

Instructions for Transferring Shares due to Inheritance

Do not use for an IRA

Instructions

We understand this may be a difficult time. The instructions below will help you transfer shares to an individual or nonprofit organization due to the death of an account owner.

If you have any questions, please call Client Services at 800-621-3979 for assistance. To download additional forms, please visit the Funds' website at dodgeandcox.com.

- The account owner's executor, appointed representative, or beneficiary must complete Parts 1-3.
- Shares must be transferred within the same Fund.
- The account owner's executor, appointed representative, or beneficiary must obtain a **Medallion Signature Guarantee** in Part 3.
- Submit a copy of the appointment of the executor, personal representative, or administrator. This document must be received within 60 days of its certification by the Court.
- If required by the law of the deceased account owner's state of residence, provide a state inheritance tax waiver.
- Recipient must attach a completed **Account Application** if applicable.
- If the account is being transferred to multiple beneficiaries, complete the **Inheritance Form** and **Account Application** (if applicable) for each beneficiary.

Disposition of the inherited shares:

- If the inherited shares are transferring to a **new** Dodge & Cox Funds account, and will be redeemed upon transfer, attach a completed **Account Application** and a **Redemption Request Form**.
- If the inherited shares are transferring to an **existing** Dodge & Cox Funds account, and will be redeemed upon transfer, attach a completed **Redemption Request Form**.

Important Information

An inheritance transfer of mutual fund shares is a complicated tax issue and you should seek advice from an independent tax advisor prior to transferring shares. Once processed, you will NOT be able to change the tax lots used to fulfill the request.

Dodge & Cox Funds will use the fair market value of the inherited shares on the date of death as the cost basis for the inherited shares in the account of the transferee unless you provide alternate instructions and include appropriate documentation of an alternate valuation date. Please consult with the executor of, or tax advisor to, the deceased shareholder's estate to determine if cost basis should be determined by reference to a value on an alternate date. Please call 800-621-3979 if you have any questions about appropriate documentation.

Inheritance Form

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Mailing Address

Regular Mail:

Dodge & Cox Funds
P.O. Box 219502
Kansas City, MO 64121-9502

Express, Certified, or Registered Mail:

Dodge & Cox Funds
430 W 7th Street, Suite 219502
Kansas City, MO 64105-1407

Part 1 Current Account Information

Name/Account Registration

Name/Account Registration

Fund

____/____/____

Shareholder Date of Death

Account Number

Part 2 Transfer Instructions

Transfer to: (check one box only)

- A new Dodge & Cox Funds account. Attach a completed **Account Application** for recipient.
- An existing Dodge & Cox Funds account.

Name of Recipient

(____) _____
Contact Phone Number

Fund

Account Number

Transfer the amount indicated below: (check one box only)

- Transfer percentage of account: _____% (if entire account, write 100%)
- Transfer dollars: \$ _____
- Transfer shares: # _____

Inheritance Form

Part 3
Signature
Authentication

I affirm that there are no known disputes or competing claims that would affect the transfer of ownership and any distribution requested. I agree to hold harmless and indemnify Dodge & Cox, Dodge & Cox Funds, SS&C GIDS, Inc., and State Street Bank and Trust Company for any claim, loss, or liability resulting from any breach of the warranties and representations herein and from any action taken in connection with the requested change of ownership to the beneficiary or from any distribution thereafter made as requested or authorized.

Under penalties of perjury, I hereby attest the above facts are true and correct.



_____/_____/_____
Signature Date

Print Name Capacity of Signer



_____/_____/_____
Signature Date

Print Name Capacity of Signer

Medallion Signature Guarantee

NOTE: A medallion signature guarantee may be obtained from a domestic bank or trust company, broker, dealer, clearing agency, savings association, or other financial institution which participates in a Medallion program recognized by the Securities Transfer Association. Signature guarantees from financial institutions which do not participate in a Medallion program will not be accepted. A notary public cannot provide signature guarantees.