

Liquidity FAQ

How are the Fund's liquidity managed?

Managing liquidity for the Hartford Funds Family of Funds (the "Funds") is a key function of both the Funds' investment managers, Hartford Funds Management Company, LLC ("HFMC"), its wholly owned subsidiary Lattice Strategies LLC, and its sub-advisers. Although the sub-advisers and their portfolio management teams have their own responsibilities for understanding each Fund's liquidity needs and constructing a portfolio consistent with those needs, HFMC continuously assesses the liquidity of the Funds.

In addition, the Funds have access to a credit facility provided by several banks that permit one or more of the Funds to borrow from the credit facility to meet short-term liquidity requirements. In addition, the Funds have an interfund lending arrangement that allow the Funds to make loans to or borrow money from other Funds on a short-term basis to meet liquidity requirements. Although such sources of additional liquidity are available if and when needed, the Funds do not routinely rely on such sources.

How are the Fund's liquidity, cash position, and guidelines monitored?

Hartford Funds believes portfolio management teams should seek to remain as fully invested as possible consistent with the Fund's investment mandate, while maintaining a portfolio composition that also is consistent with the Fund's obligation to meet shareholder redemptions. We have focus on liquidity on all assets, not just cash and cash equivalents, so the Funds maintain a sufficient amount of highly liquid assets to meet shareholder redemptions.

Please refer to Appendix A for cash positions as of March 18, 2020.

As part of the Funds' liquidity risk management program, Hartford Funds evaluates current market conditions, monitors shareholders' purchases and redemptions, reviews portfolio cash balances and securities transactions, and routinely evaluates quantitative reports that assess a Fund's liquidity. HFMC's Liquidity Risk Oversight Committee reviews this data at regularly scheduled meetings and more frequently whenever necessary. Currently, HFMC's Liquidity Risk Oversight Committee meets each business day.

HFMC's oversight related to cash includes:

- Closely monitoring the daily cash balances in the Funds' custody accounts maintained with State Street Bank & Trust ("State Street"), the Funds' custodian, sub-accountant and sub-administrator.
- Forecasting future cash balances based on shareholder activity (purchases and redemptions), portfolio transactions (settlement of securities purchases and sales), dividend and other income payments, and expenses.
- Assessing such projected cash balances to evaluate the Funds' ability to continue to meet anticipated redemption levels

In addition to the pre and post-trade portfolio compliance systems utilized by the Funds' sub-advisers for investment guideline monitoring, Hartford Funds has systems in place to ensure guidelines and regulations are adhered to.

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Hartford Funds utilizes State Street's portfolio compliance system to monitor and detect potential violations of restrictions and guidelines to validate that investments within the Fund do not create violations. Hartford Funds performs a daily review on any post trade warnings or potential violations in the State Street system. It also confirms or conducts research with the investment team and sub-adviser to understand the warnings and potential violations, which is documented within the State Street system.

When a violation occurs, Hartford Funds Compliance Department, is notified, the violation is corrected and the Fund is made whole for any loss the Fund incurs.

At this time all Funds continue to operate within their present guidelines and continue to be monitored daily.

How is the status of level 1, 2 and level 3 assets in the Funds determined and monitored?

The Hartford Funds, in accordance with rule ASC 820 from Financial Accounting Standards Board ("FASB"), determines leveling for all securities reported in SEC filings. HFMC reviews all securities at each month end and assigns levels with the assistance of our State Street and with the guidance of Board approved Policies and Procedures for Pricing and Valuation of Portfolio Investments.

As of the most recent month-end period, there has not been a material increase in any Fund's holdings of Level 2 or Level 3 assets since the Fund's most recent annual or semi-annual fiscal period.

Do the Funds have an allocation to illiquid securities?

Please refer to Appendix A for percentage of highly liquid and illiquid securities in the Funds as of March 13, 2020.

SEC rule 22e-4 states that a fund may not invest in illiquid assets above 15% and requires certain actions if a Fund's illiquid investments increase above 15%. The level of illiquid securities are monitored daily by HFMC and no Fund has exceeded this limit since the beginning of the recent period of market volatility.

Mutual funds are distributed by Hartford Funds Distributors, LLC (HFD), Member FINRA. Exchange-traded products are distributed by ALPS Distributors, Inc. (ALPS). Advisory services may be provided by Hartford Funds Management Company, LLC (HFMC) or its wholly owned subsidiary, Lattice Strategies, LLC (Lattice). Certain funds are sub-advised by Wellington Management Company LLP and/or Schroder Investment Management North America Inc. Schroder Investment Management North America Ltd. serves as a secondary sub-adviser to certain funds. Hartford Funds refers to HFD, HFMC, and Lattice, which are not affiliated with any sub-adviser or ALPS. HFD, 690 Lee Road, Wayne, PA 19087, 1-610-386-4088.

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Appendix A – Hartford Funds Liquidity

Fund Description	Highly Liquid (HL) % (3/13)*	Illiquid (IL) % (3/13)	Cash, Cash Equivalents, and other Short-Term Investments Balance (3/18)	Cash, Cash Equivalents, and other Short-Term Investments % (3/18)*
HARTFORD BALANCED INCOME FUND	98.6	0.6	417,517,441	3.7
HARTFORD MIDCAP FUND	100.0	0.0	43,999,999.2	0.5
HARTFORD DIVIDEND AND GROWTH FUND	100.1	0.0	347,382,500.4	5.1
HARTFORD CORE EQUITY FUND	99.7	0.0	132,698,987.4	2.5
HARTFORD CAPITAL APPRECIATION FUND	98.9	1.7	123,022,688.9	2.6
HARTFORD WORLD BOND FUND	100.5	0.4	145,893,751.8	2.8
HARTFORD GROWTH OPPORTUNITIES FUND	96.4	3.7	91,600,787.2	2.7
HARTFORD CAPITAL APPRECIATION HLS FUND	99.7	0.6	28,234,965.9	0.9
HARTFORD EQUITY INCOME FUND	99.6	0.0	94,740,337.9	3.2
HARTFORD SCHRODERS EMERGING MARKETS EQUITY FUND	99.0	0.9	155,889,387.0	5.3
HARTFORD INTERNATIONAL OPPORTUNITIES	99.2	0.0	161,285,167.8	6.1
HARTFORD DIVIDEND AND GROWTH HLS FUND	100.0	0.0	63,782,869.1	2.8
HARTFORD FLOATING RATE FUND	10.3	0.7	98,369,863.8	4.6
HARTFORD TOTAL RETURN BOND FUND	132.1	1.1	49,694,397.0	2.3
HARTFORD TOTAL RETURN BOND HLS FUND	130.7	1.1	35,438,730.5	1.8
HARTFORD MULTIFACTOR DEVELOPED MARKETS (EX-US) ETF	99.5	0.0	3,197,517.5	0.2
HARTFORD BALANCED HLS FUND	99.0	0.4	29,781,352.4	1.9
HARTFORD MIDCAP HLS FUND	100.3	0.0	7,806,152.7	0.6
HARTFORD SCHRODERS INTL MULTI-CAP VALUE FUND	99.7	0.4	19,916,738.8	1.4
HARTFORD INTERNATIONAL VALUE FUND	97.3	0.1	25,467,253.5	2.0
HARTFORD SHORT DURATION FUND	85.7	0.2	7,882,179.9	0.6
HARTFORD CHECKS AND BALANCES FUND	100.0	0.0	3,036,500.3	0.2

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HARTFORD GROWTH OPPORTUNITIES HLS FUND	96.5	3.5	43,107,921.1	3.7
HARTFORD STOCK HLS FUND	99.4	0.0	12,120,353.4	1.1
HARTFORD MUNICIPAL OPPORTUNITIES FUND	99.1	0.2	25,280,094.7	2.1
HARTFORD HEALTHCARE FUND	100.1	0.0	9,970,711.7	0.9
HARTFORD SMALL CAP GROWTH HLS FUND	100.3	0.0	10,729,805.5	1.3
HARTFORD INTERNATIONAL OPPORTUNITIES HLS FUND	99.2	0.0	35,717,718.8	4.3
HARTFORD MULTI-ASSET INCOME AND GROWTH FUND	93.0	3.4	32,012,893.0	4.1
HARTFORD STRATEGIC INCOME FUND	94.8	0.5	49,464,378.1	6.5
HARTFORD SMALL CAP GROWTH FUND	100.3	0.0	3,913,204.5	0.6
HARTFORD INTERNATIONAL EQUITY FUND	98.9	0.8	9,945,706.7	1.5
HARTFORD SCHRODERS US MIDCAP OPPORTUNITIES	100.4	0.0	27,958,791.8	5.0
HARTFORD TOTAL RETURN BOND ETF	129.1	1.2	8,933,282.3	1.5
HARTFORD MIDCAP VALUE FUND	99.7	0.0	10,525,146.1	2.4
HARTFORD DISCIPLINE EQUITY HLS FUND	100.0	0.0	2,337,230.5	0.5
HARTFORD GROWTH ALLOCATION FUND	100.1	0.0	1,117,844.6	0.3
HARTFORD SMALL COMPANY FUND	98.7	1.5	22,848,732.9	5.5
HARTFORD INFLATION PLUS FUND	126.5	0.0	8,706,143.4	2.0
HARTFORD SMALL COMP HLS FUND	97.7	2.5	9,632,016.2	2.5
HARTFORD ULTRASHORT BOND HLS FUND	99.8	0.7	12,220,298.7	2.7
HARTFORD GLOBAL GROWTH HLS FUND	99.5	0.0	5,813,698.2	1.5
HARTFORD SCHRODERS INTERNATIONAL STOCK FUND	99.7	0.0	12,801,730.5	3.3
HARTFORD SCHRODERS TAX-AWARE BOND FUND	105.2	0.0	998,250.9	0.3
HARTFORD FLOATING RATE HIGH INCOME FUND	16.8	0.7	24,991,079.5	8.1
HARTFORD US GOVERNMENT SECURITIES HLS FUND	104.8	1.8	31,547,394.4	9.0
HARTFORD MODERATE ALLOCATOION FUND	100.0	0.0	751,542.8	0.2
HARTFORD VALUE HLS FUND	100.3	0.0	2,461,629.7	0.9

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HARTFORD HIGH YIELD FUND	95.9	0.3	17,206,497.9	6.0
HARTFORD INTERNATIONAL GROWTH FUND	99.4	0.0	5,359,651.6	2.1
HARTFORD MULTIFACTOR US EQUITY ETF	100.6	0.0	327,303.5	0.1
HARTFORD EMERGING MARKETS EQUITY FUND	100.3	1.6	4,369,292.8	1.9
HARTFORD MIDCAP VALUE HLS FUND	99.7	0.0	3,740,101.5	2.1
HARTFORD HIGH YIELD HLS FUND	93.3	0.6	8,191,155.0	4.1
HARTFORD HEALTHCARE HLS FUND	100.3	0.0	1,225,749.9	0.7
HARTFORD SCHRODERS US SMALL CAP OPPORTUNITIES FUND	100.9	0.0	9,974,288.5	6.3
HARTFORD GLOBAL REAL ASSET FUND	103.9	0.2	37,602,179.5	21.1
HARTFORD QUALITY VALUE FUND	99.9	0.0	2,278,342.4	1.6
HARTFORD MUNICIPAL OPPORTUNITIES ETF	99.0	0.0	2,107,137.7	1.4
HARTFORD QUALITY BOND FUND	114.9	1.7	27,589,097.9	18.6
HARTFORD AARP BALANCED RETIREMENT FUND	122.3	0.2	18,284,925.2	15.8
HARTFORD CONSERVATIVE ALLOCATION FUND	100.2	0.0	259,848.9	0.2
HARTFORD EMERGING MARKETS LOCAL DEBT FUND	103.3	1.7	(3,619,475.1)	(3.8)
HARTFORD SHORT DURATION ETF	82.0	0.0	138,806.6	0.1
HARTFORD MIDCAP GROWTH HLS FUND	100.1	0.0	450,001.1	0.7
HARTFORD SCHRODERS SECURITIZED INCOME FUND	124.9	0.6	16,791,011.8	23.2
HARTFORD SMALL CAP VALUE FUND	99.7	0.0	2,585,971.2	4.4
HARTFORD CLIMATE OPPORTUNITIES FUND	99.3	0.0	1,471,538.4	2.4
HARTFORD GLOBAL IMPACT FUND	97.2	0.2	5,191,107.0	8.9
HARTFORD SCHRODERS TAX-AWARE BOND ETF	105.4	0.0	(1,029,528.0)	(1.7)
HARTFORD SCRODERS EMERGING MARKETS MULTI-SECTOR BOND FUND	99.3	2.5	1,102,428.0	2.0
HARTFORD MULTIFACTOR EM ETF	98.9	0.4	206,648.9	0.5
HARTFORD MUNICIPAL INCOME FUND	99.2	0.1	2,902,095.2	5.9

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HARTFORD MUNICIPAL SHORT DURATION FUND	98.1	0.0	1,200,881.3	4.8
HARTFORD CORE BOND ETF	133.3	0.1	5,188,689.2	26.9
HARTFORD MULTIFACTOR SMALL CAP ETF	99.9	0.1	54,310.8	0.6
HARTFORD MULTIFACTOR LOW VOLATILITY US ETF	100.6	0.0	18,432.7	0.3
HART MULTIFACTOR DIVERSIFIED INTERNATIONAL ETF	99.1	0.0	4,811.4	0.1
HARTFORD MULTIFACTOR REIT ETF	100.4	0.0	8,548.2	0.3
HARTFORD MULTIFACTOR INTERNATIONAL FUND	98.7	0.0	(27,200.3)	(1.2)
HARTFORD MULTIFACTOR LARGE CAP VALUE FUND	97.9	0.0	(14,068.3)	(1.8)

*Cash, Cash Equivalents, and other Short-Term Investments included in Highly Liquid percentage.

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