



CastleKeep Investment Advisors LLC

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Brochure Supplement

(Part 2B of Form ADV)

March 25, 2025

Supervised Persons

Charles W.K. Haberstroh, Stephen B.K. Haberstroh and Lauren M. Quesada

This Brochure Supplement provides information about Charles W.K. Haberstroh, Stephen B.K. Haberstroh and Lauren M. Quesada that supplements the Firm Brochure of CastleKeep Investment Advisors LLC. You should have received a copy of the Firm Brochure. Please contact Charles Haberstroh, Chief Compliance Officer, at cwkh@castlekeepadvisors.com or by telephone at (203) 682-7201 if you did not receive CastleKeep Investment Advisors LLC's Firm Brochure or if you have questions about the contents of this Brochure Supplement.

Additional information about Charles W.K. Haberstroh (CRD# 4406071), Stephen B.K. Haberstroh (CRD# 4853300) and Lauren M. Quesada (CRD# 6155900) and is available on the Securities and Exchange Commission's website at www.adviserinfo.sec.gov.

Education and Business Standards

CastleKeep Investment Advisors LLC requires that any employee whose function involves determining or giving investment advice to clients must be a graduate of a four year college and must have at least three years' experience in insurance, investments, accounting, or financial planning and must be properly licensed for all advisory activities in which they are engaged.

Charles (Charlie) W. K. Haberstroh - Founder, President, Chief Executive Officer, Chief Investment Officer and Chief Compliance Officer

Educational Background:

- Birth Year: 1950
- CFA Institute, Passed Level I in the CFA Program
- U.S. Army Reserves, Finance Specialist 5th Class, 1971-1977 Honorable Discharge
- Harvard University, Bachelor of Arts, 1973 US History
- Languages: English; Fluent in Portuguese

Business Experience:

- CastleKeep Investment Advisors LLC, President, CEO, CIO and CCO (2000-Present)
- CKA Holdings LLC, President, CEO, and Managing Member (2000-Present)
- CastleKeep Advisors LLC, President and CEO (2000-Present) [Dormant]
- CastleKeep Wealth Management LLC, President and CEO 2018 – Present) [Dormant]
- ABN AMRO Bank, N.V.
 - Senior Vice President, Manager, New York Private Banking Office; Member of Management Committee International Private Banking – Americas; Member of the IPB Americas Credit and Operations and Systems Steering Committees (1995-1999)
- Barclays Bank (New York Branch)
 - Senior Vice President, Private Bank (1993-1995)
- Union Bank of Switzerland (New York Branch)
 - Vice President, Private Bank (1992-1993)
- The Chase Manhattan Bank, N.A. – 1973-1992
 - Global Credit Department, New York: Analyst (1973-1974)
 - Loan Review and Credit Audit Division, New York: Assistant Treasurer and Analyst, Loan Review and Credit Audit (1974-1976);

Second Vice President and Team Leader, Credit Audit Division (1976-1979)

- Commodity Finance Division, New York: Second Vice President and Relationship Manager, Cattle, Fertilizer, Seafood accounts (1979-1981); Vice President, Andean Countries, Mexico and Caribbean (1981-1983); Vice President, Head of Latin American Commodities, (1983-1986)
- Banco Chase Manhattan, S.A., Sao Paulo, Brazil: Manager, Commodities Finance Division (1986-1989); Manager, European Business Unit; Managing Director, Corporate Finance, Member of the Management Committee (1989-1990)
- The Chase Private Bank, New York: Vice President, Team Leader, Brazil Team (1990-1992)

Disciplinary Information:

There are no legal, civil, or disciplinary events to disclose regarding Charlie. Securities laws require an adviser to disclose instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities laws and other statutes.

Other Professional Activities:

- Board Member, SCFCo Holdings LLC, 2015 -2023; IB Holdings LLC (2023-Present)
- Advisory Board Member, Amancay Logistics I, LP (2015 – Present)
- Minority Owner, Amancay US Partners LLC (2011-Present)
- Minority Owner, Amancay Partners LP (2011-Present)
- Managing Member, Kelakos Holdings LLC (2015-Present)
- Board of Trustees member Westport-Weston YMCA (2024 – Present)
- Y's Men Investment Club member (2024 – Present)
- Chairman, Levitt Pavilion Committee, Town of Westport, CT (2019 - present)
- Chairman, Parks and Recreation Commission, Town of Westport, CT (2014-2021); [Volunteer Position]
- Harvard Club of Boston (2011-Present); Harvard Club of Fairfield County, CT (1997-Present); Harvard Club of New York City (1973-1978, 1990-Present); Harvard Club of Short Hills, NJ (1975-1986)
- Rotary Club of Westport-Sunrise
 - Member (2002-Present)
 - Board Member (2003-2009)
 - President (2006-2007)

- Sunrise Rotary 21st Century Foundation
 - Board Member (2005-2006, 2007-2012)
 - President (2009-2012)
- Westport-Weston Chamber of Commerce, Westport, CT, Member (2000-Present)
- Longshore Men's Golf Association, Westport, CT (1999-Present)
- Pinehurst Country Club, Pinehurst, NC (1979-Present)
- Board of Selectmen Member, Town of Westport, CT (2010-2013)
- Board of Finance Member, Town of Westport, CT (2003-2010) [Volunteer position]
- Elected Representative Town Meeting Member, District 3, Town of Westport, CT (2001-2003); [Volunteer Position]
- Fairfield County Community Foundation, Member of Investment Committee (2010-March 2019) [Volunteer Position]
- American Chamber of Commerce, Sao Paulo, Brazil (1986-1990, 2003-2019); Economic Committee (1988-1989); American Society of Sao Paulo (1986-1996)
- Brazilian-American Chamber of Commerce, New York (1990-1995, 2002-2017)

Additional Compensation:

Charlie's compensation is derived from business income related to client engagements. He does receive an indirect economic benefit from his ownership interest in CastleKeep Investment Advisors LLC, but does not receive any additional compensation or other economic benefit from any other source for providing investment advisory services.

Supervision:

Charlie as the President and Chief Executive Officer of CastleKeep Investment Advisors LLC does not necessarily supervise his own compliance-related activities but relies on his commitment to his fiduciary duty to his clients and adheres to the Firm's Code of Ethics referred to in the Firm's Disclosure Brochure. Charlie's completion of compliance related duties are periodically confirmed by a third party compliance consultant. Charlie's advisory and discretionary activities are reviewed through CastleKeep Investment Advisors LLC's portfolio management system, through frequent portfolio review meetings, review of client correspondence and email, and through frequent office interactions.

Stephen (Steve) B. K. Haberstroh, Partner

Educational Background:

- Birth Year: 1982
- Wake Forest University, Bachelor of Arts, 2004
- Series 66 (State Securities Law Exam), 2004
- Series 7 (General Industry/Products Exam), 2004
- Languages: English; Fluent in Portuguese

Business Experience:

- CastleKeep Investment Advisors LLC
 - Partner (2017-present)
 - Managing Director (2011-2017)
 - Vice President (2008-2011)
- CKA Holdings LLC, Member (2017-Present)
- IDS Life Insurance Company, Financial Advisor (2004-2008)
- Ameriprise Financial (Formerly American Express Financial Advisors, Inc.,)
 - Financial Advisor (2004-2008)
 - Advisor Coach (2005-2008)

Disciplinary Information:

There are no legal, civil, or disciplinary events to disclose regarding Steve. Securities laws require an adviser to disclose instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities laws and other statutes.

Other Professional Activities:

- Member, Kelakos Holdings LLC (2015-Present)
- Nantucket Yacht Club, Nantucket, MA (2017-Present)
- Pinehurst Country Club, Pinehurst, NC (2019-Present)
- The Country Club of New Canaan, New Canaan, CT (2014-present)
 - Membership Committee (2016-2023),
 - Membership Committee Chair (2018-2022)
 - Board of Governors (2018-2022)
 - Chair Long Range Planning Committee (2023-2025)
 - Vice President, Executive Committee, Board of Governors (2025-Present)

- Town of New Canaan, CT Parks and Recreation Commission, Member (2017-2024) [Volunteer Position]
- I AM ALS, Patient Advisory Council, Co-Chair Community Engagement Committee, Member (2018-2021) [Volunteer Position]
- MLB Lou Gehrig Day Committee, Member (2019-present) [Volunteer Position]
- Longshore Men's Golf Association, Westport, CT,
 - Member (2008-2015)
 - Board Member (2012-2015)
- Friends of Longshore Fundraiser (2011-2015), Committee Member
- Friends of Westport Parks and Recreation, Inc. [501(c)(3)], Board Member (2012-2015)

Additional Compensation:

Steve's compensation is derived from business income related to client engagements. He does receive an indirect economic benefit from his ownership interest in CastleKeep Investment Advisors LLC, but does not receive any additional compensation or other economic benefit from any other source for providing investment advisory services.

Supervision: Steve's marketing, client and compliance activities are supervised by Charles W.K. Haberstroh, President, Chief Executive Officer and Chief Compliance Officer. Steve's advisory and discretionary activities are reviewed through CastleKeep Investment Advisors LLC's portfolio management system, through frequent portfolio review meetings, review of client correspondence and email and through frequent office interactions. Charles W.K. Haberstroh's contact information: Telephone (203) 682-7201, Email: cwkh@castlekeepadvisors.com.

Lauren M. Quesada, Partner

Educational Background:

- Birth Year: 1990
- CFA Institute, Passed Level I in the CFA Program
- Fairfield University, Dolan School of Business, Bachelor of Science, Finance, Magna Cum Laude, 2012
- Series 65 (Uniform Investment Adviser Law Exam), 2012
- Languages: English; Fluent in Portuguese

Business Experience:

- CastleKeep Investment Advisors LLC
 - Partner (2023-Present)
 - Vice President – Investments (2017-2022)
 - Portfolio Associate (2014-2017)
 - Portfolio Assistant (2012-2014)
 - Intern (2011-2012)

Disciplinary Information:

There are no legal, civil, or disciplinary events to disclose regarding Lauren. Securities laws require an adviser to disclose instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities laws and other statutes.

Additional Compensation:

Lauren's compensation is derived from business income related to client engagements. She does receive an indirect economic benefit from her ownership interest in CastleKeep Investment Advisors LLC, but does not receive any additional compensation or other economic benefit from any other source for providing investment advisory services.

Supervision:

Lauren's marketing, client and compliance activities are supervised by Charles W.K. Haberstroh, President, Chief Executive Officer and Chief Compliance Officer. Lauren's advisory and discretionary activities are reviewed through CastleKeep Investment Advisors LLC's portfolio management system, through frequent portfolio review meetings, review of client correspondence and email and through frequent office interactions. Charles W.K. Haberstroh's contact information: Telephone (203) 682-7201, Email: cwkh@castlekeepadvisors.com.