

Hartford Funds Account Application - Class Y

Important Notice – The USA PATRIOT Act

To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account. In some cases, Federal law also requires us to verify and record information that identifies the natural persons who control and beneficially own a legal entity that opens an account.

What this means to you: When you open an account, we will ask for names, addresses, dates of birth, and other information that will allow us to identify you and certain other natural persons associated with the account. This information will be verified to ensure the identity of all such natural persons.

In some cases it may be necessary for you to provide documentary evidence, such as an image of your driver's license or passport, to satisfy the identity verification requirement.

Purpose

To open a Y share account.

- Must qualify as an "investor" as described in the prospectus
- Not for individual investors
- Minimum Initial Investment is \$250,000

Section A - Account Registration

Please select one of the registration types below:

1. Legal Entities

- Limited Liability Company C Corporation S Corporation Partnership Statutory Trust
 Non-Profit Sole Proprietorship Regulated Financial Institution Governmental Entity Estate

Publicly traded: Yes No If 'Yes' was selected, list symbol here: _____

If Regulated Financial Institution Name of Primary Regulator _____
Regulatory Registration ID _____

Name of Entity		Tax Identification Number (TIN)		
Trustee Name(s) (if applicable)				
Address (P.O. Boxes not allowed)		City	State	ZIP Code
Name of Primary Contact Person		Phone Number of Primary Contact Person		
Sole Proprietor Social Security Number (if applicable)		Sole Proprietor Date of Birth (if applicable)		

Notes: All legal entities are required to complete the Corporate Resolution Form (MF-10103). If you are opening an account for a Limited Liability Company, C Corporation, S Corporation, Partnership, Statutory Trust, or Non-Profit, you must also complete the Legal Entity Beneficial Ownership Certification Form (MF-10098) and provide a formation document (e.g. Articles of Incorporation) that proves the legal existence of the entity.

If anyone other than the primary contact person is authorized on the account, a separate resolution that identifies such person(s) must be included.

If the legal entity is a Sole Proprietorship, the Sole Proprietor must provide their date of birth and SSN.

2. Trust Accounts

Name of Trust	Tax Identification Number (TIN)	Date of Trust Agreement
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Note: If you are opening an account in the name of a trust you must also complete the: Hartford Funds Trustee Certification Form (MF-10092).

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Section B - Trusted Contact Person Information (optional)

By choosing to provide information about a trusted contact person, you authorize us to contact the trusted contact person listed below and disclose information about your account to that person in the following circumstances: to confirm your current contact information, identity of any legal guardian, executor, trustee or holder of a power of attorney, or as otherwise permitted by FINRA Rule 2165 (Financial Exploitation of Specified Adults).

Notes:

The trusted contact person named below will not have authority to perform financial transactions on your account unless that person has otherwise been designated authority under a power of attorney or through a custodial arrangement.

Your trusted contact person should not be a joint account owner or the financial professional on record.

Changes to or removal of a designated trusted contact person must be in writing.

Trusted Contact Name (age 18 or older)		Date of Birth (mm/dd/yyyy)	Relationship to Owner	
Telephone Number	Mobile Number		Work Number	
Mailing Address		City	State	ZIP Code

Section C - Broker/Dealer Information (your financial professional can provide this information)

Registered Representative's Name	Broker/Dealer Name			
Dealer Number	Branch Number			
Branch Street Address	City	State	ZIP Code	
Telephone Number	Rep Number			

Section D - Fund Selection

Please make your fund selection in the table below. For a guide to fund names and numbers, please see the fund list.

- The minimum investment is \$250,000 per fund.
- Please use whole percentages that together total 100%. All future payments will be applied based on the selected funds unless otherwise instructed. All checks should be payable to Hartford Funds. Third-party checks, starter or counter checks, or money orders will not be accepted.
- Provide an approximate dollar amount for any incoming transfer: \$ _____

Fund Number	Dollar Amount	Percentage	Fund Number	Dollar Amount	Percentage
_____	\$ _____	or _____%	_____	\$ _____	or _____%
_____	\$ _____	or _____%	_____	\$ _____	or _____%
_____	\$ _____	or _____%	_____	\$ _____	or _____%
_____	\$ _____	or _____%	_____	\$ _____	or _____%
TOTAL INVESTMENT:				\$ _____	or _____%

Section E - Cost Basis Information

Internal Revenue Service (IRS) regulations require fund companies that produce 1099-B tax forms to include, among other things, cost basis reporting and holding period information for any new shares purchased on or after January 1, 2012.

1. Cost Basis Methods (review before completing Section E2)

Average Cost (ACST)	Each time you request to remove shares, this method will add the adjusted cost of the shares in the account and divide the total cost by the number of shares to calculate an average cost for each share. Adjustments to cost per share may be due to prior calculations or other transactions. This method averages the cost of uncovered shares separately from covered shares, and will remove all uncovered shares first.
First in, First Out (FIFO)	This method will remove shares based on the order purchased; shares purchased first will be removed first.
Last In, First Out (LIFO)	This method will remove shares based on the order purchased; shares purchased last will be removed first.
High Cost, First Out (HIFO)	This method will remove shares based on the cost per share; shares with the highest cost per share will be removed first.
Low Cost, First Out (LOFO)	This method will remove shares based on the cost per share; shares with the lowest cost per share will be removed first.
Loss/Gain Utilization (LGUT)	This method will remove shares based on the calculated gain or loss per share in the following order: 1. Short-term losses per share, in order of greatest loss per share to least 2. Long-term losses per share, in order of greatest loss per share to least 3. Long-term gains per share, in order of least gain per share to greatest 4. Short-term gains per share, in order of least gain per share to greatest

2. Election Method Selection (complete one option below)

Hartford Funds will apply the default cost basis method of Average Cost (ACST) to all funds and accounts you or your agent do not list below.

Hartford Funds cannot offer tax advice. You should consult with a qualified tax advisor to determine the method that makes the most sense for you, or if you have tax questions regarding your account.

When choosing FIFO, LIFO, HIFO, LOFO, or LGUT for your cost basis method, you may override this election by identifying specific lots. Specific lot information must be given to Hartford Funds at the time of the applicable transaction, such as a redemption, exchange, or transfer.

Elect a method for all funds and accounts under the SSN/TIN of the primary owner listed in Section A. This method will also apply to all funds/accounts the primary owner may own in the future.	ACST	FIFO	LIFO	HIFO	LOFO	LGUT
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
OR						
Elect a different method for each fund included in this request						
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Section F - Distribution Options

Please select one option below. If no option is chosen, option 1 will be selected.

1. Reinvest all dividends and capital gains into additional shares in this account
2. Pay dividends and reinvest capital gains.
3. Pay capital gains and reinvest dividends
4. Pay all dividends and capital gains

If option 2, 3, or 4 is chosen, send distributions to:

- Address indicated in Section A
- Bank listed in Section H

Note: For information regarding the frequency of distribution for a particular Fund, please see that Fund's prospectus.

Section G - Electronic Delivery

For your convenience, certain account documents can be delivered to you electronically instead of by U.S. Mail. After receiving your new account confirmation, visit hartfordfunds.com/myaccount to set up online account access and enroll in electronic delivery.

Section H - Bank Account or Credit Union Information

Important: By signing this paperwork, you agree and confirm that your use of the Automated Clearing House ("ACH") Network will not result in transfers to or from a financial institution outside of the United States. You also understand it is your responsibility to notify Hartford Funds if any changes to your status occur that may require funds to be sent to or from a financial institution outside of the United States.

All owners of the bank account must sign this form.

- Bank account type: Checking account (attach voided check)
 Savings account (attach deposit slip)

Bank or Credit Union Account Number	Bank or Credit Union ABA Routing Number (must be 9 digits)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Bank or Credit Union Account Owner's Name (print)	Bank or Credit Union Account Owner's Signature				Date (mm/dd/yyyy)				
Bank or Credit Union Account Joint Owner's Name (print)	Bank or Credit Union Account Joint Owner's Signature				Date (mm/dd/yyyy)				

Note: If the registration on the bank account is different from the registration on the Hartford Funds account, we require a Medallion Signature Guarantee.

Medallion Signature Guarantee Stamp Here

John Q. Public 0000
 123 Main Street
 Anywhere, ST 00000-0000

Pay to the order of _____ \$ _____ Dollars

Any Bank
 Any Town, ST 00000

MEMO _____

⑆000000000⑆ 0000000000 XXXX

Bank Routing Number Account Number

Attach an original voided check here and mail to Hartford Funds. Please use tape instead of staples.



- No faxed copies allowed.
- No Starter Checks.
- ACH will arrive in 2-3 business days.
- There is no fee for this option.

Section I - Additional Required Documents (attach to account application)

Note: New accounts for the account types listed below will not be opened unless the additional requirements are included with this account application.

Account Type	Additional Requirement
All Legal Entity Accounts	Hartford Funds Corporate Resolution Form (MF-10103)
Limited Liability Company (LLC), C Corporation, S Corporation, Partnership, Statutory Trust, or Non-Profit	Formation Document (e.g. Articles of Incorporation) Legal Entity Beneficial Ownership Certification Form (MF-10098)
Trust	Hartford Funds Trustee Certification Form (MF-10092)
Power of Attorney	Hartford Funds Power of Attorney (POA) Form (MF-10102)

Section J - Signature and Taxpayer Identification Number Certification (required)

I have received and read Hartford Funds' prospectus for each of the Funds I am investing in and believe that the investment is suitable for me.

I understand that Hartford Funds is not providing me investment advice. I understand that Hartford Funds is not acting as a fiduciary. I understand that I should consult with my own financial professional before making any investment decision.

Neither Hartford Funds nor any of its service providers and/or any employee will be liable for any claims, losses, or expenses for acting on any instructions or inquiries believed to be genuine provided that reasonable security procedures have been followed.

I understand my property may be transferred to the appropriate state if no activity occurs in the account within the time frame specified by state law.

I understand that if I invest in the Funds directly with the transfer agent I will be charged a \$30 annual direct account fee on or about June 1 each year, which will be deducted automatically from my account.

My signature below indicates I have full authority, am of legal age to purchase shares and have received the prospectus for each of the funds selected and agree to the terms therein and herein.

W-9 Certification - By signing below you agree that the following certification applies to each person signing unless the person signing has indicated that they are not a U.S. person (for tax purposes) on this form.

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct Social Security Number or Taxpayer Identification Number, and
2. I am not subject to backup withholding because: a) I am exempt from backup withholding, or b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person (including a U.S. resident alien) as defined in the instructions to IRS Form W-9, and
4. I am exempt from FATCA reporting (if applicable).

Certification Instructions: You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return.

If you do not provide a correct taxpayer identification number, you may be subject to a \$50 IRS penalty.

The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

Authorized Signer's Name (print)

Authorized Signer's Signature

Date Signed (mm/dd/yyyy)

Trustee(s) Name (if applicable) (print)

Trustee(s) Signature (if applicable)

Date Signed (mm/dd/yyyy)

Power of Attorney Name (if applicable) (print)

Power of Attorney Signature (if applicable)

Date Signed (mm/dd/yyyy)

Customer Privacy Notice
The Hartford Financial Services Group, Inc. and Affiliates*
(herein called "we, our, and us")

This Privacy Policy applies to our United States Operations

We value your trust. We are committed to the responsible:

- a) management;
 - b) use; and
 - c) protection;
- of **Personal Information**.

This notice describes how we collect, disclose, and protect **Personal Information**.

We collect **Personal Information** to:

- a) service your **Transactions** with us; and
- b) support our business functions.

We may obtain **Personal Information** from:

- a) **You**;
- b) your **Transactions** with us; and
- c) third parties such as a consumer-reporting agency.

Based on the type of product or service **You** apply for or get from us, **Personal Information** such as:

- a) your name;
 - b) your address;
 - c) your income;
 - d) your payment; or
 - e) your credit history;
- may be gathered from sources such as applications, **Transactions**, and consumer reports.

To serve **You** and service our business, we may share certain **Personal Information**. We will share **Personal Information**, only as allowed by law, with affiliates such as:

- a) our insurance companies;
- b) our employee agents;
- c) our brokerage firms; and
- d) our administrators.

As allowed by law, we may share **Personal Financial Information** with our affiliates to:

- a) market our products; or
 - b) market our services;
- to **You** without providing **You** with an option to prevent these disclosures.

We may also share **Personal Information**, only as allowed by law, with unaffiliated third parties including:

- a) independent agents;
 - b) brokerage firms;
 - c) insurance companies;
 - d) administrators; and
 - e) service providers;
- who help us serve **You** and service our business.

When allowed by law, we may share certain **Personal Financial Information** with other unaffiliated third parties who assist us by performing services or functions such as:

- a) taking surveys;
- b) marketing our products or services; or
- c) offering financial products or services under a joint agreement between us and one or more financial institutions.

We, and third parties we partner with, may track some of the pages **You** visit through the use of:

- a) cookies;
 - b) pixel tagging; or
 - c) other technologies;
- and currently do not process or comply with any web browser's "do not track" signal or other similar mechanism that indicates a request to disable online tracking of individual users who visit our websites or use our services.

For more information, our Online Privacy Policy, which governs information we collect on our website and our affiliate websites, is available at <https://www.thehartford.com/online-privacy-policy>.

We will not sell or share your **Personal Financial Information** with anyone for purposes unrelated to our business functions without offering **You** the opportunity to:

- a) "opt-out;" or
 - b) "opt-in;"
- as required by law.

We only disclose **Personal Health Information** with:

- a) your authorization; or
- b) as otherwise allowed or required by law.

Our employees have access to **Personal Information** in the course of doing their jobs, such as:

- a) underwriting policies;
- b) paying claims;
- c) developing new products; or
- d) advising customers of our products and services.

We use manual and electronic security procedures to maintain:

- a) the confidentiality; and
 - b) the integrity of;
- Personal Information** that we have. We use these procedures to guard against unauthorized access.

Some techniques we use to protect **Personal Information** include:

- a) secured files;

- b) user authentication;
- c) encryption;
- d) firewall technology; and
- e) the use of detection software.

We are responsible for and must:

- a) identify information to be protected;
- b) provide an adequate level of protection for that data; and
- c) grant access to protected data only to those people who must use it in the performance of their job-related duties.

Employees who violate our privacy policies and procedures may be subject to discipline, which may include termination of their employment with us.

We will continue to follow our Privacy Policy regarding **Personal Information** even when a business relationship no longer exists between us.

As used in this Privacy Notice:

Application means your request for our product or service.

Personal Financial Information means financial information such as:

- a) credit history;
- b) income;
- c) financial benefits; or
- d) policy or claim information.

Personal Financial Information may include Social Security Numbers, Driver's license numbers, or other government-issued identification numbers, or credit, debit card, or bank account numbers.

Personal Health Information means health information such as:

- a) your medical records; or
- b) information about your illness, disability or injury.

Personal Information means information that identifies **You** personally and is not otherwise available to the public. It includes:

- a) **Personal Financial Information**; and
- b) **Personal Health Information**.

Transaction means your business dealings with us, such as:

- a) your **Application**;
- b) your request for us to pay a claim; and
- c) your request for us to take an action on your account.

You means an individual who has given us **Personal Information** in conjunction with:

- a) asking about;
 - b) applying for; or
 - c) obtaining;
- a financial product or service from us if the product or service is used mainly for personal, family, or household purposes.

If you have any questions or comments about this privacy notice, please feel free to contact us at The Hartford – Consumer Rights and Compliance Unit, One Hartford Plaza, Mail Drop: T 04.180, Hartford, CT 06155, or at ConsumerPrivacyInquiriesMailbox@thehartford.com.

This Customer Privacy Notice is being provided on behalf of The Hartford Financial Services Group, Inc. and its affiliates (including the as of February 2021), to the extent required by the Gramm-Leach-Bliley Act and implementing regulations:

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Hartford Funds - Mutual Funds List

Class Y

HARTFORDFUNDS

Our benchmark is the investor.®

Fund Name	Class Y - Fund #
Hartford Balanced Income Fund	1292
Hartford AARP SM Balanced Retirement Fund	1907
Hartford Capital Appreciation Fund	216
Hartford Climate Opportunities Fund	1918
Hartford Core Equity Fund	260
Hartford Dividend and Growth Fund	225
Hartford Emerging Markets Equity Fund	1018
Hartford Schroders Emerging Markets Equity Fund	1842
Hartford Emerging Markets Local Debt Fund	1025
Hartford Schroders Emerging Markets Multi-Sector Bond Fund	1818
Hartford Equity Income Fund	1661
Hartford Floating Rate Fund	1212
Hartford Floating Rate High Income Fund	1039
Hartford Global Impact Fund	1721
Hartford Global Real Asset Fund	1537
Hartford Growth Opportunities Fund	1621
Hartford Healthcare Fund	1613
Hartford High Yield Fund	204
Hartford Inflation Plus Fund	1649
Hartford International Growth Fund	1276
Hartford Schroders International Multi-Cap Value Fund	1862
Hartford International Opportunities Fund	209
Hartford Schroders International Stock Fund	1874
Hartford International Value Fund	1530
Hartford MidCap Fund	229
Hartford MidCap Value Fund	1284
Hartford Multi-Asset Income and Growth Fund	213
Hartford Quality Value Fund	1617
Hartford Schroders Securitized Income Fund	1735
Hartford Short Duration Fund	1645
Hartford Small Cap Growth Fund	1625
Hartford Small Cap Value Fund	1204
Hartford Small Company Fund	979
Hartford Strategic Income Fund	1590
Hartford Schroders Sustainable Core Bond Fund	2995
Hartford Schroders Tax-Aware Bond Fund	1803
Hartford Schroders US MidCap Opportunities Fund	1848
Hartford Schroders US Small Cap Opportunities Fund	1868
Hartford World Bond Fund	1032

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**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.

Following a significant business disruption, Hartford Funds will execute its **Business Continuity Plan** with the goal of recovering and resuming operations as quickly as possible given the scope and severity of the disruption. For further information regarding our Business Continuity Plan, please visit the Business Continuity section of our website at www.hartfordfunds.com or contact Hartford Funds at the above number.