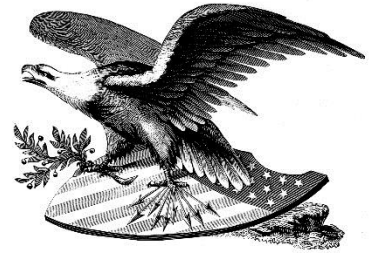


Request for Credentials | Firm

SaratogaSHARP®



SECTION I: FIRM INFORMATION

Firm Name Firm Contact

Phone Number Fax Number Email

Firm Address

City State Zip

Firm CRD# #of Firm Reps who are RIAs

Does your firm have a Selling Agreement with the Saratoga Advantage Trust? Yes No

Does your firm have a Software Licensing Agreement with Saratoga? Yes No

Firm Managed Money Contact Phone Number Email

Phone Number Fax Number Email

SECTION III: SARATOGASHARP® CUSTOMIZATIONS

Does your firm allow for discretionary management? Yes No

How does your firm process managed money business?

Check & Application Through NSCC

If your firm processes managed money business via Check & Application, do you require hard-copy originals of account paperwork to be sent to the home-office prior to the establishment of an account?

Yes No

What should we refer to your firm's advisors as (*e.g., 'financial advisor' or 'representative,' etc.*)?

Advisor Nomenclature

SECTION IV: FEE SCHEDULE

Does your firm have a generic fee schedule? If so, please list that schedule below:

SECTION V: SARATOGASHARP® DATA (FOR USE BY SARATOGA EMPLOYEES)

Firm Name Abbreviated

Firm Approved By

Date Approved