

**Item 1. Cover Page**

# **Supplement Brochure**

March 2019

**Brett P. Harris**

This Brochure Supplement provides information about Brett Harris 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 Brett P. Harris 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**

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(518) 456-8900  
[www.AllSquareWealth.com](http://www.AllSquareWealth.com)

## Item 2. Educational Background and Business Experience

Born 1983  
CRD # 5478362

### Post-Secondary Education

The College of Saint Rose | MBA | 2007

Siena College | B.S., Finance | 2005

### Recent Business Background

AllSquare Wealth Management, LLC | Senior Financial Advisor | 2016 – Present

Purshe Kaplan Sterling Investments | Registered Representative | 2016 – Present

First Niagara Bank | Financial Advisor | 2010 – 2016

## 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 Brett P. Harris. 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 Brett P. Harris is actively engaged.

### Registered Representative of a Broker-Dealer

Brett P. Harris is a Registered Representative of Purshe Kaplan Sterling Investments ("PKS"), an SEC registered broker-dealer and member of FINRA. In this capacity, Brett P. Harris may provide securities brokerage services and implement securities transactions under a commission-based arrangement. Brett P. Harris may be entitled to a portion of the brokerage commissions paid to PKS. He may also be entitled to a portion of any ongoing distribution or service ("trail") fees from the sale of mutual funds.

A conflict of interest exists to the extent that Brett P. Harris recommends the purchase of securities where he receives commissions or other additional compensation as a result. This practice gives him an incentive to recommend investment products based on compensation received rather than on the client's needs. AllSquare Wealth has procedures in place to ensure that any recommendations made by Brett P. Harris are in the best interest of clients regardless of any additional compensation earned. For accounts covered by ERISA (and such others that AllSquare Wealth, in its sole discretion, deems appropriate), AllSquare Wealth provides investment advisory services on a fee-offset basis. In this scenario, AllSquare Wealth may offset its fees by an amount equal to the aggregate commissions and 12b-1 fees earned by Brett P. Harris in his individual capacity as a registered representative of PKS.

### Licensed Insurance Agent

Brett P. Harris 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 Brett P. Harris the extent that AllSquare Wealth recommends the purchase of insurance products where Brett P. Harris receives insurance commissions or other additional compensation.

AllSquare Wealth has procedures in place to ensure that any recommendations made by Brett P. Harris 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 Brett P. Harris 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 Chief Investment Officer and Chief Compliance Officer, is generally responsible for supervising Brett P. Harris' advisory activities on behalf of AllSquare Wealth.

Daniel D. Bauer supervises AllSquare Wealth's team of supervised persons and the investments made in client accounts. Daniel D. Bauer monitors the investments recommended by Brett P. Harris 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. Daniel D. Bauer periodically reviews the advisory activities of Brett P. Harris, which may include reviewing individual client accounts and correspondence (including e-mails) sent to and received by Brett P. Harris. Daniel D. Bauer may be reached at (518) 456-8900.