Capabilities Statement

COMPANY OVERVIEW

Castle Rock Investment Company ("Castle Rock") is an independent woman-owned registered investment adviser. We are an SEC-registered boutique firm (CRD# 140299) that specializes in advising workplace retirement plans as a fiduciary and are experts on 401(a), 401(k), 403(b), 457, profit sharing, employee stock ownership, and defined benefit plans.

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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