



## IAPD Report

# DARCY LEE BERGEN

CRD# 6568462

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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

### DARCYLEE BERGEN (CRD# 6568462)

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 **03/24/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
	AE WEALTH MANAGEMENT, LLC	CRD# 282580	03/07/2022

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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
	SIMPLICITY WEALTH	300572	Peoria, AZ	05/21/2020 - 03/01/2022
	HORTER INVESTMENT MANAGEMENT, LLC	119880	Peoria, AZ	12/03/2015 - 05/12/2020

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
Regulatory Event	1
Civil Event	1
Customer Dispute	1
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 **3** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **AE WEALTH MANAGEMENT, LLC**  
Main Address: 2950 SW MCCLURE ROAD  
SUITE B  
TOPEKA, KS 66614  
Firm ID#: 282580

Regulator	Registration	Status	Date
IA Arizona	Investment Adviser Representative	Approved	03/07/2022
IA California	Investment Adviser Representative	Approved	11/13/2023
IA Texas	Investment Adviser Representative	Restricted Approval	11/13/2023

#### Branch Office Locations

**AE WEALTH MANAGEMENT, LLC**  
8765 W Kelton Ln  
Bldg C-2  
Peoria, AZ 85382

**AE WEALTH MANAGEMENT, LLC**  
1745 South Alma School Road  
#275  
Mesa, AZ 85210

**AE WEALTH MANAGEMENT, LLC**  
15333 N Pima Rd  
Ste 133  
Scottsdale, AZ 85260



## 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, 0 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
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No information reported.

#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	08/24/2015
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### PROFESSIONAL DESIGNATIONS

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

No information reported.



## 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	05/21/2020 - 03/01/2022	SIMPLICITY WEALTH	CRD# 300572	Peoria, AZ
IA	12/03/2015 - 05/12/2020	HORTER INVESTMENT MANAGEMENT, LLC	CRD# 119880	Peoria, AZ

### 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
02/2022 - Present	AE Wealth Management, LLC	Investment Advisor Representative	Y	Topeka, KS, United States
07/2003 - Present	Clear Solutions LLC DBA Bergen Financial Group	Owner / Manager - Life Sales	Y	Peoria, AZ, United States
05/2020 - 02/2022	Simplicity Wealth, LLC	Investment Adviser Representative	Y	Summit, NJ, United States
12/2015 - 05/2020	Horter Investments	Investment Advisor Representative	Y	Cincinnati, OH, 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.) Clear Solutions, LLC DBA Bergen Financial Group; YES INVESTMENT RELATED; 8765 W. Kelton Ln. BLDG C-2, Peoria, AZ, 85382; INSURANCE SALES; Owner; START DATE 07/2003; APPROX 40 HRS/MONTH; APPROX 30 HRS/MONTH DURING TRADING; INSURANCE SALES AND SERVICES.
- 2.) Bergens Mission; YES INVESTMENT RELATED; 8765 W. Kelton Ln. BLDG C-2, Peoria, AZ, 85382; CHARITY; Secretary/Treasurer; START DATE 09/2008; APPROX 1 HRS/MONTH; APPROX 1 HRS/MONTH DURING TRADING; Banking & Accounting.
- 3.) H&D Holdings A, LLC; YES INVESTMENT RELATED; 9315 W. Avenida Del Sol, Peoria, AZ 85383; Real Estate; Partner/Owner; START DATE 08/2021; APPROX 0 HRS/MONTH; APPROX 0 HRS/MONTH DURING TRADING; None.?
- 4.) H&D Holdings B, LLC; YES INVESTMENT RELATED; 9315 W. Avenida Del Sol, Peoria, AZ 85383; Real Estate; Partner/Owner; START DATE 08/2021; APPROX 0 HRS/MONTH; APPROX 0 HRS/MONTH DURING TRADING; None.



## 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
Regulatory Event	1
Civil Event	1
Customer Dispute	1
Termination	1

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	Saskatchewan Securities Commission
<b>Sanction(s) Sought:</b>	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
<b>Date Initiated:</b>	11/07/2000
<b>Docket/Case Number:</b>	n/a
<b>Employing firm when activity occurred which led to the regulatory action:</b>	The Height of Excellence Financial Planning Group, Inc.
<b>Product Type:</b>	Real Estate Security
<b>Allegations:</b>	THEFPG has approved certain real estate limited partnerships to be sold as "exempt" securities. Between 1996 and 1999, while Mr. Bergen worked at THEFPG, he sold interests in the LP. The LPs failed in the late 1990's. Subsequently, the interests in the LPs were found to not qualify as "exempt" by the Saskatchewan Securities Commission. THEFPG was fined \$85,000 and a number of agents, including Mr. Bergen, were also suspended and fined. He was suspended for 10 years and fined \$50,000 plus court costs.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order



**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?**

No

**Resolution Date:**

11/14/2000

**Sanctions Ordered:**

Cease and Desist  
Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:**

Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:**

\$30,000.00

**Portion Levied against individual:**

\$0.00

**Payment Plan:**

paid out right

**Is Payment Plan Current:**

Yes

**Date Paid by individual:**

12/31/2009

**Was any portion of penalty waived?**

No

**Amount Waived:**

**Broker Statement**

In my late 20's and early 30's, i was a licensed mutual fund salesperson with The height of Excellence Financial planning group, Inc ("THEFPG") a broker/dealer registered in a ll provinces in Canada. I was licensed as a mutual fund salesperson in Canada for Approximately five years. During that period, with the exception of one matter described below, i had no disciplinary matters on my record. THEFPG has approved certain real estate limited partnerships (the LPs") to be sold as "exempt" securities. Between 1996 and 1999, while i worked at THEFPG, i sold interests in the Lps. The LPs failed in the late 1990's. Subsequently, The interests in the LPs were found to not qualify as "exempt" by the Saskatchewan Securities Commission. THEFPG was fined \$85,000 and a number of agents, including me, were also suspended and fined. I was suspended for 10 years and fined \$50,000.



## Civil Event

This disclosure event involves an injunction issued by a foreign or domestic court in connection with investment-related activity, a finding by a domestic or foreign court of a violation of any investment-related statute or regulation, or an action dismissed by a domestic or foreign court pursuant to a settlement agreement.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Initiated By:</b>	Individual
<b>Relief Sought:</b>	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
<b>Date Court Action Filed:</b>	01/22/2002
<b>Date Notice/Process Served:</b>	12/31/2000
<b>Product Type:</b>	Real Estate Security
<b>Type of Court:</b>	Foreign Court
<b>Name of Court:</b>	Saskatchewan Securities Commission
<b>Location of Court:</b>	Saskatchewan
<b>Docket/Case #:</b>	N/A
<b>Employing firm when activity occurred which led to the action:</b>	The Height of Excellence Financial Planning Group, Inc
<b>Allegations:</b>	Real Estate Limited Partnerships thought to be exempt securities failed.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Settled
<b>Resolution Date:</b>	12/31/2009
<b>Sanctions Ordered or Relief Granted:</b>	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Sanction:</b>	Monetary Fine
<b>Total Amount:</b>	\$12,000,000.00
<b>Portion against individual:</b>	30000
<b>Date Paid:</b>	12/31/2009
<b>Portion Waived:</b>	No
<b>Amount Waived:</b>	



## 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	The Height of Excellence Financial Planning Group, Inc.
<b>Allegations:</b>	Real Estate Limited Partnerships thought to be exempt securities failed.
<b>Product Type:</b>	Real Estate Security
<b>Alleged Damages:</b>	\$12,000,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	approx. 200 investors: broker-dealer settled out of court
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	Saskatchewan, Canada
<b>Docket/Case #:</b>	n/a
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	01/22/2002

## Customer Complaint Information

<b>Date Complaint Received:</b>	12/31/2000
<b>Complaint Pending?</b>	No
<b>Status:</b>	Evolved into Civil litigation (the individual is a named party)
<b>Status Date:</b>	12/31/2009
<b>Settlement Amount:</b>	\$0.00
<b>Individual Contribution Amount:</b>	\$30,000.00

## Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	Saskatchewan Securities Commission
<b>Docket/Case #:</b>	n/a
<b>Date Notice/Process Served:</b>	



**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 12/31/2009  
**Monetary Compensation Amount:** \$0.00  
**Individual Contribution Amount:** \$30,000.00

**Civil Litigation Information**

**Type of Court:** Saskatchewan Securities Commission  
**Name of Court:** Saskatchewan Securities Commission  
**Location of Court:** Saskatchewan, Canada  
**Docket/Case #:** n/a  
**Date Notice/Process Served:** 12/31/2000  
**Litigation Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 12/31/2009  
**Monetary Compensation Amount:** \$0.00  
**Individual Contribution Amount:** \$30,000.00



## 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

<b>Reporting Source:</b>	Individual
<b>Firm Name:</b>	The Height of Excellence Financial Planning Group, Inc.
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	03/01/1999
<b>Allegations:</b>	THEFPG has approved certain real estate limited partnerships to be sold as "exempt" securities. Between 1996 and 1999, while Mr. Bergen worked at THEFPG, he sold interests in the LP. The LPs failed in the late 1990's. Subsequently, the interests in the LPs were found to not qualify as "exempt" by the Saskatchewan Securities Commission. THEFPG was fined \$85,000 and a number of agents, including Mr. Bergen, were also suspended and fined. He was suspended for 10 years and fined \$50,000 plus court costs.
<b>Product Type:</b>	Real Estate Security



## End of Report

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