

# Supplement Brochure

February 2015

## **DOUGLAS J. BAUER**

200 Great Oaks Boulevard, Suite 219  
Albany, New York 12203

(518) 456-8900

This Brochure Supplement provides information about Douglas J. Bauer that supplements the Disclosure Brochure of AllSquare Wealth Management, LLC (hereinafter "AllSquare Wealth"), a copy of which you should have received. Please contact AllSquare Wealth's Chief Compliance Officer if you did not receive the Disclosure Brochure or if you have any questions about the contents of this Brochure Supplement. Additional information about Douglas J. Bauer is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You may search this site using a unique identifying number, known as a CRD number for each Supervised Person.

### **AllSquare Wealth Management, LLC, a Registered Investment Adviser**

200 Great Oaks Boulevard, Suite 219, Albany, New York 12203 | (518) 456-8900  
[www.AllSquareWealth.com](http://www.AllSquareWealth.com)

## Item 2. Educational Background and Business Experience

Born 1953  
CRD #1051210

### Post-Secondary Education

The College for Financial Planning | M.S., Financial Planning | 1992

State University of New York at Albany | B.S., Business Administration | 1975

### Recent Business Background

AllSquare Wealth Management, LLC | Principal and Chief Executive Officer | 2010 – Present

Spire Securities, LLC | Registered Representative | 2010 – 2014

Bauer and Company, Inc. | President | 1993 – 2010

ING Financial Partners, Inc. | Senior Financial Advisor | 2003 – 2010

### Professional Designations

Douglas J. Bauer holds the professional designations of CERTIFIED FINANCIAL PLANNER™ (“CFP®”), Chartered Financial Consultant (“ChFC®”) and Chartered Life Underwriter (“CLU®”).

The CFP® certification is a financial planning credential awarded by the Certified Financial Planner Board of Standards Inc. (the “CFP Board”) to individuals who meet its education, examination, experience and ethics requirements. Eligible candidates are required have either five years of work experience in the financial planning industry or, in the alternative, three years of related experience and a bachelor’s degree from an accredited U.S. college or university. Certificants are further required to complete a CFP Board-Registered Education Program (or possess a qualifying professional credential), clear a personal and professional background check, and pass the CFP® Certification Examination, a 10-hour multiple choice exam divided into three separate sessions. In order to maintain the certification, CFP® designees must also complete at least 30 hours of continuing education every two years on an ongoing basis.

The ChFC® designation is a financial planning credential awarded by the American College to individuals who satisfy its educational, work experience and ethics requirements. Recipients of the ChFC® certification have completed at least seven mandatory college-level courses in the areas of financial, insurance, retirement and/or estate planning, as well as income taxation and/or investments. Additionally, recipients have completed at least two elective courses on the financial system, estate planning applications, executive compensation, and/or retirement decisions. In order to maintain the designation, ChFC® holders must satisfy the ongoing requirements of the Professional Achievement in Continuing Education (“PACE”) Recertification Program, which includes 30 hours of continuing education at least every two years.

The CLU® designation is an insurance credential awarded by the American College to individuals who meet its educational, work experience and ethical requirements. Recipients of the CLU® designation have completed five required college-level core courses and three electives, covering all aspects of insurance planning, estate and retirement issues, taxation, business insurance and risk management. Recipients are further required to have three years of full-time business experience and must adhere to the American College Code of Ethics and Procedures. In order to maintain the designation, CLU® holders must satisfy the ongoing requirements of the PACE Recertification Program, which includes 30 hours of continuing education at least every two years.

For additional information about any of these credentials, please refer directly to the website of the issuing organization.

### **Item 3. Disciplinary Information**

AllSquare Wealth is required to disclose the pertinent facts regarding any legal or disciplinary events material to a client's evaluation of Douglas J. Bauer. AllSquare Wealth has no information to disclose in relation to this Item.

### **Item 4. Other Business Activities**

AllSquare Wealth is required to disclose information regarding any investment-related business or occupation in which Douglas J. Bauer is actively engaged.

#### **Insurance Agent**

Douglas J. Bauer is a licensed insurance agent with various insurance companies, and in such capacity, may recommend, on a fully-disclosed commission basis, the purchase of certain insurance products. A conflict of interest exists to the extent that AllSquare Wealth recommends the purchase of insurance products where Douglas J. Bauer receives insurance commissions or other additional compensation. AllSquare Wealth has procedures in place to ensure that any recommendations made by Douglas J. Bauer are in the best interest of clients regardless of any additional compensation earned.

### **Item 5. Additional Compensation**

AllSquare Wealth is required to describe any arrangement under which Douglas J. Bauer receives an economic benefit for providing advisory services from someone that is not a client of AllSquare Wealth. AllSquare Wealth has no information to disclose in relation to this Item.

### **Item 6. Supervision**

Daniel D. Bauer, the firm's Managing Member and Chief Compliance Officer, is generally responsible for supervising Douglas J. Bauer's advisory activities on behalf of AllSquare Wealth. The telephone number to reach Daniel D. Bauer is (518) 456-8900.

AllSquare Wealth supervises its personnel and the investments made in client accounts. AllSquare Wealth monitors the investments recommended by Douglas J. Bauer to ensure those investments are suitable for the particular client and consistent with their investment needs, goals, objectives and risk tolerance, as well as any restrictions previously requested by the client. AllSquare Wealth periodically reviews the advisory activities of Douglas J. Bauer, which may include reviewing individual client accounts and correspondence (including e-mails) sent to and received by Douglas J. Bauer.