

SERFF Tracking Number: HARL-126266067 State: Arkansas
Filing Company: Hartford Life and Annuity Insurance Company State Tracking Number: 43279
Company Tracking Number: IPD-LA-ASSIGN-09
TOI: A10 Annuities - Other Sub-TOI: A10.000 Annuities - Other
Product Name: Assignment Rider
Project Name/Number: Assignment Rider Filing/IPD-LA-ASSIGN-09

Filing at a Glance

Company: Hartford Life and Annuity Insurance Company

Product Name: Assignment Rider

TOI: A10 Annuities - Other

Sub-TOI: A10.000 Annuities - Other

Filing Type: Form

SERFF Tr Num: HARL-126266067 State: Arkansas

SERFF Status: Closed-Approved-
Closed State Tr Num: 43279

Co Tr Num: IPD-LA-ASSIGN-09

State Status: Approved-Closed

Reviewer(s): Linda Bird

Authors: Kenneth Bach, Jane

Disposition Date: 08/21/2009

Chapman, Lindsay Cooper, Ginger

Morgan, Tiffany Heist

Date Submitted: 08/20/2009

Disposition Status: Approved-
Closed

Implementation Date Requested: On Approval

Implementation Date:

State Filing Description:

General Information

Project Name: Assignment Rider Filing

Project Number: IPD-LA-ASSIGN-09

Requested Filing Mode: Review & Approval

Explanation for Combination/Other:

Submission Type: New Submission

Overall Rate Impact:

Filing Status Changed: 08/21/2009

Status of Filing in Domicile: Pending

Date Approved in Domicile:

Domicile Status Comments:

Market Type: Individual

Group Market Size:

Group Market Type:

Explanation for Other Group Market Type:

State Status Changed: 08/21/2009

Created By: Lindsay Cooper

Corresponding Filing Tracking Number:

Deemer Date:

Submitted By: Lindsay Cooper

Filing Description:

Hartford Life and Annuity Insurance Company - NAIC 71153-091; FEIN 39-1052598

Assignment Rider LA-ASSIGN-09

Enclosed is the captioned Assignment Rider for your review and approval. This form will not replace any form previously approved by your Department. The form will be used with new issues as well as in-force individual annuity contracts.

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Please note that this form is identical to the form that we are submitting concurrently via a separate filing for the Hartford Life Insurance Company, except for the form number and Company reference. We suggest that you review the two submissions together.

This rider has been developed for annuity contracts to fulfill the requirements of (FINRA) Rule 12h-7 which states:

"...(e) The issuer takes steps reasonably designed to ensure that a trading market for the securities does not develop, including, except to the extent prohibited by the law of any State or by action of the insurance commissioner, bank commissioner, or any agency or officer performing like functions of any State, requiring written notice to, and acceptance by, the issuer prior to any assignment or other transfer of the securities and reserving the right to refuse assignments or other transfers at any time on a non-discriminatory basis..."

This rider is subject to federal jurisdiction and will be issued with SEC Registered contracts. Therefore, it is exempt from readability requirements.

Unless otherwise informed, we reserve the right to alter the layout, format, color, and typeface of this form.

Your prompt review of this submission would be greatly appreciated. If you have any questions regarding this filing please contact me.

Thank you,
Kenneth Bach
Compliance/Contract Consultant
860-843-7424

Company and Contact

Filing Contact Information

Lindsay Cooper, Contract Analyst lindsay.cooper@hartfordlife.com
200 Hopmeadow Street 860-843-3552 [Phone]
Simsbury, CT 06089 860-843-8014 [FAX]

Filing Company Information

Hartford Life and Annuity Insurance Company CoCode: 71153 State of Domicile: Connecticut
200 Hopmeadow Street Group Code: 91 Company Type: Life
Simsbury, CT 06089 Group Name: State ID Number:
(860) 547-5000 ext. [Phone] FEIN Number: 39-1052598

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Filing Fees

Fee Required? Yes
Fee Amount: \$20.00
Retaliatory? No
Fee Explanation:
Per Company: No

COMPANY	AMOUNT	DATE PROCESSED	TRANSACTION #
Hartford Life and Annuity Insurance Company	\$20.00	08/20/2009	29978117

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Correspondence Summary

Dispositions

Status	Created By	Created On	Date Submitted
Approved-Closed	Linda Bird	08/21/2009	08/21/2009

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Disposition

Disposition Date: 08/21/2009

Implementation Date:

Status: Approved-Closed

Comment:

Rate data does NOT apply to filing.

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Schedule	Schedule Item	Schedule Item Status	Public Access
Supporting Document	Flesch Certification		No
Supporting Document	Application		No
Supporting Document	Life & Annuity - Actuarial Memo		No
Form	Assignment Rider		Yes

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Form Schedule

Lead Form Number: LA-ASSIGN-09

Schedule Item Status	Form Number	Form Type Form Name	Action	Action Specific Data	Readability	Attachment
	LA-ASSIGN-09	Policy/Cont Assignment Rider ract/Fratern al Certificate: Amendmen t, Insert Page, Endorseme nt or Rider	Initial		0.000	LA-ASSIGN-09.pdf



ASSIGNMENT RIDER

This Rider may be issued with an individual contract, a group master contract, or a group certificate issued under a group master contract. The term "Contract" herein refers to a contract or certificate, whichever is applicable.

This Rider is issued as part of the Contract to which it is attached (the "Contract"). This Rider is effective on the date it is issued to You. Except where this Rider provides otherwise, it is subject to all of the conditions and limitations of the Contract. In the event of a conflict between the terms of this Rider and the Contract (as amended), the provisions of this Rider shall prevail.

The Contract to which this Rider is attached is amended to add the following provision:

ASSIGNMENT PROVISION

This Contract cannot be assigned nor can ownership interests be transferred without providing Us written notice of Your intent to assign or transfer ownership, and receipt of Our prior approval. We reserve the right to limit assignments and transfers of ownership at any time on a non-discriminatory basis to prevent the development of a secondary trading market, securitization, or viatication of the Contract.

Signed for **Hartford Life and Annuity Insurance Company**

[

Donald C. Hunt, Secretary

John C. Walters, President

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Supporting Document Schedules

	Item Status:	Status Date:
Bypassed - Item: Flesch Certification		
Bypass Reason: n/a, issued with SEC Registered products, exempt from readability requirement		
Comments:		

	Item Status:	Status Date:
Bypassed - Item: Application		
Bypass Reason: not applicable		
Comments:		

	Item Status:	Status Date:
Bypassed - Item: Life & Annuity - Acturial Memo		
Bypass Reason: n/a, there are no actuarial changes affected by the issuance of this form		
Comments:		