

# IRA Recharacterization Form

Instructions

Use this form to recharacterize all or part of your IRA contribution.

Mailing Address

Regular Mail:

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

Express, Certified, or Registered Mail:

Dodge & Cox Funds  
801 Pennsylvania Ave  
Suite 219502  
Kansas City, MO 64105-1307

Part 1  
Current Account Information

Name/Account Registration

\_\_\_\_ - \_\_\_\_ - \_\_\_\_ (\_\_\_\_)

Social Security Number Contact Phone Number

Fund

Account Number

Part 2  
Type of Recharacterization

Recharacterize all or part of a previous IRA **contribution** back to another type of IRA by filling in the blanks below with the IRA type:

Recharacterize a previous

Check one below

☐ Roth IRA contribution

☐ traditional IRA contribution

☐ SEP IRA contribution

to a

Check one below

☐ Roth IRA contribution

☐ traditional IRA contribution

☐ SEP IRA contribution

IRA Recharacterization Form

Part 3  
Recharacterization  
Information

Indicate the Fund, account number, dollar amount and tax year of the original contribution amount you wish to recharacterize.

NOTE: Specify all or part of your **original** contribution amount(s) only. Dodge & Cox Funds will determine the earnings or losses attributable to that amount. Also include that amount in your recharacterization as required by the IRS.

Provide the tax year for which the contribution was originally made.

<div></div> <div>Fund</div>	<div></div> <div>Account Number</div>	<div>\$</div> <div>Amount to Recharacterize</div>	<div></div> <div>Tax Year of Contribution</div>
<div></div> <div>Fund</div>	<div></div> <div>Account Number</div>	<div>\$</div> <div>Amount to Recharacterize</div>	<div></div> <div>Tax Year of Contribution</div>
<div></div> <div>Fund</div>	<div></div> <div>Account Number</div>	<div>\$</div> <div>Amount to Recharacterize</div>	<div></div> <div>Tax Year of Contribution</div>
<div></div> <div>Fund</div>	<div></div> <div>Account Number</div>	<div>\$</div> <div>Amount to Recharacterize</div>	<div></div> <div>Tax Year of Contribution</div>
<div></div> <div>Fund</div>	<div></div> <div>Account Number</div>	<div>\$</div> <div>Amount to Recharacterize</div>	<div></div> <div>Tax Year of Contribution</div>
<div></div> <div>Fund</div>	<div></div> <div>Account Number</div>	<div>\$</div> <div>Amount to Recharacterize</div>	<div></div> <div>Tax Year of Contribution</div>
<div></div> <div>Fund</div>	<div></div> <div>Account Number</div>	<div>\$</div> <div>Amount to Recharacterize</div>	<div></div> <div>Tax Year of Contribution</div>

IRA Recharacterization Form

Part 4  
Investment Instructions –  
Existing or New IRA

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

A. Existing Dodge & Cox Funds IRA

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

Fund	Account Number	\$ Amount
Fund	Account Number	\$ Amount
Fund	Account Number	\$ Amount
Fund	Account Number	\$ Amount
Fund	Account Number	\$ Amount
Fund	Account Number	\$ Amount
Fund	Account Number	\$ Amount

B. New Dodge & Cox Funds IRA

☐ Invest the assets from this recharacterization into a **new** Dodge & Cox Funds IRA. **You must enclose a completed IRA Application, and each new Fund account established must meet the \$1,000 minimum requirement.**

☐ Stock Fund - Class I (145)

\$  
Amount

☐ Global Stock Fund - Class I (1049)

\$  
Amount

☐ International Stock Fund - Class I (1048)

\$  
Amount

☐ Emerging Markets Stock Fund (1051)

\$  
Amount

☐ Balanced Fund - Class I (146)

\$  
Amount

☐ Income Fund - Class I (147)

\$  
Amount

☐ Global Bond Fund - Class I (1050)

\$  
Amount

## IRA Recharacterization Form

Part 5

Certification  
and Signature

I certify the accuracy of the information provided and authorize Dodge & Cox Funds to recharacterize a previous IRA contribution as instructed. I certify that this recharacterization is valid under the IRS rules for deadlines and filing extensions.

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, SS&C GIDS, 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

\_\_\_\_/\_\_\_\_/\_\_\_\_