Capabilities Statement

COMPANY OVERVIEW

Castle Rock Investment Company, formed in 2006, is an independent woman-owned registered investment adviser located in Castle Rock, Colorado. Specialties include advising workplace retirement plans, including 401(a), 401(k), 403(b), 457, profit sharing, employee stock ownership, and defined benefit plans. To further support businesses, the firm offers a Pooled Employer Plan (PEP), providing a scalable and customizable retirement solution with benefits such as outsourced administration, employer tax credits, and competitive investment options.

QUICK FACTS

- Serving clients headquartered in Colorado, Nebraska, Illinois, and Texas including retail, governmental, manufacturing, legal, financial services, and warehouse logistics firms.
- In business since 2006
- Located in Castle Rock, Colorado
- Insurance:
  - E&O $1MM per claim/$2MM aggregate
  - Investment Advisor ERISA Bond $25MM
  - Cyber Liability $1MM
  - Commercial General Liability $2MM each occurrence/$4MM aggregate
  - Automobile Liability $1MM
  - Workers Comensation$500k each
- Castle Rock's President, **Michele L. Suriano**, holds a B.S. in Applied Economics, passed FINRA Series 6, 7, 63, 66, CO Life and Health, and earned the following designations:
  - Accredited Investment Fiduciary
  - Tax-Exempt and Governmental Plan Consultant
  - Qualified Plan Financial Consultant
  - Global Fiduciary Strategist

COMPANY DESIGNATIONS

CAGE Code: 6LKN8
DUNS: 078306833
NAICS: 525110, Pension Plan and 523940, Investment Advice
UNSPSC: 84121700, Investment Advice
Unique Entity ID: CA23N2WCKCH9
SEC file number: 801-80620

CERTIFICATIONS

WBE/WOSB	Women's Business Enterprise National
AIF®	Accredited Investment Fiduciary
CCR	Registered

SERVICES

Plan Sponsor Services

- Draft Plan Governance Documents
  - Board Resolution
  - Charter
  - Fiduciary Appoint/Acknowledgement
  - Investment Policy Statement
  - Meeting Minutes
- Fiduciary Training
- Review Plan Design Options
- Review 408(b)(2), 404a-5, and 404(c) disclosures

Plan Investment Services

- Assess Plan's Investment Objectives
- Recommend Investment Lineup
- Recommend QDIA option
- Analyze Share Class Selections
- Support Investment Changes
- Provide & Review Performance Reporting
- Monitor and Recommend Investment Changes

Vendor Management

- Monitor Service Provider(s)
- Benchmark Fees and Services for Reasonableness
- Review Use of ERISA Spending Accounts
- Generate and Evaluate Service Provider RFP
- Support Contract Negotiation
- Support Service Provider Transition/Conversion

Fiduciary Status

- Fiduciary Acknowledgement in Writing
- ERISA 3(21) Fiduciary (Limited Scope)
- ERISA 3(38) Fiduciary (Discretionary)

Participant Services

- Develop Financial Wellness Strategy
- Provide Group and One-on-One Meetings
- Render Individual Participant Advice
- Complimentary Financial Planning Software

Castle Rock Investment Company
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