

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. 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** Tell us who you are.

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

**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 TYPE OF IRA** Tell us what type of IRA you want to establish.

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.

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

## 4 INVESTMENT CHOICES

Indicate your retirement investment amounts below.

Automatic Investment Plan (AIP) is optional and allows you to automatically invest from your bank account into the fund on a systematic basis. If you choose AIP you'll need to provide a copy of a voided check or savings deposit slip in section 7 below. In addition to setting a dollar amount, indicate the frequency (monthly, quarterly, or annually) and the day of the month you want your investment to be made.

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

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

### MINIMUM INVESTMENT

\$1,000 regular | \$5,000 Dividend Builder & Renminbi Yuan & Bond Funds | \$100,000 Global Innovators, Institutional Class  
\$100 regular AIP\*

Fund Name	Investment Amount	Optional Automatic Investment Plan			
		AMOUNT	START MONTH	DAY OF MONTH	
<input type="checkbox"/> Alternative Energy Fund	1298	\$ _____	_____	_____	_____
<input type="checkbox"/> Asia Focus Fund	1096	\$ _____	_____	_____	_____
<input type="checkbox"/> Asia Pacific Dividend Builder Fund	1299	\$ _____	_____	_____	_____
<input type="checkbox"/> China & Hong Kong Fund	1094	\$ _____	_____	_____	_____
<input type="checkbox"/> Global Energy Fund	1098	\$ _____	_____	_____	_____
<input type="checkbox"/> Global Innovators, Investor Class	1095	\$ _____	_____	_____	_____

\* AIP is not available for the Renminbi Yuan & Bond Fund, Dividend Builder Fund, or Global Innovators Fund, Institutional Class

## 5 BENEFICIARY INFORMATION

### PRIMARY

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

## 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.

- 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.

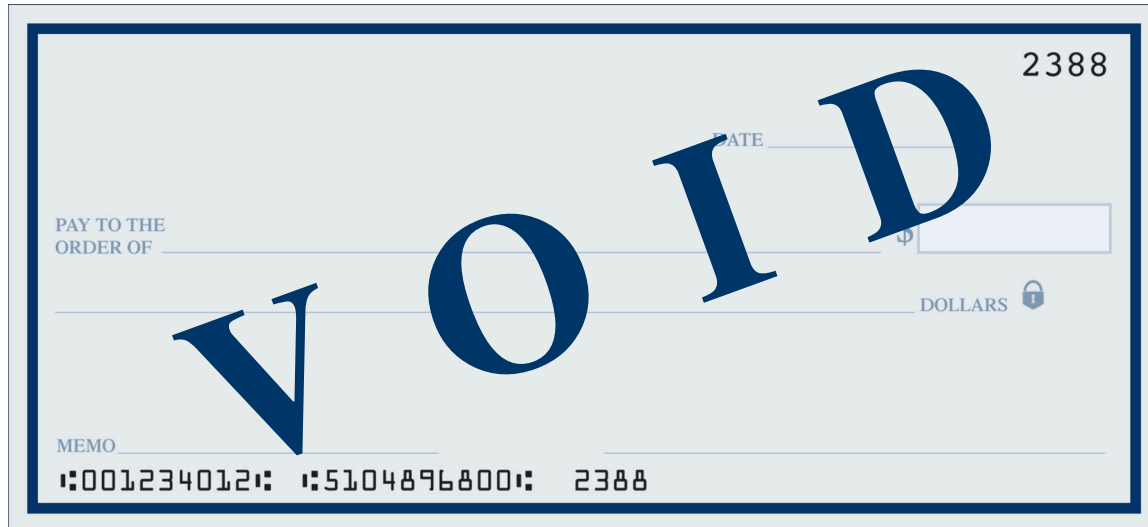
\* If you selected an EFT option, please fill out section 7 and attach a voided check or savings deposit slip to this application.

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

## 7 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 counter deposit slip) is required.*

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



## 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.

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.

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.

DEPOSITOR/LEGALLY RESPONSIBLE INDIVIDUAL SIGNATURE

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

### 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 or savings deposit slip, 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.