

West Virginia Ethics Commission
Disclosure of Interested Parties to Contracts

(Required by W. Va. Code § 6D-1-2)

Received
NOV 13 2018
WV Ethics Commission

Name of Contracting Business Entity: Hartford Funds Management Company, LLC Address: 690 Lee Road
Wayne, PA 19087

Name of Authorized Agent: Jeffrey Cohan Address: Same as above

Contract Number: AMA STO19*02 Contract Description: SMART529 Program Manager

Governmental agency awarding contract: WV State Treasurer's Office

Check here if this is a Supplemental Disclosure

List the Names of Interested Parties to the contract which are known or reasonably anticipated by the contracting business entity for each category below (attach additional pages if necessary):

1. Subcontractors or other entities performing work or service under the Contract

Check here if none, otherwise list entity/individual names below. Ascensus College Savings Institution Systems, State Street Bank & Trust Company, Hartford Funds Distributors, LLC, Invesco Advisers, MFS Fund Distributors, Vanguard Fund Services, BlackRock Global Services, DFA Investment Dimensional Group

2. Any person or entity who owns 25% or more of contracting entity (not applicable to publicly traded entities)

Check here if none, otherwise list entity/individual names below. Hartford Funds Management Group, Hartford Holdings, Inc. and The Hartford Financial Services Group

3. Any person or entity that facilitated, or negotiated the terms of, the applicable contract (excluding legal services related to the negotiation or drafting of the applicable contract)

Check here if none, otherwise list entity/individual names below.

Signature: [Signature] Date Signed: 11/5/18

Notary Verification

State of PENNSYLVANIA, County of CHESTER

I, Jeffrey T. Cohan, the authorized agent of the contracting business entity listed above, being duly sworn, acknowledge that the Disclosure herein is being made under oath and under the penalty of perjury.

Taken, sworn to and subscribed before me this 5th day of November, 2018

Jennifer Lynn Haley
Notary Public's Signature

To be completed by State Agency:
Date Received by State Agency: 11/7/18 AKincaid
Date submitted to Ethics Commission: 11/7/18 (sent email)
Governmental agency submitting Disclosure: WV State Treasurer's Office

COMMONWEALTH OF PENNSYLVANIA
NOTARIAL SEAL
Jennifer Lynn Haley, Notary Public
Tredyffrin Twp., Chester County
My Commission Expires March 11, 2019
MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES