

Name of Regulated Entity: Hartford Funds Distributors, LLC

Report Period: Third Quarter of 2018

#### I. CONTRIBUTIONS made to officials of a municipal entity (list by state)

State Complete name, title

(including any

city/county/state or other political subdivision) of municipal entity official Contributions by each contributor category (i.e., for purposes of this form, dealer, dealer controlled PAC, municipal finance professional, municipal finance professional controlled PAC, non-MFP executive officer, municipal advisor, municipal advisor controlled PAC, municipal advisor professional, municipal advisor professional, municipal advisor professional controlled PAC, and non-MAP executive officer). For each contribution, list contribution amount and contributor category (disclose all applicable categories for each contributor). (For example, \$500 contribution by non-MFP executive officer)

If any contribution is the subject of an automatic exemption pursuant to Rule G-37(j), list amount of contribution and date

of such automatic exemption.

None

#### II. PAYMENTS made to political parties of states or political subdivisions (list by state)

State Complete name (including

any city/county/state or other political subdivision) of

political subdiv

None

Payments by each contributor category



## III. CONTRIBUTIONS made to bond ballot campaigns (list by state)

#### A. Contributions

State Official name of bond ballot

campaign and jurisdiction (including city/county/state or other political subdivision) for which municipal securities would be issued and the name of the entity issuing the municipal securities Contributions, including the specific date the contributions were made, by each contributor

category

None

#### **B.** Reimbursement for Contributions

List below any payments or reimbursements, related to any disclosed bond ballot contribution, received by each dealer, municipal finance professional, non-MFP executive officer, municipal advisor, municipal advisor professional, or non-MAP executive officer from any third party, including the amount paid and the name of the third party making such payments or reimbursements.

None



# IV. MUNICIPAL ENTITIES with which the regulated entity has engaged in municipal securities business or municipal advisory business (list by state)

#### A. Municipal Securities Business

State Complete name of municipal Type of municipal securities business

entity and city/county (negotiated underwriting, private placement,

financial advisor, or remarketing agent)

CT Office of the State Treasurer, Private placement

Hartford, Hartford County

WV West Virginia State Private placement

Treasurer's Office,

Charleston, Kanawha County

#### **B.** Municipal Advisory Business

State Complete name of municipal Type of municipal advisory business (advice

entity and city/county

or solicitation) (and in the case of municipal advisory business engaged in by a municipal advisory business engaged in by a municipal advisor third-party solicitor, the name of the third party on behalf of which business was solicited and the nature of the business solicited (municipal securities business, municipal advisory business or investment advisory services))

None

#### C. Ballot-Approved Offerings

Full name of the municipal entity and full issue description of any primary offering resulting from the bond ballot campaign to which each contributor category has made a contribution and the reportable date of selection on which the regulated entity was selected to engage in the municipal securities business or municipal advisory business.

Full Name of Full Issue Municipal

Full Issue Description

Reportable Date of Selection

Entity
None



Signature: electronic Date: Oct 19, 2018

Name (must be officer of regulated entity): LISA PICKELL

Address: 690 Lee Road, Wayne, PA 19087

**Phone:** 610-386-1829

Submit to the Municipal Securities Rulemaking Board a completed form quarterly by due date (specified by the MSRB)