

# Hartford Funds Retirement Asset Transfer/Direct Rollover Form

**HARTFORDFUNDS**

Our benchmark is the investor.®

## 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 refer to **Fund List AC\_IRA**, which is available on our website at [Hartfordfunds.com](http://Hartfordfunds.com).

- 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 Impact Fund, Global Real Asset Fund, Emerging Markets Local Debt Fund, and Emerging Markets Multi-Sector 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 _____%
			<b>TOTAL INVESTMENT:</b>	\$ _____	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
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.

<p><b>Transfer From:</b> Plan Type at Resigning Trustee/Custodian</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Traditional IRA</li> <li><input type="checkbox"/> Roth IRA - Plan Participation Date: ____ / ____ / ____ (mm/dd/yyyy)</li> <li><input type="checkbox"/> SEP IRA</li> <li><input type="checkbox"/> SAR-SEP</li> <li><input type="checkbox"/> Date of Employee's first contribution to the SIMPLE IRA Plan: ____ / ____ / ____ (mm/dd/yyyy)</li> <li><input type="checkbox"/> 401(k) - specify contribution type below:                     <ul style="list-style-type: none"> <li><input type="checkbox"/> Designated Roth Account</li> </ul> </li> <li><input type="checkbox"/> Inherited/Beneficiary IRA - specify Traditional, Roth, SIMPLE, SEP, or other: _____</li> <li><input type="checkbox"/> Other (specify): _____</li> </ul>	<p><b>Transfer To:</b> Plan Type at Hartford Funds (new or existing)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Traditional IRA</li> <li><input type="checkbox"/> Roth IRA</li> <li><input type="checkbox"/> Roth IRA Conversion</li> <li><input type="checkbox"/> SEP IRA</li> <li><input type="checkbox"/> SAR-SEP</li> <li><input type="checkbox"/> SIMPLE IRA</li> <li><input type="checkbox"/> Inherited/Beneficiary IRA                     <ul style="list-style-type: none"> <li>Original Owner Name: _____</li> <li>Original Owner Date of Birth: ____ / ____ / ____</li> <li>Original Owner Date of Death: ____ / ____ / ____</li> </ul> </li> <li>Specify Plan Type:    <input type="checkbox"/> Traditional IRA                                   <input type="checkbox"/> Roth IRA</li> <li><input type="checkbox"/> Other (specify): _____</li> </ul>
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**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	
<b>TOTAL INVESTMENT:</b>		\$	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.

**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  
P.O. 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 professional or call Hartford Funds at (888) 843-7824.