



## **CastleKeep Investment Advisors LLC**

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### **Brochure Supplement**

(Part 2B of Form ADV)

March 30, 2020

### **Supervised Persons**

Charles W.K. Haberstroh, Stephen B.K. Haberstroh, and Lauren 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](mailto: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) is available on the Securities and Exchange Commission's website at [www.adviserinfo.sec.gov](http://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 5<sup>th</sup> Class, 1971-1977
- Harvard University, Bachelor of Arts, 1973
- Languages: English; Fluent in Portuguese

#### **Business Experience:**

- CastleKeep Investment Advisors LLC in 2000, President, CEO, CIO and CCO (2000 – Present)
- CastleKeep Advisors LLC, President and CEO (2000 – Present)
- CKA Holdings LLC, President, CEO, and Managing Member (2000 – Present)
- 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 (2015-Present)
- Minority Owner, Amancay US Partners LLC (2011- Present)
- Minority Owner, Amancay Partners LP (2011- Present)
- Chairman, Parks and Recreation Commission, Town of Westport, CT (2014 – Present); [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 21<sup>st</sup> 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 not 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)
- IDS Life Insurance Company, Financial Advisor (2004 – 2008)
- 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:**

- Nantucket Yacht Club, Nantucket, MA (2017 to Present)
- The Country Club of New Canaan, New Canaan, CT (2014-present)  
Membership Committee (2016-present), Membership Committee Chair (2018-present)
- Town of New Canaan, CT Parks and Recreation Commission Member (2017-present)
- I AM ALS, Patient Advisory Council, Co-Chair Community Engagement Committee (2018-present)
- 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. Steve 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](mailto:cwkh@castlekeepadvisors.com).

## **Lauren M. Quesada, Vice President—Investments**

### **Educational Background:**

- Birth Year: 1990
- CFA Institute, 2020 Level II candidate 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, Vice President – Investments (2017-Present), Portfolio Associate (2014 – 2017), Portfolio Assistant (2012-2014) and 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 adviser 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:**

- 100 Women in Finance, Member (2017-present)

### **Additional Compensation:**

Lauren's compensation is derived from business income related to client engagements. Lauren 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.

## **Chartered Financial Analyst® (CFA)**

The Chartered Financial Analyst® (CFA) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals.

There are currently more than 90,000 CFA charterholders working in 134 countries. To earn the CFA charter, candidates must: 1) pass three sequential, six-hour examinations; 2) have at least four years of qualified professional investment experience; 3) join CFA Institute as members; and 4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

### **High Ethical Standards**

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charterholders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

### **Global Recognition**

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA charterholders—often making the charter a prerequisite for employment.

Additionally, regulatory bodies in 22 countries and territories recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 125 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

### **Comprehensive and Current Knowledge**

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

To learn more about the CFA charter, visit [www.cfainstitute.org](http://www.cfainstitute.org).