

# IRA Options Form

## Instructions

Use this form to establish any of the options listed below in your Dodge & Cox Funds IRA(s). To set up periodic distributions from your IRA(s), complete an IRA Distribution Request Form.

NOTE: For your protection, following the addition of a new bank account or following any change to an automatic trade using an existing bank instruction you must wait 15 days before you can have proceeds from a redemption settled to that bank account.

## 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

( )

Contact Phone Number

Email Address

## Part 2 Account Numbers

Fund

Account Number

Fund

Account Number

Fund

Account Number

Fund

Account Number

Fund

Account Number

Fund

Account Number

Fund

Account Number

## Part 3 Name Change

Account owner name change

NEW Name of Account Owner

Social Security Number

Date of Birth

The account owner must have his/her **new** signature guaranteed in Part 10.

## Part 4 Consent for Electronic Delivery

Indicate if you would like to receive your statements and other important documents online. You will receive a notification to the email address provided in Part 1 informing you that the documents are available for viewing on the Funds' website. Confidential account information will not be sent via email. You can change this election at any time.

All Documents

**OR** Select Document Type:

Account Statements

Confirmation Statements

Fund Reports, Prospectus, and Proxies

Additional Fund Communications

Tax Forms

Email Address (please print clearly)

NOTE: To update the email or phone number on your security profile, please log in to your account at [dodgeandcox.com](http://dodgeandcox.com) or call us at (800) 621-3979.

## IRA Options Form

### Part 5 Telephone and Internet Privileges

Check the box below to add telephone and internet capabilities to your account(s).

- Add Telephone and Internet Capabilities  
 Remove Telephone and Internet Capabilities

### Part 6 Trusted Contacts (optional)

A Trusted Contact must be 18 years of age or older. By providing the information below, you authorize Dodge & Cox Funds to contact the designated Trusted Contact to discuss information about your account(s) to prevent the presumption of abandonment of your account(s), address possible financial exploitation concerns, confirm your current contact information, confirm the identity of any legal guardian, executor, trustee, or holder of a power of attorney, or as otherwise permitted by federal or state law. A Trusted Contact does not have authority to transact on your account(s).

**NOTE: We will also treat Trusted Contact 1 as your designated Escheatment Notice Representative as defined by certain states.**

#### Trusted Contact 1

Name \_\_\_\_\_  
 Phone Number \_\_\_\_\_  
 Email Address \_\_\_\_\_  
 Mailing Address \_\_\_\_\_  
 Mailing Address \_\_\_\_\_  
 Mailing Address \_\_\_\_\_

#### Trusted Contact 2

Name \_\_\_\_\_  
 Phone Number \_\_\_\_\_  
 Email Address \_\_\_\_\_  
 Mailing Address \_\_\_\_\_  
 Mailing Address \_\_\_\_\_  
 Mailing Address \_\_\_\_\_

### Part 7 Automatic Investment Plan (AIP)

Establish automatic investments in your IRA(s) through deductions from your bank account.

Frequency:  Monthly  Quarterly  Semi-annually  Annually

Fund _____	Amount (\$100 minimum) _____	Start Date _____ / _____ / _____	Day(s) of Month _____
Fund _____	Amount (\$100 minimum) _____	Start Date _____ / _____ / _____	Day(s) of Month _____
Fund _____	Amount (\$100 minimum) _____	Start Date _____ / _____ / _____	Day(s) of Month _____
Fund _____	Amount (\$100 minimum) _____	Start Date _____ / _____ / _____	Day(s) of Month _____
Fund _____	Amount (\$100 minimum) _____	Start Date _____ / _____ / _____	Day(s) of Month _____
Fund _____	Amount (\$100 minimum) _____	Start Date _____ / _____ / _____	Day(s) of Month _____
Fund _____	Amount (\$100 minimum) _____	Start Date _____ / _____ / _____	Day(s) of Month _____

Check here if the account(s) listed above have a previously established AIP which you would like to remain active in addition to the above AIP. (If you **do not** check this box, the previously established AIP will be replaced).

**Complete Part 9, Bank Information to establish this option.**

## IRA Options Form

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**Part 7**  
**Automatic Investment  
Plan (AIP)**  
(continued)

**IMPORTANT NOTES:**

- Contributions can be credited for the prior year until April 15 only upon request.
- It is your responsibility to ensure that investments do not exceed your annual contribution limit. If you over contribute, the IRS may charge you a substantial penalty.
- An AIP normally becomes active **15 days** after this form is processed.
- If no day or frequency is chosen, withdrawals will be made on or about the 5th business day of a month.
- If no start date is provided, the AIP will begin as soon as the option is established in accordance with the instructions provided.

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**Part 8**  
**Distribution Options**  
(59 1/2 years of age  
or older only)

If you are 59 1/2 or older, you can complete this section to indicate if you would like distributions reinvested or paid in cash. If no boxes are checked, all dividends and capital gains will be reinvested.

Cash Distributions of \$10 or more from an IRA will be reported on Form 1099-R and may be taxable income for you. By making this election, you agree that Dodge & Cox Funds will NOT apply any state or federal tax withholding to dividend and/or capital gains amounts paid out to you in cash. You are responsible for the payment of any federal and state tax due. You may incur penalties under the estimated tax rules if your withholding and estimated tax payments are not sufficient. If you require specific information concerning your individual tax situation, please consult with a tax advisor or refer to the IRS and state instructions for preparing income tax returns.

**Substitute Withholding Certificate:**

Your withholding rate is determined by the type of payment you will receive. For non-periodic payments on taxable accounts, the default withholding rate is 10%. Generally, you can't choose less than 10% for payments to be delivered outside the United States and its possessions. You can also go to Form W-4R, found online at <https://www.irs.gov/pub/irs-pdf/fw4r.pdf>, for further instructions and a rate table that helps you choose a rate that is appropriate for your tax situation. By electing to have income dividends or capital gains distributed in cash on your taxable IRA, the withholding rate shall be: **10%**. You can choose to have a different rate by electing to reinvest capital gains and dividend distributions and processing a distribution from your IRA using an IRA Distribution Request Form and completing the withholding election on that Form. Non-taxable IRA accounts (such as Roth IRA), the withholding rate shall be: **0%**.

Income Dividends:     Reinvest     Cash

Capital Gains:         Reinvest     Cash

If any distributions are to be paid in cash, specify payment method:

- Deposit to bank account (**Complete Part 9, Bank Information**)
- Send check to mailing address in Part 1

## IRA Options Form

### Part 9 Bank Information

If you have completed Parts 5 or 6, attach a voided check (checking account), preprinted deposit slip (savings account), or separate instructions (brokerage account). **A signature authentication is required for redemption privileges.** Your bank must be a member of the Automated Clearing House (ACH) system to use any options that require the completion of this section. Please call your bank if you are unsure. If you are including a preprinted deposit slip the bank routing number is usually NOT located on your slip. Please call your bank for the routing number. **Money market accounts are not eligible for banking privileges.**

Check here if this replaces existing bank information already on your account(s).

Bank Account Type:  Checking Account  Savings Account  Brokerage Account

NOTE: For Brokerage Accounts — The bank information (bank name, bank account number, ABA) may be different for ACH versus wire. If the bank information is different, provide the information on a separate sheet and attach it to this application. Please call your brokerage firm if you are unsure.

Attach a voided check (checking account) or preprinted deposit slip (savings account) here

The Dodge & Cox Funds account and bank account provided must have at least one common owner.

Bank Name

Bank Account Registration

Bank Account Number

Bank Routing (ABA) Number

## IRA Options Form

**Part 10**  
**Certification**  
**and Signature**

I have received and read the Dodge & Cox Funds' prospectus and the summary prospectus (available at [dodgeandcox.com](http://dodgeandcox.com)) for each of the Funds in which I am investing and believe that the investment is suitable for me. I understand the investment objectives and policies of the Fund(s) and agree to be bound by the terms of the prospectus. I am of legal age in my state of residence and have full authority to establish and use any related privileges.

I understand that I am responsible for any tax consequences or penalties which may result from elections I make or any contributions, conversions, distributions, or recharacterizations which I initiate. I authorize Dodge & Cox Funds, their affiliates and agents, to act on any instructions believed to be genuine for any services authorized on this Form, including telephone options. Dodge & Cox Funds, Dodge & Cox, SS&C GIDS, Inc., UMB Bank, n.a., and any affiliate and/or any of their directors, trustees, employees, and agents will not be held liable for any claims, losses, or expenses (including legal fees) for acting on any instructions or inquiries believed to be genuine, provided that reasonable security procedures have been followed.

By completing Parts 7 or 8, I hereby authorize the Funds to initiate credits and/or debits to my account at the bank indicated in Part 9 and for the bank to honor all entries to my account.



\_\_\_\_\_  
Signature of IRA Owner

\_\_\_\_/\_\_\_\_/\_\_\_\_  
Date



\_\_\_\_\_  
Signature of Parent/Custodian

\_\_\_\_/\_\_\_\_/\_\_\_\_  
Date

Signature Authentication Options:

Medallion Signature Guarantee, SVP Stamp Guarantee, or Notary Public Stamp

NOTE: A medallion signature guarantee and SVP stamp 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. A notary public stamp can be obtained from a notary public signing agent.

# 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](http://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.