

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

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

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

**Supervised Person:** Douglas J. Bauer

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

---

**Douglas J. Bauer**  
CRD #1051210

Born 1953

### **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.

#### **Licensed 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.

**Trustee**

Douglas J. Bauer serves as trustee of two trusts, neither of which are AllSquare Wealth clients. As part of his responsibilities, he manages and directs the trusts' investment holdings.

**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 Chief Investment Officer and Chief Compliance Officer is generally responsible for supervising Douglas J. Bauer's 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 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. Daniel D. Bauer 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. Daniel D. Bauer may be reached at (518) 456-8900.