

## Instructions for Transferring an IRA Due to Inheritance

### Instructions

We understand this is a difficult time. The instructions below will help you transfer an IRA to an individual or nonprofit organization due to the death of an account owner. Please note there are different requirements depending on what type of beneficiary you are.

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 [www.dodgeandcox.com](http://www.dodgeandcox.com).

#### Spouse Beneficiaries **ONLY** can either:

- Transfer the account into your own existing or new IRA.
  - You are not required to take a required minimum distribution (RMD) until you reach 72 or over (70 1/2 for those born before July 1, 1949) if establishing a traditional IRA.
  - Treat the IRA as your own and make contributions if applicable.
- Transfer to an inherited IRA.
  - If your spouse was taking RMD distributions, you must take your first RMD by December 31 of the year following the original IRA owner's death.
  - If your spouse was not yet taking RMD distributions, you do not have to begin taking RMD distributions until the year the original IRA owner would have turned 72 or over (70 1/2 for those born before July 1, 1949).
  - You can not make additional contributions to an inherited IRA.

#### Nonspouse Beneficiaries:

- Transfer to an inherited IRA only.
- Begin taking RMD generally by December 31 of the year following the original IRA owner's death.
- You can not make additional contributions.
  
- 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 deceased account owner's state of residence's law, provide a state inheritance tax waiver.
- Beneficiary must attach a completed **IRA Application** if applicable.
- If the account is being transferred to multiple beneficiaries, complete the **Inheritance Form** and **IRA Application** (if applicable) for each beneficiary.

#### Disposition of the inherited shares:

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

## IRA Inheritance Form

### 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

Account Number

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
Shareholder Date of Death

### Part 2 Transfer Instructions

Transfer to: (check one box only)

- A new Dodge & Cox Funds IRA. Attach a completed **IRA Application** for beneficiary.
- An existing Dodge & Cox Funds IRA (spouses only).

\_\_\_\_\_  
Name of Beneficiary

(\_\_\_\_\_)\_\_\_\_\_  
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 dollar amount: \$ \_\_\_\_\_
- Transfer number of shares: # \_\_\_\_\_

## IRA 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, DST Asset Manager Solutions, Inc., and UMB Bank, n.a. 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.