

IRA Transfer of Assets Form

Instructions

Asset Transfers, Direct and Indirect Rollovers may be processed online through dodgeandcox.com by clicking on "Open an account in the Dodge & Cox Funds" under the "Invest with Us" section.

OR

Use this form to transfer assets from an existing non-Dodge & Cox Funds IRA or for a direct rollover from an employer-sponsored retirement plan or (e.g., 401(k), 403(b), or 457) to a Dodge & Cox Funds IRA. **Before using this form, check with your employer regarding procedures for direct rollovers.** Dodge & Cox Funds does not require a medallion signature guarantee to accept your transfer of assets, however your current custodian/trustee may have signature requirements. Please contact your current IRA custodian/trustee to determine if they require a medallion signature guarantee.

To fund an existing Dodge & Cox Funds IRA complete this form. To establish a new Dodge & Cox Funds IRA complete this form and attach a completed IRA application. Mail the form(s) to the address below and we will initiate the transfer with your current IRA custodian/trustee or your employer.

If you are transferring more than one IRA or rollover, please complete a separate form for each transfer.

Mailing Instructions

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

NOTE: It is your responsibility to assure prompt transfer of the assets from the current custodian/trustee or employer to UMB Bank, n.a. If you do not receive a confirmation statement detailing the transfer within 30 days, please call your current custodian/trustee or employer. It is also your responsibility to keep track of after-tax contributions and non-deductible contributions. The IRS generally, with certain exceptions, only allows one rollover in any twelve month period, regardless of the number of IRAs you own. It is your responsibility to ensure that you do not exceed the number and type of allowable rollovers in a given twelve month period.

Part 1 Shareholder Information

Prefix	First Name	Middle Initial	Last Name
_____	_____	_____	_____
Social Security Number		Contact Phone Number	
_____ - _____ - _____		(_____) _____	
Street Address or P.O. Box			

City	State	Zip Code	
_____	_____	_____	

Part 2 Type of IRA

Transfer to a Dodge & Cox Funds—UMB Bank, n.a.:

Traditional IRA

NOTE: If you will be 72 or older (70 1/2 for those born before July 1, 1949), please contact your current custodian to satisfy your required minimum distribution before your transfer.

SEP IRA

NOTE: Transfers to a traditional or simplified employee pension (SEP) IRA may be made from another traditional, SEP IRA, or a SIMPLE IRA (but not until at least two years after the first contribution to your SIMPLE IRA). You may not transfer assets from a Roth IRA to a SEP IRA.

Roth IRA

NOTE: Transfers to a Roth IRA may be made from another Roth, traditional IRA, SEP IRA, or a SIMPLE IRA (but not until at least two years after the first contribution to your SIMPLE IRA). A transfer to a Roth IRA from another IRA will trigger federal income tax on the taxable amount to be transferred.

A participant in an employer retirement plan who is eligible to remove assets from the plan may make a direct rollover to an IRA. Beneficiaries of eligible assets in retirement plans can also roll over to their own or an inherited traditional IRA non-taxably or a Roth IRA taxably.

Inherited IRA Decedent's Date of Death: _____ / _____ / _____

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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 72 or older (or 70 1/2 if born before July 1, 1949) 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.** If you do not check the box below, federal income tax will be withheld at a rate of 10%.

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.

I DO **NOT** WANT to have federal income tax withheld from my conversion amount.

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.**

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.

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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.

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

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

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

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

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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)

DST Asset Manager Solutions, 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.