GUINNESS | ATKINSON
F U N D S

New Account Application

Do not use this form for entity or IRA accounts.

Mail to: Guinness Atkinson Funds
c/o U.S. Bank Global Fund Services
P.O. Box 219252
Kansas City, MO 64121-9252

Overnight Express Mail to: Guinness Atkinson Funds
c/o U.S. Bank Global Fund Services
801 Pennsylvania Ave Suite 219252
Kansas City, MO 64105-1307

Thank you for investing with Guinness Atkinson. Fill out this application to open a new regular account for individual, joint, gift to minor, or trust. **This is not an IRA application.** If you have any questions while completing this form, please call us at 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. Trust 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

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

❑ JOINT OWNER

FULL LEGAL 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.

❑ TRANSFER TO MINOR

CUSTODIAN'S FULL LEGAL FIRST NAME[1] _____ M.I. _____ LAST NAME _____ BIRTHDATE (Mo/Dy/Yr) _____
(ONLY ONE PERMITTED)

CUSTODIAN'S SOCIAL SECURITY NUMBER _____

MINOR'S FULL LEGAL FIRST NAME[1] _____ M.I. _____ LAST NAME _____ BIRTHDATE (Mo/Dy/Yr) _____
(ONLY ONE PERMITTED)

MINOR'S SOCIAL SECURITY NUMBER _____ UTMA STATE (list state's law that governed the initial transfer)* _____ AGE OF TERMINATION**[2] _____

*"Minor" means an UTMA account owner (customer) who has not reached the age of termination (age the custodianship terminates, which is designated at the time of transfer and governed by state law). This means that depending on the applicable state, a minor could be older than 18 or 21.

Upon reaching the age of termination, the custodian must remove themself as custodian (and their authority over the account) so that the UTMA account owner can complete a new application solely in their name and under their control. The custodian will no longer be able to act on the account after the minor reaches the age of termination. Please note, transfers to a minor are irrevocable. Additionally, at the age of termination, U.S. Bank Global Fund Services as transfer agent for Guinness Atkinson Funds reserves the right to restrict purchases and redemptions and reinvest any dividends and/or capital gains set to pay out in cash until the former minor completes a New Account Application.

*In the event that the custodian does not complete the "UTMA State" field above, the custodian hereby directs U.S. Bank to establish the UTMA state using the state from the Permanent Street Address provided in the Address section as the UTMA state. This designation shall permanently remain as the designated state for this account.

**In the event that the custodian does not complete the "Age of Termination" field above, the custodian hereby directs U.S. Bank to establish the account using the default age of termination for custodial property transferred by gift under the "UTMA State's" law.

[1]If a full legal first name is not provided, a copy of a government issued document is required to accompany this application.
[2]Note that electing an age of termination beyond the default age, such as 25 if permissible for a particular state, may result in the loss of any annual exclusion for federal gift tax purposes. By entering an age of termination that is different than the state laws governing the gift or transfer, you represent and warrant that you have consulted with your tax and legal advisors on (i) the permissibility of the age selected under the governing state's law, and (ii) the state and federal tax consequences of the designated age of termination.

❑ TRUST

NAME OF TRUST _____

NAME OF TRUSTEE(S) _____

SOCIAL SECURITY # / TAX ID # _____ DATE OF AGREEMENT (Mo/Dy/Yr) _____

*** You must supply documentation to substantiate existence of your trust. (Trust Agreements or certificate of trust.)**
Remember to include a separate sheet detailing the Full Name, Date of Birth, Social Security Number and Permanent Street Address for all authorized trustees.

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.*

❑ MINOR'S ADDRESS

CHECK BOX IF MINOR'S ADDRESS IS THE SAME AS THE CUSTODIAN'S ADDRESS. IF NOT, PLEASE PROVIDE THE MINOR'S ADDRESS BELOW.

STREET _____ APT/SUITE _____ CITY _____ STATE _____ ZIP _____

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 | $100,000 - Global Innovators, Institutional Class

Fund Name		Investment Amount	Capital Gains Reinvest	Capital Gains Cash*	Dividends Reinvest	Dividends Cash*
❑ Alternative Energy Fund	1298	$	❑	❑	❑	❑
❑ Asia Focus Fund	1096	$	❑	❑	❑	❑
❑ China & Hong Kong Fund	1094	$	❑	❑	❑	❑
❑ Global Energy Fund	1098	$	❑	❑	❑	❑
❑ Global Innovators, Investor Class*	1095	$	❑	❑	❑	❑
❑ Global Innovators, Institutional Class *($100,000 Minimum)*	5323	$	❑	❑	❑	❑

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

*Global Innovators, Investor Class has the "regular" minimum investment requirement

*** 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 or savings deposit slip in section 8 below. In addition to setting a dollar amount, you'll need to indicate your frequency (monthly, quarterly, or annually) and the day of the month you want your investment to be made.

DRAW MONEY FOR MY AIP: ☐ MONTHLY ☐ QUARTERLY ☐ ANNUALLY

MINIMUM INVESTMENT:
$100 - regular

Fund Name		Amount Per Draw	AIP Start Month	AIP Start Day
❑ Alternative Energy Fund	1298			
❑ Asia Focus Fund	1096			
❑ China & Hong Kong Fund	1094			
❑ Global Energy Fund	1098			
❑ Global Innovators, Investor Class	1095			

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 7 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 SYSTEMATIC 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 or savings deposit slip 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 ☐ SEMI ANNUALLY ☐ ANNUALLY

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

If you selected any options which require banking information, please attach a voided check or preprinted savings deposit slip. We are unable to debit or credit mutual fund or pass-through ("for further credit") accounts. Please contact your financial institution to determine if it participates in the Automated Clearing House System (ACH).



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 the banking sections of this application, 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 authorize U.S. Bank Global Fund Services to obtain a third party report for the purposes of authenticating the bank information that I provided.

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 or taxpayer identification number shown on this form is my correct taxpayer identification number
2) I am not subject to backup withholding because a) I am exempt from backup withholding, or b) I have not been notified by the Internal Revenue Service (IRS) that I am not subject to backup withholding as a result of a failure to report all interest or dividends, or c) the IRS has notified me that I am no longer subject to backup withholding; and
3) I am a U.S. citizen or other U.S. person; and
4) The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct. Certification Instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisitions or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN.

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.

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

If the custodian listed in the Investor Information section is NOT a parent or legal guardian of the minor, a parent or legal guardian is REQUIRED to complete the following section.

The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.
Under penalty of perjury, I certify that:

1) the Social Security or taxpayer identification number shown on this form is the correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2) I am not subject to backup withholding because a) I am exempt from backup withholding, or b) I have not been notified by the Internal Revenue Service (IRS) that I am not subject to backup withholding as a result of a failure to report all interest or dividends, or c) the IRS has notified me that I am no longer subject to backup withholding; and
3) I am a U.S. citizen or other U.S. person; and
4) The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct. Certification Instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisitions or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN.

I am signing on behalf of the minor as a parent or legal guardian:

PRINT MINOR'S NAME

X

SIGNATURE OF PARENT/LEGAL GUARDIAN | DATE (Mo/Dy/Yr)

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.