Whether the business is investment-related Not investment related

Address of the other business Charlotte NC 28202

Nature of the other business Non Profit Cabarrus Comm Foundation; Your position Board Chair

Title, or relationship with the other bus. Board Chair of Cabarrus Community Foundation, Member of Board of Advisors

Start date of your relationship Aug-20

Approximate number of hours/month you devote to the other business 1 hr a month

Number of hours you devote to the other business during securities trading hours 1 hr a month

Briefly describe your duties relating to the other business Chair meetings and make decisions on grant applications with board

Do you receive any financial compensation for the business? No

Do you handle monies or any kind of accounts for the business, or financial transactions for the business? No

Or do you make any kind of finance related decisions or decisions affecting the business as a whole? No

For profit or not for profit: Name of outside business organization: Cabarrus Board of Elections

Investment related: N; Addr of business: Concord, North Carolina, 28026, United States

Nature of bus: Position, title, associat; Duties

Duties: Chief Judge of Conc



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
Termination	1

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Termination Type:	Discharged
Termination Date:	10/31/2024
Allegations:	Conduct including failure to meet firm standards related to handling of referrals and entering into a financial arrangement with a client.
Product Type:	No Product



End of Report

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