

Do not use this form for IRA accounts.

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

Thank you for investing with Guinness Atkinson. Fill out this application to open a new regular account for individual, joint, gift to minor, corporate, partnership or other entity accounts. **This is not an IRA application.** If you have any questions while completing this form, please call us at 1-800-915-6566.

604767

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.** *Corporate, Trust and Other Entity accounts require additional documentation.* 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

Tell us who you are and what type of account you would like to establish.

INDIVIDUAL

FIRST NAME M.I. LAST NAME SOCIAL SECURITY # BIRTHDATE (Mo/Dy/Yr)

JOINT OWNER

FIRST NAME M.I. LAST NAME SOCIAL SECURITY # BIRTHDATE (Mo/Dy/Yr)
Registration will be Joint Tenancy with Rights of Survivorship (JTWROS), unless otherwise specified.

GIFT TO MINORS

CUSTODIAN'S FIRST NAME M.I. LAST NAME SOCIAL SECURITY # BIRTHDATE (Mo/Dy/Yr)
(ONLY ONE PERMITTED)

MINOR'S FIRST NAME M.I. LAST NAME SOCIAL SECURITY # BIRTHDATE (Mo/Dy/Yr)
(ONLY ONE PERMITTED)

STATE OF RESIDENCE

CORPORATION/ TRUST*

NAME OF TRUST/CORPORATION/PARTNERSHIP AND STATE OF ORGANIZATION

Check this box if you are a government entity.

PARTNERSHIP*

NAME OF TRUSTEE(S)(IF TO BE INCLUDED IN REGISTRATION)

OTHER ENTITY*

SOCIAL SECURITY #/TAX ID#

DATE OF AGREEMENT (Mo/Dy/Yr)

*** You must supply documentation to substantiate existence of your organization. (i.e., Articles of Incorporation/Formation/Organization, Trust Agreements, Partnership Agreement or other official documents.) Remember to include a separate sheet detailing the Full Name, Date of Birth, Social Security Number and Permanent Street Address for all authorized individuals.**

2 PERMANENT STREET ADDRESS

Tell us where you live or your principal place of doing business.

Your permanent street address cannot be a P.O. Box. You may also assign a separate Mailing Address, which may be a P.O. Box, or an additional address where duplicate statements will be sent. Foreign addresses are not allowed for permanent or mailing addresses, but they may be used for duplicate statements.

PERMANENT ADDRESS (MAY NOT BE A P. O. BOX)

STREET APT/SUITE

CITY STATE ZIP

DAYTIME PHONE # EVENING PHONE #

E-MAIL ADDRESS

DUPLICATE STATEMENT TO:

Complete only if you wish someone other than the account owner(s) to receive duplicate statements.

FIRST NAME M. I. LAST NAME

STREET APT/SUITE

CITY STATE ZIP

MAILING ADDRESS* (IF DIFFERENT FROM ABOVE)

STREET APT/SUITE CITY STATE ZIP

** If completed, mailing address will be used as address of record for all statements, checks and required mailings.*

3 INVESTMENT & DISTRIBUTION OPTIONS

Indicate your investment amounts and distribution options below.

BY CHECK: Make check payable to Guinness Atkinson Funds. \$ _____

BY WIRE: Call 1-800-915-6566. Indicate amount of wire \$ _____

MINIMUM INVESTMENT

\$5,000 - regular | \$250 - UTMA | \$100 AIP | \$10,000 - Renminbi Yuan & Bond Fund

Fund Name		Investment Amount	Capital Gains		Dividends	
			Reinvest	Cash*	Reinvest	Cash*
<input type="checkbox"/> Alternative Energy Fund	1298	\$ <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Asia Focus Fund	1096	\$ <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Asia Pacific Dividend Fund	1299	\$ <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> China & Hong Kong Fund	1094	\$ <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Global Energy Fund	1098	\$ <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Global Innovators Fund	1095	\$ <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Renminbi Yuan & Bond Fund (\$10,000 Minimum)	1099	\$ <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If nothing is selected, capital gains and dividends will be reinvested.

* Cash distribution should be paid by (select one): Check to Address of Record ACH to Bank of Record

Review Section 8 and include voided check for ACH option.

4 COST BASIS METHOD

For shares acquired on or after January 1, 2012, the Cost Basis Method you elect applies to all existing and future accounts you may establish. The Cost Basis Method you select will determine the order in which shares are redeemed and how your cost basis information is calculated and subsequently reported to you and to the Internal Revenue Service (IRS). **Please consult your tax advisor to determine which Cost Basis Method best suits your specific situation.** If you do not elect a Cost Basis Method, your account will default to Average Cost.

Primary Method (Select only one)

- Average Cost – averages the purchase price of acquired shares
- First In, First Out – oldest shares are redeemed first
- Last In, First Out – newest shares are redeemed first
- Low Cost – least expensive shares are redeemed first
- High Cost – most expensive shares are redeemed first
- Loss/Gain Utilization – depletes shares with losses prior to shares with gains and short-term shares prior to long-term shares
- Specific Lot Identification – you must specify the share lots to be sold at the time of a redemption (This method requires you to elect a Secondary Method below, which will be used for systematic redemptions, and in the event the lots you designate for a redemption are unavailable.)

Secondary Method – applies only if Specific Lot Identification was elected as the Primary Method (Select only one)

- First In, First Out
- Last In, First Out
- Low Cost
- High Cost
- Loss/Gain Utilization

Note: If a Secondary Method is not elected, First In, First Out will be used.

5 AUTOMATIC INVESTMENT PLAN (AIP)

This section is optional and you only need to complete it if you wish to have funds automatically invested from your designated bank account on a systematic basis.

If you complete this section you'll need to provide a copy of a voided check in section 8 below. In addition to setting a dollar amount, you'll need to indicate your frequency (monthly or quarterly) and the day of the month you want your investment to be made.

DRAW MONEY FOR MY AIP: MONTHLY QUARTERLY

(\$100 MINIMUM)

<u>Fund Name*</u>		Amount Per Draw	AIP Start Month	AIP Start Day
<input type="checkbox"/> Alternative Energy Fund	1298			
<input type="checkbox"/> Asia Focus Fund	1096			
<input type="checkbox"/> Asia Pacific Dividend Fund	1299			
<input type="checkbox"/> China & Hong Kong Fund	1094			
<input type="checkbox"/> Global Energy Fund	1098			
<input type="checkbox"/> Global Innovators Fund	1095			

* AIP is not available for the Renminbi Yuan & Bond Fund

6 TELEPHONE TRANSACTIONS

We want to make it easy for you to make transactions to your account when the time comes to redeem, purchase additional shares or exchange funds. You must elect one of the options in this section in order to make these transactions via telephone. Should you wish to add the options at a later date, a signature guarantee may be required.

- Redemption**** – permits the transfer of funds via (check redemption options below):
- Check to address in section 2
 - Federal wire to your bank account below (*\$15.00 charge for each wire transfer*)
 - Electronic File Transfer (EFT)*, at no charge, to your bank (*funds are typically credited within two days after redemption*)
- Purchase (EFT)*** – permits the purchase of shares from your bank
- Exchange** (\$1,000.00 minimum) – permits the exchange of shares between identically registered accounts
- Decline** – I do not wish to utilize any of the above options at this time.

* If you selected an EFT option, please fill out section 8 and attach a voided check or savings deposit slip to this application.

We are unable to draft or credit your account via EFT if it is a mutual fund or pass-through account.

7 WITHDRAWAL PLAN**

This section is optional, and you only need to complete it if you wish to regularly receive a set amount of money from your account. If you want this money deposited electronically, you'll need to provide a copy of a voided check in section 8 below, otherwise, payments will be mailed to the address in section 2. In addition to setting the periodic dollar amount, you'll need to indicate the approximate day and month for the withdrawal. Note that your account must have a minimum value of \$1,000 and a minimum withdrawal amount of \$100 to utilize this option.

- MONTHLY QUARTERLY

Payments of \$_____ made on or about the _____ day of each month, or
of \$_____ made on or about the _____ day of the months that are circled below.

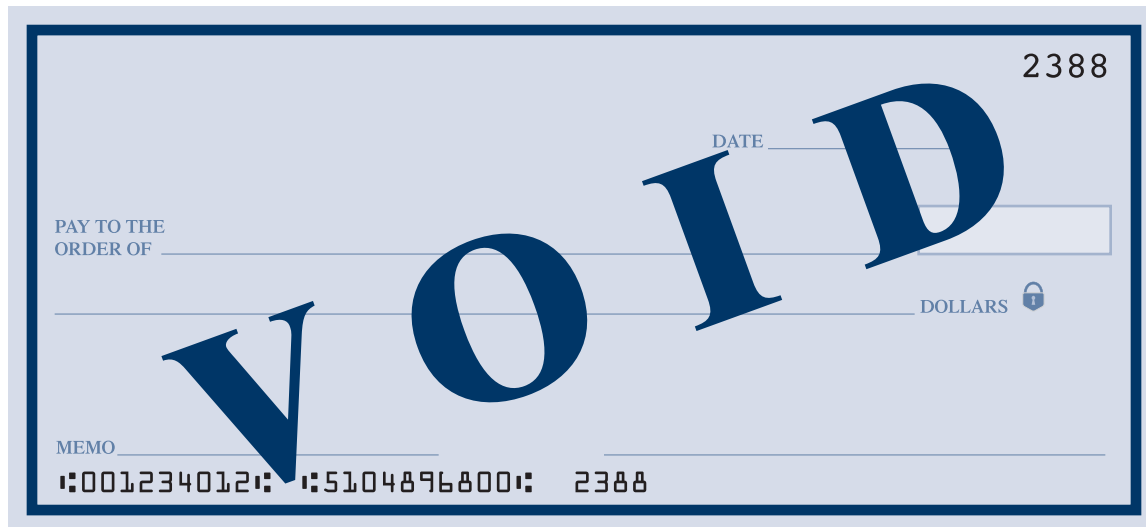
JAN FEB MAR APR MAY JUN JUL AUG SEP OCT NOV DEC

** There's a 15 day waiting period for redemptions on accounts established by check.

8 BANK INFORMATION

This section is optional. You only need to provide a voided check if you wish to establish wire or ACH redemption privileges, an Automatic Investment Plan or a Systematic Investment Plan. If you have selected a wire or ACH redemption privileges, an Automatic Investment Plan or a Systematic Investment Plan, *a voided bank check or preprinted savings deposit slip (not a couter deposit slip) is required.*

We are unable to debit or credit mutual fund or pass-through accounts.



9 SIGNATURE CERTIFICATION REQUIRED BY THE INTERNAL REVENUE SERVICE

I have received and understood the prospectus for the Guinness Atkinson Funds (the "Funds"). I understand the Funds' investment objectives and policies and agree to be bound by 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 regulatory 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.

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, 6, or 7, 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.

I understand this mutual fund account may be transferred to my state of residence if no activity occurs within this account during the inactivity period specified in my State's abandoned property laws.

Under the penalty of perjury, I certify that (1) the Social Security Number or Taxpayer Identification Number shown on this form is my correct Taxpayer Identification Number, and (2) I am not subject to backup withholding either as a result of a failure to report all interest or dividends, or the IRS has notified me that I am no longer subject to backup withholding. (3) I am a U.S. Person (including a U.S. resident alien).

The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

SIGNATURE OF OWNER*

DATE (Mo/Dy/Yr)

SIGNATURE OF JOINT OWNER, if any

DATE (Mo/Dy/Yr)

*If shares are to be registered in (1) joint names, both persons should sign, (2) a custodian for a minor, the custodian should sign, (3) a trust, the trustee(s) should sign, or (4) a corporation or other entity, an officer should sign and print name and title on space provided below.

PRINT NAME AND TITLE OF OFFICER SIGNING FOR A CORPORATION OR OTHER ENTITY

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.