Hartford Funds Retirement Asset Transfer/Direct Rollover Form

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Purpose

To initiate a transfer or direct rollover of assets from an existing Trustee/Custodian to a Hartford Funds retirement account.

Instructions

IRS rules may limit your ability to transfer assets between certain types of plans. These instructions help you to determine whether a transfer or direct rollover of assets is proper. Note that these instructions do not describe all the limitations that may apply. In addition, these instructions do not address the rules that apply to rollovers of amounts that have been distributed to you, as the Retirement Asset Transfer/Direct Rollover Form does not apply in that situation. **Caution:** Generally, you can roll over funds from any of your IRAs only once within a 12-month period.

Amounts Ineligible for Transfer or Direct Rollover

Certain amounts are not eligible for transfer or direct rollover; such as:

- any amount that is a required minimum distribution
- hardship distributions (including distributions "due to an unforeseeable emergency" from a 457(b) plan)
- installment or annuity payments extending for your life, life expectancy, or a period of 10 years or more
- amounts that have been distributed to you (although such amounts may be eligible for an indirect rollover, if the rollover is made within 60 days after you received the distribution)
- taxable plan loans
- corrective distributions from a qualified plan (including a return of excess deferrals or excess contributions)
- excess or disallowed elective deferrals or excess contributions to a SEP IRA

The rollover rules are complex. You should consult your accountant, attorney or other qualified tax advisor before completing a transfer or rollover. Hartford Funds is not providing you investment advice. Hartford Funds is not acting as a fiduciary.

Section A - Investor Information

Please include the applicable Hartford Funds Adoption Agreement with your submission.

Owner Name		Existing Hartford Funds Account Number (if applicable)
Owner's Date of Birth (mm/dd/yyyy)	Social Security Number	Telephone Number

Section B - Fund Selection

For a guide to fund names and numbers, please see the fund list.

- Provide an approximate dollar amount for the incoming transfer/rollover $______________________
- The minimum investment is $2,000 per fund, except for the following funds for which the minimum is $5,000: Environmental Opportunities Fund, Global All-Asset Fund, Global Impact Fund, Global Real Asset Fund, Emerging Markets Local Debt Fund, Long/Short Global Equity Fund, Emerging Markets Multi-Sector Fund, and Real Total Return Fund.

☐ Invest the transferred proceeds in accordance with the Fund Selection provided in the applicable Hartford Funds Adoption Agreement, as attached to this form.

☐ Invest the transferred proceeds as directed below using whole percentages that together total 100%:

Fund Number	Dollar Amount	Percentage	Fund Number	Dollar Amount	Percentage
________	$ ________	or ______%	________	$ ________	or ______%
________	$ ________	or ______%	________	$ ________	or ______%
________	$ ________	or ______%	________	$ ________	or ______%
________	$ ________	or ______%	________	$ ________	or ______%
			TOTAL INVESTMENT:	$ ________	or ______%

Section C - Current Plan Information

Name of Resigning Trustee/Custodian for Current IRA or Qualified Plan	Current Account Number		
Telephone Number of Resigning Trustee/Custodian			
Overnight Address of Resigning Trustee/Custodian	City	State	ZIP Code
Name of Plan Contact Person	Telephone Number of Plan Contact Person		

Indicate the type of investment(s) currently held in the resigning account. Check all that apply.

☐ Hartford Funds

☐ Mutual funds (other than Hartford Funds)

☐ Other investments

☐ Annuities (check the box that applies):

☐ Annuity contract is lost **OR** ☐ Annuity contract is included

☐ Certificate of Deposit, ("CD")* (check the box that applies):

☐ Liquidate immediately **OR** ☐ Liquidate at maturity - Maturity Date ________________ (mm/dd/yyyy)

* Unless otherwise indicated, CD liquidation is effective immediately. Submit this form four weeks before the CD matures so Hartford Funds can promptly process the transaction.

Please provide a copy of your most recent statement in addition to completing below.

Transfer From:
Plan Type at Resigning Trustee/Custodian

☐ Traditional IRA

☐ Roth IRA - Plan Participation Date: ____ / ____ / ________ (mm/dd/yyyy)

☐ SEP IRA

☐ SAR-SEP

☐ Date of Employee's first contribution to the SIMPLE IRA Plan: ____ / ____ / _______ (mm/dd/yyyy)

☐ 401(k) - specify contribution type below:

☐ Designated Roth Account

☐ Inherited/Beneficiary IRA - specify Traditional, Roth, SIMPLE, SEP, or other: ________________________

☐ Other (specify): ________________________________

Transfer To:
Plan Type at Hartford Funds (new or existing)

☐ Traditional IRA

☐ Roth IRA

☐ Roth IRA Conversion

☐ SEP IRA

☐ SAR-SEP

☐ SIMPLE IRA

☐ Inherited/Beneficiary IRA

Original Owner Name: ______________________________

Original Owner Date of Birth: ____ / ____ / ______

Original Owner Date of Death: ____ / ____ / ______

Specify Plan Type: ☐ Traditional IRA ☐ Roth IRA

☐ Other (specify): ________________________________

Section D - Transfer Instructions to Resigning Trustee or Custodian

I instruct my present Trustee/Custodian to:

☐ Liquidate

☐ All of my account

☐ Part of my account (if partial, enter fund name(s) and amount or shares in the fields below):

☐ Transfer in-kind shares (checking this box authorizes a transfer in-kind of Hartford Fund shares from my present Trustee/ Custodian to my Hartford Funds IRA with UMB Bank, n.a. as Custodian.)

☐ All

☐ Part of my account (if partial, enter fund names(s) and amount or share fields below):

Account/Contract Number	Fund Name	Dollar Amount		Shares
		$	or	
		$	or	
		$	or	
		$	or	
		$	or	
	TOTAL INVESTMENT:	$	or	

☐ Transfer immediately

☐ Transfer upon maturity (enter date of maturity):

This transaction is to be executed between trustees/custodians and will not place the account owner in actual receipt of all or any of the plan or account assets. No federal income tax is to be withheld from this transfer/direct rollover.

Section E - Authorization to Transfer

I have established a Retirement Account with Hartford Funds and have appointed UMB Bank, n.a. as successor custodian.
I authorize the liquidation or transfer of in-kind assets noted in Section D, which your company holds for me.

Owner's Name (print) | Owner's Signature | Date Signed (mm/dd/yyyy)

Note: Medallion Signature Guarantee may be required by your resigning Trustee or Custodian. Please contact that institution for requirements.

Medallion Signature Guarantee Stamp Here

Section F - Custodian Acceptance

UMB Bank, n.a. agrees to accept transfer of the above amount for deposit to the named Account Owner's UMB Bank, n.a. custodial Individual Retirement Account and requests the liquidation and transfer of assets as indicated above. See Letter of Acceptance (either separately provided or attached) for the signature of an authorized officer of the custodial agent.

Hartford Funds (Fund Numbers)

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Fund Name	Class A - Fund #	Class C - Fund #
Hartford Balanced Fund	210	212
Hartford Balanced Income Fund	1289	1291
Hartford Capital Appreciation Fund	214	237
Hartford Checks and Balances Fund	1591	1593
Hartford Conservative Allocation Fund	1674	1676
Hartford Core Equity Fund	215	243
Hartford Dividend and Growth Fund	223	248
Hartford Emerging Markets Equity Fund	1015	1016
Hartford Schroders Emerging Markets Equity Fund	1836	1837
Hartford Emerging Markets Local Debt Fund	1022	1023
Hartford Schroders Emerging Markets Multi-Sector Bond Fund	1812	1813
Hartford Environmental Opportunities Fund	1911	1912
Hartford Equity Income Fund	1658	1660
Hartford Floating Rate Fund	1209	1211
Hartford Floating Rate High Income Fund	1036	1037
Hartford Global All-Asset Fund	1541	1542
Hartford Global Impact Fund	1714	1715
Hartford Global Real Asset Fund	1534	1535
Hartford Schroders Global Strategic Bond Fund	1828	1829
Hartford Growth Allocation Fund	1666	1668
Hartford Growth Opportunities Fund	1618	1620
Hartford Healthcare Fund	1610	1612
Hartford High Yield Fund	316	203
Hartford Inflation Plus Fund	1646	1648
Hartford International Growth Fund	1273	1275
Hartford Schroders International Multi-Cap Value Fund	1856	1858
Hartford International Opportunities Fund	207	239
Hartford Schroders International Stock Fund	1854	1870
Hartford Long/Short Global Equity Fund	1684	1685
Hartford MidCap Fund	937	238
Hartford MidCap Value Fund	1281	1283
Hartford Moderate Allocation Fund	1670	1672
Hartford Multi-Asset Income Fund	1904	1905
Hartford Quality Bond Fund	1259	1260
Hartford Quality Value Fund	1614	1616
Hartford Short Duration Fund	1642	1644
Hartford Small Cap Value Fund	1201	1203
Hartford Small Company Fund	205	231
Hartford Strategic Income Fund	1598	1600
Hartford Total Return Bond Fund	217	254
Hartford Schroders US Small Cap Opportunities Fund	1855	1864
Hartford Schroders US Small/Mid Cap Opportunities Fund	1488	1844
Hartford World Bond Fund	1029	1030

Fax this completed form to (888) 802-0039, or mail it to the appropriate address below.

For standard mail delivery, please mail this form to:

Hartford Funds
PO Box 219060
Kansas City, MO 64121-9060

For private express mail, please mail this form to:

Hartford Funds
430 W 7th Street Suite 219060
Kansas City, MO 64105-1407

If you have questions or require more information, contact your financial advisor or call Hartford Funds at (888) 843-7824.