

**AllSquare Wealth Management, LLC**  
**Form ADV Part 2B**  
**Investment Adviser Brochure Supplement**

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[www.AllSquareWealth.com](http://www.AllSquareWealth.com)

**Supervisor's Name:** Daniel D. Bauer

**Supervised Person:** Brett P. Harris

March 2020

This Brochure Supplement provides information about the Firm's Supervised Person that supplements the Disclosure Brochure of AllSquare Wealth Management, LLC (hereinafter "AllSquare Wealth"), a copy of which you should have received. Please contact Daniel D. Bauer, Chief Investment Officer and 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 the Firm's Supervised Person 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.

## Item 2. Educational Background and Business Experience

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**Brett P. Harris**  
CRD # 5478362

Born: 1983

### **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

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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

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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**

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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**

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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.