

IRA Conversion Form

Instructions

A conversion is a reportable movement of IRA assets (e.g., traditional, inherited, spousal, SEP IRA) to a Roth IRA. Use this form to convert your Dodge & Cox Funds IRA. Do not use this form for an IRA Recharacterization. A Roth Conversion may also be done online through your account access at dodgeandcox.com or by phone at 800-621-3979.

Important Information About Converting

Read your Dodge & Cox Funds — UMB Bank, n.a. Individual Retirement Account Disclosure Statement and Custodial Agreement, which contain information for converting your Dodge & Cox Funds IRA.

- If you are 72 or over (70 1/2 for those born before July 1, 1949), your Required Minimum Distribution (RMD) is NOT eligible for conversion. The RMD for the calendar year must be taken prior to converting to a Roth IRA.
- You are responsible for maintaining records of your conversions, recharacterizations, and annual contributions in order to properly complete your federal tax forms.
- Effective January 1, 2018, pursuant to the Tax Cuts and Jobs Act (Pub. L. No. 115-97), a conversion from a traditional IRA, SEP or SIMPLE to a Roth IRA cannot be recharacterized. The new law also prohibits recharacterizing amounts rolled over to a Roth IRA from other retirement plans, such as 401(k) or 403(b) plans.

If you are converting shares to an **existing** Dodge & Cox Funds IRA:

- Account owner must complete Parts 1-6 of the **IRA Conversion Form**.

If you are converting shares to a **new** Dodge & Cox Funds IRA:

- Account owner must complete Parts 1-6 of the **IRA Conversion Form**.
- Enclose a completed **IRA Application**. Each new Fund account must meet the \$1,000 initial minimum investment requirement.

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

_____ - _____ - _____ (_____) _____
Social Security Number Contact Phone Number

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Part 2
Type of IRA
to Convert

Check the type of IRA you are converting:

- Traditional IRA Rollover IRA SEP IRA Inherited Spousal IRA

Part 3
Conversion
Instructions

Indicate the Fund and account number, as well as the dollar amount, share amount, or percentage you wish to convert. For a full conversion, indicate 100%.

_____	_____	\$ _____	or	# _____	or	_____ %
Fund	Account Number					
_____	_____	\$ _____	or	# _____	or	_____ %
Fund	Account Number					
_____	_____	\$ _____	or	# _____	or	_____ %
Fund	Account Number					
_____	_____	\$ _____	or	# _____	or	_____ %
Fund	Account Number					
_____	_____	\$ _____	or	# _____	or	_____ %
Fund	Account Number					
_____	_____	\$ _____	or	# _____	or	_____ %
Fund	Account Number					

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Part 4
Investment Instructions –
Existing or New Roth IRA

You may invest your converted assets in an existing Dodge & Cox Funds Roth IRA(s), or you may establish a new Roth IRA for these assets.

A. Existing Dodge & Cox Funds Roth IRA

Invest the assets from this conversion into my existing Dodge & Cox Funds Roth IRA(s) listed below:

_____	_____	\$ _____	or	# _____	or	_____ %
Fund	Account Number					
_____	_____	\$ _____	or	# _____	or	_____ %
Fund	Account Number					
_____	_____	\$ _____	or	# _____	or	_____ %
Fund	Account Number					
_____	_____	\$ _____	or	# _____	or	_____ %
Fund	Account Number					
_____	_____	\$ _____	or	# _____	or	_____ %
Fund	Account Number					
_____	_____	\$ _____	or	# _____	or	_____ %
Fund	Account Number					

B. New Dodge & Cox Funds Roth IRA

Invest the assets from this conversion into a **new** Dodge & Cox Funds Roth IRA. **Enclose a completed IRA Application. Each new Fund account must meet the \$1,000 initial minimum investment requirement.**

<input type="checkbox"/> <u>Stock Fund - Class I (145)</u>	\$ _____	or	# _____	or	_____ %
<input type="checkbox"/> <u>Global Stock Fund - Class I (1049)</u>	\$ _____	or	# _____	or	_____ %
<input type="checkbox"/> <u>International Stock Fund - Class I (1048)</u>	\$ _____	or	# _____	or	_____ %
<input type="checkbox"/> <u>Balanced Fund - Class I (146)</u>	\$ _____	or	# _____	or	_____ %
<input type="checkbox"/> <u>Income Fund - Class I (147)</u>	\$ _____	or	# _____	or	_____ %
<input type="checkbox"/> <u>Global Bond Fund - Class I (1050)</u>	\$ _____	or	# _____	or	_____ %
<input type="checkbox"/> <u>Emerging Markets Stock Fund (1051)</u>	\$ _____	or	# _____	or	_____ %

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Part 5
Income Tax
Withholding
and Verification

Withholding Instructions. Under IRS rules, a conversion to a Roth IRA is treated for income tax purposes as a distribution of taxable amounts in the other IRA. IRS rules also require the custodian to withhold 10% of the amount transferred for federal income taxes unless no withholding has been elected. See IRS Publication 505, "Tax Withholding and Estimated Tax" for more information. State tax withholding may also apply if federal income tax is withheld.

Consult with your tax advisor or refer to your states tax laws for more information. **Caution:** Withholding income taxes from the amount converted (instead of paying applicable income taxes from another source) may adversely impact the expected financial benefits of transferring from another IRA to a Roth IRA (consult your financial adviser if you have a question). Because of this impact, by electing to convert to a Roth IRA, **you are deemed to elect no withholding unless you check the box below.** In so doing, you acknowledge that you may be required to pay estimated tax and that insufficient payments of estimated tax may result in penalties.

Withhold 10% for federal income tax or _____%

Part 6
Certification
and Signature

I certify the accuracy of the information provided on the IRA Conversion Form and authorize Dodge & Cox Funds to convert a Dodge & Cox Funds IRA.

I accept full responsibility for complying with all IRS requirements with respect to my Dodge & Cox Funds—UMB Bank, n.a. IRA. I hereby indemnify Dodge & Cox, Dodge & Cox Funds, DST Asset Manager Solutions, Inc., and UMB Bank, n.a., and any affiliate and/or any of their directors, trustees, employees, and agents if I fail to meet such IRS requirements.



Signature of IRA Owner

____/____/____
Date

NOTE: Conversions are limited to the calendar year and cannot apply to a prior year. The conversion must be completed by December 31 to be reportable for the tax year.