



## Capabilities Statement



### COMPANY OVERVIEW

Castle Rock Investment Company is an independent woman-owned registered investment adviser that specializes in advising workplace retirement plans, including 401(k), 403(b), profit sharing, and employee stock ownership plans. To further support businesses, the firm partnered with Slavic401k to offer a Pooled Employer Plan (PEP), providing a scalable and customizable retirement solution where unrelated businesses join forces to get corporate-level benefits- without the corporate attitude.

#### QUICK FACTS

- In business since 2006
- Located in Castle Rock, Colorado
- Serving clients headquartered in multiple states and industries including nonprofit, financial services, and logistics firms.
- 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
- Registered Castle Rock PEP in 2022 with the DOL in partnership with Slavic401k as the Pooled Plan Provider.

#### INSURANCE

- E&O \$1MM per claim/\$2MM aggregate
- Investment Advisor ERISA Bond \$25MM
- Cyber Liability \$1MM
- Commercial General Liability \$2MM each occurrence/\$4MM aggregate

#### COMPANY DESIGNATIONS

CRD #140299      CAGE Code: 6LKN8  
DUNS: 078306833  
NAICS: 525110, Pension Plan  
NAICS: 523940, Investment Advice  
UNSPSC: 84121700, Investment Advice

#### SERVICES

##### Plan Sponsor Services

- Draft Plan Governance Documents
- Fiduciary Training
- Review Plan Design Options
- Review 408(b)(2), 404a-5, and 404(c) disclosures

##### Plan Investment Services

- Recommend Investment Lineup + QDIA
- Provide & Review Performance Reporting
- Monitor and Recommend Investment Changes

##### Vendor Management

- Benchmark Fees and Services for Reasonableness
- Review Use of ERISA Spending Accounts
- Generate/Evaluate Service Provider RFP

##### Fiduciary Status Acknowledged in Writing

- ERISA 3(21) Fiduciary (Limited Scope)
- ERISA 3(38) Fiduciary (Discretionary)

##### Employee Services

- Provide Group and One-on-One Meetings
- Free Financial Planning Software

#### CERTIFICATIONS

- WBENC Certified- WBE/WOSB
- AIF®- Accredited Investment Fiduciary
- RIA- Registered Investment Adviser

Castle Rock Investment Company

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