



Pax World Mutual Funds

Regular mail: Pax World Mutual Funds PO Box 55370 Boston MA 02205-5370	Overnight mail: Pax World Mutual Funds c/o BFDS 30 Dan Road, Suite #55370 Canton, MA 02021-2809 Telephone: 800.372.7827
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## Roth IRA Conversion Form (External)

Use this form to convert a Traditional, SEP or SIMPLE (after the required 2-year holding period) IRA from another custodian or trustee to a Pax World Roth IRA. **DO NOT USE THIS FORM FOR A RECHARACTERIZATION.**

For help with filling out this form please call 800.372.7827 between 8AM and 6PM ET M-F.

### 1. Personal Information

First Name	Middle Initial	Last Name	Social Security/Tax ID No.
Mailing Address	City	State	Zip Code
Birthdate (mm/dd/yyyy)	Contact Telephone	Email Address	

Check here if contact information above is new.

Pax World Roth IRA Account Number (if applicable) \_\_\_\_\_ Share Class \_\_\_\_\_  
 (If you are establishing a new Pax World Roth IRA you must also complete a *Traditional and Roth IRA Application*).

### 2. Investment Instructions

- Pax Large Cap Fund \$ \_\_\_\_\_ or \_\_\_\_\_ %  Individual Class (3050)
- Pax Mid Cap Fund \$ \_\_\_\_\_ or \_\_\_\_\_ %  Individual Class (3043)
- Pax Small Cap Fund \$ \_\_\_\_\_ or \_\_\_\_\_ %  Individual Class (3048);  
 Class A (3098)
- Pax ESG Beta® Quality Fund \$ \_\_\_\_\_ or \_\_\_\_\_ %  Individual Class (3042);  
 Class A (3092)
- Pax ESG Beta® Dividend Fund \$ \_\_\_\_\_ or \_\_\_\_\_ %  Individual Class (3041)
- Pax MSCI EAFE ESG Leaders Index Fund \$ \_\_\_\_\_ or \_\_\_\_\_ %  Individual Class (3047)
- Pax Ellevest Global Women's Index Fund \$ \_\_\_\_\_ or \_\_\_\_\_ %  Individual Class (3046)
- Pax Global Environmental Markets Fund \$ \_\_\_\_\_ or \_\_\_\_\_ %  Individual Class (3049);  
 Class A (3099)
- Pax Balanced Fund \$ \_\_\_\_\_ or \_\_\_\_\_ %  Individual Class (3040)
- Pax Core Bond Fund \$ \_\_\_\_\_ or \_\_\_\_\_ %  Individual Class (3045)
- Pax High Yield Bond Fund \$ \_\_\_\_\_ or \_\_\_\_\_ %  Individual Class (3044);  
 Class A (3094)

### 3. Tax Withholding Instructions

**Federal Tax Withholding:** Generally, IRA distributions are subject to 10% withholding unless you elect to have an additional amount withheld or elect to have no withholding. You may make a withholding election by selecting one of the options below. Please select one of the following: (If no selection is made, Pax World will withhold 10%, per IRS regulations).

Withholding will apply to the entire amount of the conversion distribution, including the amount of any non-deductible contributions that may have been made to your IRA. You may not convert any portion of a required minimum distribution (RMD). You may still invest the entire amount of the conversion distribution into your Roth IRA by using other assets to replace the amount withheld for federal income taxes.

If you are under age 59½ and you use assets of your IRA to pay taxes on the conversion distribution amount, either by liquidating additional shares or by not replacing amounts withheld for Federal Income Tax, the IRA assets used to pay those taxes could be considered a premature distribution since they are not being converted into a Roth IRA or rolled over into another IRA, and may also be subject to a 10% early withdrawal penalty.

- Do **NOT** withhold Federal Income Tax
- Withhold **10%** Federal Income
- Withhold \_\_\_\_\_ % Federal Income Tax (must be greater than 10%)

**State Tax Withholding:** If you elect to have Federal income tax withheld from your withdrawal and your state of residence requires mandatory state tax withholding, Pax World is also required to withhold state income tax. Please contact your state Department of Revenue or a qualified tax advisor for additional information. There can be no assurance that current state tax laws and IRS rules will remain constant.

### 4. Tell Us about Your Current IRA and Authorize Transfer from Your Current Custodian.

- To avoid delays check with your current custodian for their correct address and if they require a Medallion Signature Guarantee.
- Attach a copy of a current statement if possible.

\_\_\_\_\_  
Name of Current Custodian or Agent

\_\_\_\_\_  
Address of Current Custodian or Agent

\_\_\_\_\_  
City

\_\_\_\_\_  
State

\_\_\_\_\_  
Zip Code

(\_\_\_\_\_) \_\_\_\_\_  
Daytime Telephone of Custodian

Daytime Telephone of Custodian

Please transfer the following investments to UMB Bank, n.a. as custodian for the Pax World Roth IRA.

1. Fund Name or Type of Investment to be converted: \_\_\_\_\_

Account Number for Investment 1: # \_\_\_\_\_  Entire Account  Partial \$: \_\_\_\_\_

Traditional/Rollover IRA  SEP IRA  SIMPLE IRA (after 2 years)

For Certificates of Deposit

Immediately  At Maturity (Date: \_\_\_\_\_)

2. Fund Name or Type of Investment to be converted: \_\_\_\_\_

Account Number for Investment 2: # \_\_\_\_\_  Entire Account  Partial \$: \_\_\_\_\_

Traditional/Rollover IRA  SEP IRA  SIMPLE IRA (after 2 years)

For Certificates of Deposit

Immediately  At Maturity (Date: \_\_\_\_\_)

I authorize the above custodian of my IRA to liquidate the account(s) indicated for the purpose of converting them to a Pax World Roth IRA. I understand it is my responsibility to assure the prompt conversion of assets by the current custodian. I understand the conversion is irrevocable. I agree I am solely responsible for all tax consequences of this conversion. I authorize Pax World Mutual Funds and UMB Bank, n.a. to process this request on my behalf.

\_\_\_\_\_  
Signature Depositor (required)

\_\_\_\_\_  
Date

**Medallion Signature Guarantee (if required by your current custodian):** An eligible guarantor is a domestic bank or trust company, securities broker/dealer, clearing agency or savings association that participates in a medallion program recognized by the Securities Transfer Agents Association. The three recognized medallion programs are the Securities Transfer Agents Medallion Program (known as STAMP), Stock Exchanges Medallion Program (SEMP), and the Medallion Signature Program (MSP). A notarization from a notary public is NOT an acceptable substitute for a signature guarantee.

**Medallion Signature Guarantee**

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### Instructions to Resigning Custodian/Transfer Agent.

Please convert the following investments as specified in Section 4. Mail check to applicable address below made payable to: UMB Bank, n.a. as Custodian for the Pax World Mutual Funds Roth IRA:

FBO: \_\_\_\_\_ Account #: \_\_\_\_\_

**First Class Mail:**

Pax World Mutual Funds  
PO Box 55370  
Boston MA 02205-5370

**Overnight Courier:**

Pax World Mutual Funds  
c/o BFDS  
30 Dan Road, Suite #55370  
Canton, MA 02021-2809  
Phone: 800.372.7827

### Acceptance by UMB Bank, n.a. as Custodian.

UMB Bank, n.a. as custodian for Pax World Mutual Funds has established a Roth IRA for the above named shareholder and will accept the assets as a Conversion Contribution into the Roth IRA. If the above referenced account(s) are not a Traditional, SEP or SIMPLE IRA, please do not process the request but return it to the shareholder. Pax World Mutual Funds and UMB Bank, n.a., as Custodian, cannot accept assets other than cash in check or draft form. Upon receipt of the check, the proceeds will be credited to the named participant's account.

Accepted by UMB Bank, n.a., as custodian for the Pax World Funds.

\_\_\_\_\_  
Authorized Representative of UMB Bank, n.a.

\_\_\_\_\_  
Date