

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
c/o DST Asset Manager Solutions, Inc.
P.O. Box 219502
Kansas City, MO 64121-9502

Express, Certified, or Registered Mail:

Dodge & Cox Funds
c/o DST Asset Manager Solutions, Inc.
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 70 1/2 or older, 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: ____/____/____

**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 70 1/2 or older 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.

	()	
<i>Name of Current Custodian/Trustee</i>		<i>Contact Phone Number</i>
<i>Street Address or P.O. Box</i>	<i>City</i>	<i>State</i> <i>Zip Code</i>
<i>Name of Fund</i>	<i>Account Number</i>	
<i>Transfer on Maturity Date</i>		

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 in kind

My assets currently include Dodge & Cox Fund shares to be transferred in kind.

All or \$ _____ or _____ % of assets in the above-referenced account.

**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 (145)** _____ \$ _____ or _____ %
Account Number
- Global Stock Fund (1049)** _____ \$ _____ or _____ %
Account Number
- International Stock Fund (1048)** _____ \$ _____ or _____ %
Account Number
- Balanced Fund (146)** _____ \$ _____ or _____ %
Account Number
- Income Fund (147)** _____ \$ _____ or _____ %
Account Number
- Global Bond Fund (1050)** _____ \$ _____ or _____ %
Account Number

TOTAL: \$ _____ or _____ 100%

**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.