

# IRA Application

Mail To: Guinness Atkinson Funds  
 c/o U.S. Bancorp Fund Services, LLC  
 P. O. Box 701  
 Milwaukee, WI 53201-0701

Overnight Express Mail To: Guinness Atkinson Funds  
 c/o U.S. Bancorp Fund Services, LLC  
 615 E. Michigan St., 3rd Floor  
 Milwaukee, WI 53202-5207

Complete this form to establish a traditional, Roth, SEP or simple IRA. For additional information please call toll-free **1-800-915-6566**.

In compliance with the USA PATRIOT Act, all Mutual Funds are required to obtain the following information for all registered owners and all authorized individuals: **Full Name, Date of Birth, Social Security Number and Permanent Street Address**. This information will be used to verify your true identity. We will return your application if any of this information is missing and we may request additional information from you for verification purposes.

## 1. Investor Information

\_\_\_\_\_  
 FIRST NAME M.I. LAST NAME

\_\_\_\_\_  
 SOCIAL SECURITY # BIRTHDATE (Mo/Dy/Yr) (MUST BE OF LEGAL AGE)

## 2. Permanent Street Address (P.O. Box is not acceptable) (Residential Address or Principal Place of Business)

\_\_\_\_\_  
 STREET APT/SUITE

\_\_\_\_\_  
 CITY STATE ZIP

\_\_\_\_\_  
 DAYTIME PHONE # EVENING PHONE #

\_\_\_\_\_  
 E-MAIL ADDRESS

### Duplicate Confirmation to:

\_\_\_\_\_  
 FIRST NAME M.I. LAST NAME

\_\_\_\_\_  
 STREET APT/SUITE

\_\_\_\_\_  
 CITY STATE ZIP

## 3. Type of IRA

If no tax year is indicated, your purchase will be made for the current tax year.

Refer to disclosure statement for eligibility requirements and contribution limits.

### Choose ONE of the following account types:

- Traditional IRA Account**
  - For tax year \_\_\_\_\_
  - IRA to IRA Transfer (please complete IRA Transfer Form)
  - Rollover (shareholder had receipt of funds)
- IRA Rollover Account**
  - Rollover IRA to Rollover IRA
  - Direct rollover from qualified plan – complete any additional form(s) required by your Plan Administrator
    - Corporate     Pension     PSP     401(k)     403(b)     Other \_\_\_\_\_
- ROTH IRA Account**
  - For tax year \_\_\_\_\_
  - Roth IRA to Roth IRA Transfer (please complete IRA Transfer Form)
  - Traditional IRA to Roth IRA – year of conversion \_\_\_\_\_ in which Traditional IRA was converted to Roth IRA
  - Rollover from Roth IRA (shareholder had receipt of funds)
- SEP (Simplified Employee Pension Plan)**

Each employee must complete an IRA Application and the employer must complete IRS Form 5305-SEP.

  - Contribution
  - Transfer from another SEP IRA Account
  - Rollover (shareholder had receipt of funds)
- SIMPLE IRA** – must be accompanied by IRS forms 5305 SA and 5304 SIMPLE.

**4. Investment Choices**

\$1,000.00

MINIMUM INVESTMENT

\$250.00

SUBSEQUENT

By check: Make check payable to Guinness Atkinson Funds. \$ \_\_\_\_\_

By wire: Call 1-800-915-6566. Indicate amount of wire \$ \_\_\_\_\_

Fund Name		Investment Amount		Optional Automatic Investment Plan		
		AMOUNT		AMOUNT	AIP START MONTH	DAY OF MONTH
<input type="checkbox"/> Guinness Atkinson Alternative Energy Fund	1298	\$ _____		\$ _____	_____	_____
<input type="checkbox"/> Guinness Atkinson Asia Focus Fund	1096	\$ _____		\$ _____	_____	_____
<input type="checkbox"/> Guinness Atkinson Asia Pacific Dividend Fund	1299	\$ _____		\$ _____	_____	_____
<input type="checkbox"/> Guinness Atkinson China & Hong Kong Fund	1094	\$ _____		\$ _____	_____	_____
<input type="checkbox"/> Guinness Atkinson Global Energy Fund	1098	\$ _____		\$ _____	_____	_____
<input type="checkbox"/> Guinness Atkinson Global Innovators Fund	1095	\$ _____		\$ _____	_____	_____
<input type="checkbox"/> First American Prime Obligation Money Market Fund	1097	\$ _____		\$ _____	_____	_____

**5. Telephone and Internet Options**

Your signed Application must be received at least 15 business days prior to initial transaction.

Please include a voided bank check or savings deposit slip.

- Purchase (EFT)** (\$100.00 minimum) – permits the purchase of shares from your bank account below
- Exchange** (\$1,000.00 minimum) – permits the exchange of shares between identically registered accounts
- Internet** – permits access to the options selected above via the internet
- E-mail Address** – permits the Fund to send you information and Fund updates

NAME(S) ON BANK ACCOUNT \_\_\_\_\_

BANK NAME \_\_\_\_\_

BANK ADDRESS \_\_\_\_\_

SIGNATURE OF BANK ACCOUNT OWNER \_\_\_\_\_

ACCOUNT NUMBER \_\_\_\_\_

BANK ROUTING/ABA# \_\_\_\_\_

SIGNATURE OF JOINT OWNER \_\_\_\_\_

**6. Automatic Investment Plan**

Your signed Application must be received at least 15 business days prior to initial transaction.

Please include a voided bank check or savings deposit slip.

Based on the instructions in Section 4, funds will be automatically transferred from the checking or savings account indicated below:

NAME(S) ON BANK ACCOUNT \_\_\_\_\_

BANK NAME \_\_\_\_\_

BANK ADDRESS \_\_\_\_\_

SIGNATURE OF BANK ACCOUNT OWNER \_\_\_\_\_

ACCOUNT NUMBER \_\_\_\_\_

BANK ROUTING/ABA# \_\_\_\_\_

SIGNATURE OF JOINT OWNER \_\_\_\_\_

- **\$25.00 fee will be assessed if the automatic purchase cannot be made.**
- **Participation in the plan will be terminated automatically upon redemption of all shares.**
- **Automatic Investment will be reported as current year contribution.**

**7. Beneficiary Information**

**Primary**

NAME _____	RELATIONSHIP _____	CITY/STATE/ZIP _____	SS# _____	DOB _____	% _____
NAME _____	RELATIONSHIP _____	CITY/STATE/ZIP _____	SS# _____	DOB _____	% _____
NAME _____	RELATIONSHIP _____	CITY/STATE/ZIP _____	SS# _____	DOB _____	% _____

**Secondary**

NAME _____	RELATIONSHIP _____	CITY/STATE/ZIP _____	SS# _____	DOB _____	% _____
NAME _____	RELATIONSHIP _____	CITY/STATE/ZIP _____	SS# _____	DOB _____	% _____
NAME _____	RELATIONSHIP _____	CITY/STATE/ZIP _____	SS# _____	DOB _____	% _____

Spousal consent: If you name someone other than or in addition to your spouse and reside in a community or marital property state, including AZ, CA, ID, LA, NV, NM, TX, WA, or WI, your spouse must consent. Your spouse must sign below to consent to the beneficiary designation.

X \_\_\_\_\_  
SIGNATURE OF SPOUSE DATE

• List additional beneficiaries on a separate sheet

## 8. Signature

I have read and understood the IRA Disclosure Statement and Custodial Account Agreement. I adopt the Guinness Atkinson Funds IRA Custodial Account Agreement, as it may be revised from time to time, and appoint the custodian or its agent to perform those functions and appropriate administrative services specified. I have received and read the prospectus for the Guinness Atkinson Funds (the "Funds"). I understand the Funds' objectives and policies and agree to be bound to the terms of the prospectus. Before I request an exchange, I will obtain the current prospectus for the Funds. I acknowledge and consent to the householding, (i.e., consolidation of mailings) of documents such as prospectuses, shareholder reports, and other similar documents. I may contact the Funds to revoke my consent. I agree to notify the Funds of any errors or discrepancies within 45 days after the date of the statement confirming a transaction. The statement will be deemed to be correct, and the Funds and their transfer agent shall not be liable if I fail to notify the Funds within such time period. I represent that I am of legal age and have legal capacity to make this purchase.

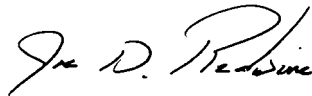
If I am opening a Traditional IRA with a distribution from an employer-sponsored retirement plan, I elect to treat the distribution as a partial or total distribution and certify that the distribution qualifies as a rollover contribution. I understand that the fees relating to my IRA may be collected by redeeming sufficient shares. The custodian may change the fee schedule at any time.

The Funds, its transfer agent and any officers, directors, employees, or agents of these entities (collectively "Guinness Atkinson Funds"), will not be responsible for banking system delays beyond their control. By completing section 5 or 6, I authorize my bank to honor all entries to my bank account initiated through U.S Bank, National Association, on behalf of the applicable Fund. Guinness Atkinson Funds will not be liable for acting upon instructions believed genuine and in accordance with the procedures described in the prospectus or the rules of the Automated Clearing House. When AIP or Telephone Purchase transactions are presented, sufficient collected funds must be in my account to pay them. I agree that my bank's treatment and rights to respect each entry shall be the same as if it were signed personally by me. I agree that if any such entries are dishonored with good or sufficient cause, my bank shall be under no liability whatsoever. I further agree that any such authorization, unless previously terminated by my bank in writing, is to remain in effect until the Funds' transfer agent receives and has had a reasonable amount of time to act upon a written notice of revocation.

---

DEPOSITOR/LEGALLY RESPONSIBLE INDIVIDUAL SIGNATURE

Appointment as custodian accepted:  
U.S. BANK, National Association



---

### Before you mail, have you:

Completed all PATRIOT Act required information?

Social Security or Tax ID Number in section 1?

Birth Date in section 1?

Full Name in section 1?

Permanent Street Address in section 2?

Enclosed your check made payable to Guinness Atkinson Funds?

Included a voided check, if applicable?

Signed your application in section 8?

---

## PRIVACY NOTICE

Guinness Atkinson Funds and Guinness Atkinson Asset Management, Inc. may collect non-public information about you from the following sources:

- Information we receive from you on applications or other forms including over the internet;
- Information you give us orally; and
- Information about your transactions with us or others.

We do not disclose any non-public personal information about our shareholders or former shareholders without the shareholder's authorization, except as required by law or in response to inquiries from governmental authorities. We restrict access to your personal and account information to those employees who need to know that information to provide products and services to you. We may disclose that information to unaffiliated third parties (such as to brokers or custodians) only as permitted by law and only as needed for us to provide agreed services to you. We maintain physical, electronic and procedural safeguards to guard your nonpublic personal information.

If you hold shares of Guinness Atkinson Funds through a financial intermediary, including, but not limited to, a broker-dealer, bank, or trust company, the privacy policy of your financial intermediary would govern how your non-public personal information would be shared by those entities with non-affiliated third parties.

