

ROTH IRA CONVERSION REQUEST FORM – (EXTERNAL)

CONVERT A TRADITIONAL IRA FROM ANOTHER INSTITUTION TO A BRIDGEWAY FUNDS ROTH IRA

Use this form to convert a traditional, SEP or SIMPLE (after the required two year holding period) Individual Retirement Account (“IRA”) from another custodian or trustee to a Bridgeway Funds Roth IRA. If establishing a new Roth IRA, attach a completed Roth Individual Retirement Account Application and Adoption Agreement. This form is not intended for initiating conversions from employer sponsored plans; 401(k) or 403(b) plans (contact your plan’s administrator for instructions).

Effective January 1, 2018, a Roth IRA conversion cannot be recharacterized back to a traditional, SEP or SIMPLE IRA. A Roth IRA conversion is considered an irrevocable election which cannot be “reversed” or “corrected”.

PARTICIPANT INFORMATION

Name: _____ Daytime Telephone: (_____) _____

Address: _____

City: _____ State: _____ Zip Code: _____

Last Four Digits of your Social Security Number: _____ Date of Birth: _____

INVESTMENT INSTRUCTIONS FOR CONVERTED PROCEEDS

New Roth IRA - follow the investment instructions as provided on the attached application.

Invest the proceeds as follows into my existing Roth IRA: Account Number: _____

Fund Name: _____ Dollar Amount \$ _____ or Percentage _____ %

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Must equal 100%

TAX WITHHOLDING ELECTION

A. Federal Withholding: Federal income tax will be withheld at the rate of 10% from any distribution, subject to the IRS withholding rules, unless you elect a withholding rate of 0% below or have previously elected out of withholding. Tax will be withheld on the gross amount of the payment even though you may be receiving amounts that are not subject to withholding because they are excluded from gross income. This withholding procedure may result in excess withholding on the payments. If you elect to have no federal taxes withheld from your distribution, or if you do not have enough federal income tax withheld from your distribution, you may be responsible for payment of estimated tax. You may incur penalties under the estimated tax rules if your withholding and estimated tax payments are not sufficient.

I elect federal income tax withholding of 0%, do not withhold federal income tax from my distributions.*

I elect federal income tax withholding of _____% must be a whole percent, you may elect any rate from 1% to 100%.*

See the attached Form W-4R Withholding Certificate for Nonperiodic Payments which has the **Marginal Rate Tables** and “**Suggestion for determining withholding**” instructions. You may use these tables and instructions to help you select the appropriate withholding rate.

*Generally, you can’t elect less than 10% federal income tax withholding for payments to be delivered outside the United States and its possessions.

B. State Withholding— contact your current custodian or trustee for state tax withholding requirements, if any.

Your state of residence will determine your state income tax withholding requirements, if any. Those states with mandatory withholding may require state income tax to be withheld from payments if federal income taxes are withheld or may mandate a fixed amount regardless of your federal tax election. Voluntary states let individuals determine whether they want state taxes withheld. Some states have no income tax on retirement payments. Please consult with a tax advisor or your state’s tax authority for additional information on your state requirements.

I elect **NOT TO** have state income tax withheld from my retirement account distribution (only for residents of states that do not require mandatory state tax withholding).

I elect **TO** have the following dollar amount or percentage withheld from my retirement account distribution for state income taxes (for residents of states that allow voluntary state tax withholding). \$ _____ or _____ %

ROTH IRA CONVERSION REQUEST FORM - (EXTERNAL) Continued

CURRENT CUSTODIAN AND ACCOUNT INFORMATION

To avoid delays, contact your current custodian to verify their correct address and ask if they require a Medallion Signature Guarantee. Please see the Participant Authorization section for an explanation of the Medallion Signature Guarantee. Please also attach your most recent statement, if possible.

Current Custodian: _____ Telephone Number: () _____

Address: _____

City: _____ State: _____ Zip Code: _____

1) Investment to Convert: _____ Account Number: _____

Distributing Account Type: Traditional/Rollover IRA SEP IRA SIMPLE IRA – (after the required two year holding period)

Amount to be Distributed: Liquidate Entire Account Partial \$ _____

For Certificates of Deposit: Immediately* At Maturity Date _____

2) Investment to Convert: _____ Account Number: _____

Distributing Account Type: Traditional/Rollover IRA SEP IRA SIMPLE IRA – (after the required two year holding period)

Amount to be Distributed: Liquidate Entire Account Partial \$ _____

For Certificates of Deposit: Immediately* At Maturity Date _____

***Note:** if you wish to have certificates of deposit transferred immediately and they have not matured, you may incur a redemption penalty. We cannot accept requests to convert certificates of deposit more than 60 days before their maturity.

PARTICIPANT AUTHORIZATION

I authorize the current custodian or trustee of my IRA to distribute the amount(s) indicated for the purpose of converting them to a Roth IRA with Bridgeway Funds and to issue a check as indicated below. I understand it is my responsibility to insure the prompt conversion of assets by the current custodian or trustee. I understand that I am solely responsible for all tax consequences and agree that neither Bridgeway Funds nor their Custodian shall have responsibility for any tax consequences resulting from my instructions. I authorize Bridgeway Funds and BNY Mellon Investment Servicing Trust Company to process this request on my behalf.

I have read this form and understand and agree to be legally bound by the terms of this form. I also understand that the Custodian, Bridgeway Funds and their agents will rely on my instructions within this form when accepting my conversion contribution. I understand this conversion is irrevocable.

X

Participant's Signature: _____

Date: _____

Medallion Signature Guarantee Stamp and Signature (If required by your current custodian or transfer agent): 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 Stamp

INTERNAL USE ONLY – RESIGNING CUSTODIAN INSTRUCTIONS

Issue check payable to: BNY Mellon Investment Servicing Trust Company as custodian for the Bridgeway Funds Roth IRA.

Participant Name: _____ Roth IRA A/C # _____

Mail to the following:

First Class Mail:

Bridgeway Funds
P.O. Box 534435
Pittsburgh, PA 15253-4435

Overnight Mail:

Bridgeway Funds
ATTENTION: 534435
500 Ross Street 154-0520
Pittsburgh, PA 15262

Customer Service:

1-800-661-3550