# Hartford Funds SIMPLE IRA Investment Transmittal Form

HARTFORDFUNDS

This form is designed to make communicating investment needs for each payroll submission easier and to help organize investment allocations of employee salary reduction contributions.

Use your employee's IRA Application to complete the Investment Transmittal Form, converting the percentages from each employee's allocation to the dollar amount. All participants should be listed on the Investment Transmittal Form.

Please see the back of this form for information about enrolling in the automatic list billing program.

**Contact Information:**

Online:
www.hartfordfunds.com

Telephone:
Call 1-888-843-7824
Monday-Thursday 7:00am-6:00pm CT
Friday 8:15am-5:00pm CT

Fax:
1-888-802-0039
Attn: Hartford Funds
(Note: Medallion Signature Guarantee stamp cannot be faxed)

## Section A - Employer Information

| | | | |
|---|---|---|---|
| Print Employer Name | | | |
| Mailing Address | City | State | Zip Code |
| First and last name of contact person | | | |
| Telephone number of contact person | | | |

## Section B - Broker Dealer

| | | | |
|---|---|---|---|
| Registered representative's first name, middle initial, last name | | | |
| Dealer firm | | | |
| Branch street address | | | |
| City | State | Zip Code | Phone |

**Participant Fee:** The yearly fee will be automatically deducted in early December if not prepaid. The fee schedule can be found in Section 7 of the Hartford Funds SIMPLE IRA Disclosure Statement.

**Total Check Amount**

Please complete this form and attach a check payable to: Hartford Funds for the total amount indicated to the right (Total plan contributions plus annual maintenance fee).

Send to: Hartford Funds
P.O. Box 55022
Boston, MA 02205-5022

Employer SIMPLE IRA Contribution *(from final page)* $____________________

Employee Salary reduction Contribution (from final page) $____________________

TOTAL CHECK ENCLOSED $____________________

☐ Please check if you have started or amended an Automatic List Bill Program on the back of this form.

## PLAN PARTICIPATION CONFIRMATION

A Plan Participation Confirmation (PPC) contains the names of all the participants in your plan along with the amount and investment allocation of their previous contribution. The first PPC will be mailed to the designated contact person for your group after the initial contribution has been made. If a participant chooses to change the investment allocation of his or her current contribution, you may adjust the investment allocation on the PPC and remit it with the current payment.

☐ I would like to use the Hartford Funds Plan Participation Confirmation or add participants to an existing group.

Existing Group #: _______________________

☐ I would like to use the Hartford Funds Plan Participation Confirmation for an existing account.

Existing Account #: _______________________

Please use the Hartford Funds codes (listed on back page), please list only one fund per line, when completing the Investment Transmittal Form.

(Please type or print clearly. Please photocopy this form as needed for additional participants.)

Example:

| Participant Name | Social Security Number | Account Number | Hartford Funds Class # (List only one per line) | Employer Contribution | Employee Salary Reduction Contribution |
|---|---|---|---|---|---|
| John Smith | | 9101112 | 227 | $ 1,200.00 | $50.00 |
| | | | 221 | | $50.00 |
| | | | TOTAL CONTRIBUTIONS | $ 1,200.00 | $100.00 |

| Participant Name | Social Security Number | Account Number | Hartford Funds Class # (List only one per line) | Employer Contribution | Employee Salary Reduction Contribution |
|---|---|---|---|---|---|
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| | | | TOTAL CONTRIBUTIONS | $ | $ |

| Participant Name | Social Security Number | Account Number | Hartford Funds Class # (List only one per line) | Employer Contribution | Employee Salary Reduction Contribution |
|---|---|---|---|---|---|
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| | | | TOTAL CONTRIBUTIONS | $ | $ |

| Participant Name | Social Security Number | Account Number | Hartford Funds Class # (List only one per line) | Employer Contribution | Employee Salary Reduction Contribution |
|---|---|---|---|---|---|
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| | | | TOTAL CONTRIBUTIONS | $ | $ |

# Hartford Funds (Fund Numbers)

HARTFORDFUNDS

| Fund Name | Class A - Fund # | Class C - Fund # |
|---|---|---|
| Balanced Fund | 210 | 212 |
| Balanced Income Fund | 1289 | 1291 |
| Capital Appreciation Fund | 214 | 237 |
| Checks and Balances Fund | 1591 | 1593 |
| Conservative Allocation Fund | 1674 | 1676 |
| Disciplined Equity Fund | 215 | 243 |
| Dividend and Growth Fund | 223 | 248 |
| Duration-Hedged Strategic Income Fund | 1890 | 1891 |
| Emerging Markets Research Fund | 1015 | 1016 |
| Emerging Markets Local Debt Fund | 1022 | 1023 |
| Equity Income Fund | 1658 | 1660 |
| Floating Rate Fund | 1209 | 1211 |
| Floating Rate High Income Fund | 1036 | 1037 |
| Global All-Asset Fund | 1541 | 1542 |
| Global Alpha Fund | 1252 | 1253 |
| Global Capital Appreciation Fund | 1205 | 1207 |
| Global Real Asset Fund | 1534 | 1535 |
| Global Equity Income Fund | 1574 | 1576 |
| Growth Allocation Fund | 1666 | 1668 |
| Growth Opportunities Fund | 1618 | 1620 |
| Healthcare Fund | 1610 | 1612 |
| High Yield Fund | 316 | 203 |
| Inflation Plus Fund | 1646 | 1648 |
| International Capital Appreciation Fund | 1563 | 1565 |
| International Growth Fund | 1273 | 1275 |
| International Opportunities Fund | 207 | 239 |
| International Small Company Fund | 1277 | 1279 |
| International Value Fund | 1527 | 1528 |
| Long/Short Global Equity Fund | 1684 | 1685 |
| MidCap Fund | 937 | 238 |
| MidCap Value Fund | 1281 | 1283 |
| Moderate Allocation Fund | 1670 | 1672 |
| Multi-Asset Income Fund | 1904 | 1905 |
| Municipal Opportunities Fund* | 1594* | 1596* |
| Municipal Real Return Fund* | 1630* | 1632* |
| Quality Bond Fund | 1259 | 1260 |
| Real Total Return Fund | 1897 | 1898 |
| Short Duration Fund | 1642 | 1644 |
| SmallCap Growth Fund | 1622 | 1624 |
| Small/Mid Cap Equity Fund | 1201 | 1203 |
| Small Company Fund | 205 | 231 |
| Strategic Income Fund | 1598 | 1600 |
| Total Return Bond Fund | 217 | 254 |
| Unconstrained Bond Fund | 1638 | 1640 |
| Value Opportunities Fund | 1614 | 1616 |
| World Bond Fund | 1029 | 1030 |

* Only available for investment within non-retirement (non-qualified) accounts

Fund List IRA 08-26-14