

## Item 1. Cover Page

# Supplement Brochure

March 2019

**DANIEL D. BAUER**

This Brochure Supplement provides information about Daniel D. 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 Daniel D. 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 1979  
CRD # 4430682

### Post-Secondary Education

The College for Financial Planning | M.S., Financial Analysis | 2007

Cornell University | B.S., Biometry & Statistics | 2001

### Recent Business Background

AllSquare Wealth Management, LLC | Chief Investment Officer and Chief Compliance Officer  
| 2010 – Present

Purshe Kaplan Sterling Investments | Registered Representative | 2014 – Present

Spire Securities, LLC | Registered Representative | 2010 – 2014

Bauer and Company, Inc. | Vice President | 2009 – 2010

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

### Professional Designations

Daniel D. Bauer holds the professional designations of CERTIFIED FINANCIAL PLANNER™ (“CFP®”).

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. Certificates 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.

## 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 Daniel D. 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 Daniel D. Bauer is actively engaged.

### Registered Representative of a Broker-Dealer

Daniel D. Bauer is a Registered Representative of Purshe Kaplan Sterling Investments (“PKS”), an SEC registered broker-dealer and member of FINRA. In this capacity, Daniel D. Bauer may provide securities brokerage services and implement securities transactions under a commission-based arrangement. Daniel

D. Bauer 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 Daniel D. Bauer 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 Daniel D. Bauer 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 Daniel D. Bauer in his individual capacity as a registered representative of PKS.

### **Licensed Insurance Agent**

Daniel D. 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 Daniel D. Bauer receives insurance commissions or other additional compensation.

AllSquare Wealth has procedures in place to ensure that any recommendations made by Daniel D. 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 Daniel D. 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 is the Chief Investment Officer and Chief Compliance Officer of AllSquare Wealth and is generally responsible for his own supervision. Daniel D. Bauer monitors his advice in an effort to ensure that investments are suitable for his individual clients and consistent with their individual needs, goals, objectives and risk tolerance, as well as any restrictions requested by AllSquare Wealth's clients.

Daniel D. Bauer is also responsible for supervising AllSquare Wealth's advisory activities and managing AllSquare Wealth's team of supervised persons.

Daniel D. Bauer supervises these persons by holding regular meetings, which may include staff, investment, compliance and other ad hoc meetings. Daniel D. Bauer reviews client reports, emails and trading, as well as personal securities transactions and holdings reports. Daniel D. Bauer may be reached at (518) 456-8900.