

IRA Transfer of Assets Form

Part 3
Roth IRA Conversion
(if applicable)

Check here if you are converting assets from your traditional IRA to a Roth IRA. If you have previously instructed your current IRA custodian to convert your traditional IRA to a Roth IRA, do not complete this section. Note that a conversion from a traditional IRA to a Roth IRA will trigger federal income tax (state income tax may also apply) on the taxable amount converted from the traditional IRA. Also, if you will be 73 or older during the year of this conversion, you must first satisfy the IRS minimum distribution requirements before converting your traditional IRA to a Roth IRA.

Withholding Instructions. Your current IRA custodian/trustee is required to withhold federal income taxes (at a rate of 10%) on the amount you convert, **unless you elect not to have withholding apply.**

I understand that the amount withheld may be subject to a 10% premature withdrawal penalty and that withholding income taxes from the amount converted (instead of paying applicable income taxes from another source) may adversely affect the anticipated financial benefits of converting.

Your withholding rate is determined by the type of payment you will receive.

- For nonperiodic payments, the default withholding rate is 10%. You can choose to have a different rate by entering a rate between 0% and 100% on line 2. Generally, you can't choose less than 10% for payments to be delivered outside the United States and its possessions.
- For an eligible rollover distribution, the default withholding rate is 20%. You can choose a rate greater than 20% by entering the rate on line 2. You may not choose a rate less than 20%.

NOTE: The below should be considered Line 2 of Form W-4R. Please refer to the attached instructions.

Complete this line if you would like a rate of withholding that is different from the default withholding rate. See the instructions on page 2 and the Marginal Rate Tables below for additional information. If you do not wish to have federal taxes withheld, you must enter "0" in the space below. If the field is left blank, the default 10% withholding will be applied.

Enter the rate as a whole number (no decimals): _____ %

Part 4
Current IRA
Custodian/Trustee
(if applicable)

Complete this section if you are transferring an IRA.

Name of Current Custodian/Trustee	() Contact Phone Number		
Street Address or P.O. Box	City	State	Zip Code
Name of Fund	Account Number		
Transfer on Maturity Date ____ / ____ / ____			

NOTE: Certificate of Deposit – If your CD is to be transferred to the Dodge & Cox Funds upon maturity, we must receive this form at least 15 days, but not more than 30 days, prior to the maturity date. **There may be a premature withdrawal penalty if you choose to liquidate your CD prior to maturity. If you are transferring more than one CD, and the maturity dates are more than one month apart, please complete another IRA Transfer of Assets Form and send it in closer to the maturity date.**

IRA Transfer of Assets Form

Part 5
Instructions
to Current IRA
Custodian/Trustee
(if applicable)

A. Transfer assets in cash

Liquidate all or \$ _____ or _____ % of assets in the above-referenced account and transfer the proceeds to UMB Bank, n.a., custodian of my Dodge & Cox Funds IRA. The check should be made payable to Dodge & Cox Funds.

OR

B. Transfer of existing Dodge & Cox Funds shares

My assets currently include Dodge & Cox Fund shares to be transferred into Class I shares of the same Dodge & Cox Fund.

All or \$ _____ or _____ % of assets in the above-referenced account.

NOTE: In general, exchanges may be made between share classes of Dodge & Cox Funds provided shareholder making the exchange meets eligibility requirements of the share class being purchased in the exchange. Class X Shares are only available to certain defined contribution retirement plans. Class X shares are not available to retail or other types of investors. See the prospectus for eligibility requirements. Class X shares will be converted into Class I Shares of the same Dodge & Cox Fund upon completion of the transfer.

Part 6
Instructions for
Employer Plan
Administrator
Direct Rollover
(if applicable)

Complete this section if you are transferring a retirement plan from your previous employer. Contact your employer prior to submitting this form, as additional paperwork may be required.

Name of Employer

To the Attention of

Street Address or P.O. Box

City

State

Zip Code

(_____)

Contact Phone Number

Extension

Please transfer my retirement plan distribution to UMB Bank, n.a., custodian of my Dodge & Cox Funds IRA. The check should be made payable to Dodge & Cox Funds.

IRA Transfer of Assets Form

Part 7
Investment
Instructions

Open a new IRA – **A completed Dodge & Cox Funds IRA Application is enclosed.**

OR

Invest in my existing Dodge & Cox Funds IRA(s) **as follows:**

Stock Fund - Class I (145) _____ \$ _____ or _____ %
Account Number

Global Stock Fund - Class I (1049) _____ \$ _____ or _____ %
Account Number

International Stock Fund - Class I (1048) _____ \$ _____ or _____ %
Account Number

Emerging Markets Stock Fund (1051) _____ \$ _____ or _____ %
Account Number

Balanced Fund - Class I (146) _____ \$ _____ or _____ %
Account Number

Income Fund - Class I (147) _____ \$ _____ or _____ %
Account Number

Global Bond Fund - Class I (1050) _____ \$ _____ or _____ %
Account Number

TOTAL: \$ _____ or **100%**

IRA Transfer of Assets Form

Part 8
Certification
and Signature
(if applicable)



I have established a successor IRA that meets the requirements of Internal Revenue Code Section 408(a), 408(p), or 408A (as the case may be) to which these assets will be transferred.

Signature of IRA Owner

____/____/____
Date

Medallion Signature Guarantee (only if required by current custodian or trustee)

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.

Acceptance by
New Custodian
(for internal use)

SS&C GIDS, Inc., as custodial agent for UMB Bank, n.a., agrees to accept funds from the current custodian, and deposit them into a qualified retirement plan on behalf of the owner named in the accompanying transfer request, in accordance with the applicable provisions of the Internal Revenue Service Code.

2024 Substitute Form W-4R Instructions – Withholding Certificate for Nonperiodic Payments and Eligible Rollover Distributions

General Instructions

Section references are to the Internal Revenue Code.

Future developments

For the latest information about any future developments related to Form W-4R, such as legislation enacted after it was published, go to www.irs.gov/FormW4R.

Purpose of form

Complete Form W-4R to have payers withhold the correct amount of federal income tax from your nonperiodic payment or eligible rollover distribution from an employer retirement plan, annuity (including a commercial annuity), or individual retirement arrangement (IRA). See page 2 for the rules and options that are available for each type of payment. Don't use Form W-4R for periodic payments (payments made in installments at regular intervals

over a period of more than 1 year) from these plans or arrangements. Instead, use Form W-4P, Withholding Certificate for Periodic Pension or Annuity Payments. For more information on withholding, see Pub. 505, Tax Withholding and Estimated Tax.

Caution

If you have too little tax withheld, you will generally owe tax when you file your tax return and may owe a penalty unless you make timely payments of estimated tax. If too much tax is withheld, you will generally be due a refund when you file your tax return. Your withholding choice (or an election not to have withholding on a nonperiodic payment) will generally apply to any future payment from the same plan or IRA. Submit a new Form W-4R if you want to change your election.

2024 Marginal Rate Tables

You may use these tables to help you select the appropriate withholding rate for this payment or distribution. Add your income from all sources and use the column that matches your filing status to find the corresponding rate of withholding. See page 3 for more information on how to use this table.

Single or Married filing separately		Married filing jointly or Qualifying surviving spouse		Head of household	
Total income over—	Tax rate for every dollar more	Total income over—	Tax rate for every dollar more	Total income over—	Tax rate for every dollar more
\$0	0%	\$0	0%	\$0	0%
14,600	10%	29,200	10%	21,900	10%
26,200	12%	52,400	12%	38,450	12%
61,750	22%	123,500	22%	85,000	22%
115,125	24%	230,250	24%	122,400	24%
206,550	32%	413,100	32%	213,850	32%
258,325	35%	516,650	35%	265,600	35%
623,950*	37%	760,400	37%	631,250	37%

* If married filing separately, use \$380,200 instead for this 37% rate.

2024 Substitute Form W-4R Instructions – Withholding Certificate for Nonperiodic Payments and Eligible Rollover Distributions

General Instructions (continued)

Nonperiodic payments—10% withholding

Your payer must withhold at a default 10% rate from the taxable amount of nonperiodic payments **unless** you enter a different rate on line 2. Distributions from an IRA that are payable on demand are treated as nonperiodic payments. Note that the default rate of withholding may not be appropriate for your tax situation. You may choose to have no federal income tax withheld by entering “-0-” on line 2. See the specific instructions below for more information. Generally, you are not permitted to elect to have federal income tax withheld at a rate of less than 10% (including “-0-”) on any payments to be delivered outside the United States and its territories.

NOTE: If you don't give Form W-4R to your payer, you don't provide an SSN, or the IRS notifies the payer that you gave an incorrect SSN, then the payer must withhold 10% of the payment for federal income tax and can't honor requests to have a lower (or no) amount withheld. Generally, for payments that began before 2024, your current withholding election (or your default rate) remains in effect unless you submit a Form W-4R.

Eligible rollover distributions—20% withholding

Distributions you receive from qualified retirement plans (for example, 401(k) plans and section 457(b) plans maintained by a governmental employer) or tax-sheltered annuities that are eligible to be rolled over to an IRA or qualified plan are subject to a 20% default rate of withholding on the taxable amount of the distribution. You can't choose withholding at a rate of less than 20% (including “-0-”). Note that the default rate of withholding may be too low for your tax situation. You may choose to enter a rate higher than

20% on line 2. Don't give Form W-4R to your payer unless you want more than 20% withheld.

Note that the following payments are **not** eligible rollover distributions for purposes of these withholding rules:

- Qualifying “hardship” distributions;
- Distributions required by federal law, such as required minimum distributions;
- Generally, distributions from a pension-linked emergency savings account;
- Eligible distributions to a domestic abuse victim;
- Qualified disaster recovery distributions;
- Qualified birth or adoption distributions; and
- Emergency personal expense distributions.

See Pub. 505 for details. See also Nonperiodic payments—10% withholding above.

Payments to nonresident aliens and foreign estates

Do not use Form W-4R. See Pub. 515, Withholding of Tax on Nonresident Aliens and Foreign Entities, and Pub. 519, U.S. Tax Guide for Aliens, for more information.

Tax relief for victims of terrorist attacks

If your disability payments for injuries incurred as a direct result of a terrorist attack are not taxable, enter “-0-” on line 2. See Pub. 3920, Tax Relief for Victims of Terrorist Attacks, for more details.

2024 Substitute Form W-4R Instructions – Withholding Certificate for Nonperiodic Payments and Eligible Rollover Distributions

Specific Instructions

Line 1b

For an estate, enter the estate's employer identification number (EIN) in the area reserved for "Social security number."

Line 2

More withholding

If you want more than the default rate withheld from your payment, you may enter a higher rate on line 2.

Less withholding (nonperiodic payments only)

If permitted, you may enter a lower rate on line 2 (including "-0-") if you want less than the 10% default rate withheld from your payment. If you have already paid, or plan to pay, your tax on this payment through other withholding or estimated tax payments, you may want to enter "-0-".

Suggestion for determining withholding

Consider using the Marginal Rate Tables on page 1 to help you select the appropriate withholding rate for this payment or distribution. The tables are most accurate if the appropriate amount of tax on all other sources of income, deductions, and credits has been paid through other withholding or estimated tax payments. If the appropriate amount of tax on those sources of income has not been paid through other withholding or estimated tax payments, you can pay that tax through withholding on this payment by entering a rate that is greater than the rate in the Marginal Rate Tables.

The marginal tax rate is the rate of tax on each additional dollar of income you receive above a particular amount of income. You can use the table for your filing status as a guide to find a rate of withholding for amounts above the total income level in the table.

To determine the appropriate rate of withholding from the table, do the following. Step 1: Find the rate that corresponds with your total income not including the payment. Step 2: Add your total income and the taxable amount of the payment and find the corresponding rate.

If these two rates are the same, enter that rate on line 2. (See Example 1 below.)

If the two rates differ, multiply (a) the amount in the lower rate bracket by the rate for that bracket, and

(b) the amount in the higher rate bracket by the rate for that bracket. Add these two numbers; this is the expected tax for this payment. To get the rate to have withheld, divide this amount by the taxable amount of the payment. Round up to the next whole number and enter that rate on line 2. (See Example 2 below.)

If you prefer a simpler approach (but one that may lead to overwithholding), find the rate that corresponds to your total income including the payment and enter that rate on line 2.

Examples

Assume the following facts for Examples 1 and 2. Your filing status is single. You expect the taxable amount of your payment to be \$20,000. Appropriate amounts have been withheld for all other sources of income and any deductions or credits.

Example 1: You expect your total income to be \$62,000 without the payment. Step 1: Because your total income without the payment, \$62,000, is greater than \$61,750 but less than \$115,125, the corresponding rate is 22%. Step 2: Because your total income with the payment, \$82,000, is greater than \$61,750 but less than \$115,125, the corresponding rate is 22%. Because these two rates are the same, enter "22" on line 2.

Example 2: You expect your total income to be \$43,700 without the payment. Step 1: Because your total income without the payment, \$43,700, is greater than \$26,200 but less than \$61,750, the corresponding rate is 12%. Step 2: Because your total income with the payment, \$63,700, is greater than \$61,750 but less than \$115,125, the corresponding rate is 22%. The two rates differ. \$18,050 of the \$20,000 payment is in the lower bracket (\$61,750 less your total income of \$43,700 without the payment), and \$1,950 is in the higher bracket (\$20,000 less the \$18,050 that is in the lower bracket). Multiply \$18,050 by 12% to get \$2,166. Multiply \$1,950 by 22% to get \$429. The sum of these two amounts is \$2,595. This is the estimated tax on your payment. This amount corresponds to 13% of the \$20,000 payment (\$2,595 divided by \$20,000). Enter "13" on line 2.