

First American Retail Prime Obligations Fund Class A Account Application

(To Be Used in Connection with an existing or simultaneous investment in the Guinness Atkinson Funds.)

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

Notice: In compliance with the USA PATRIOT Act, all financial institutions (including mutual funds) are required to obtain, verify and record the following information for all registered owners or others who may be authorized to act on an account: **Full Name, Date of Birth, Social Security Number and Permanent Street Address.** *Corporate, trust and similar accounts require additional documentation.* This information will be used to verify your identity. We will return your application if any of this information is missing, and we may request additional information from you for verification purposes. In the rare event that we are unable to verify your identity, the Fund reserves the right to redeem your account at the current day's net asset value.

1. Investment – IN 1097 First American Retail Prime Obligations Fund Class A

\$1,000 minimum initial investment. \$100 minimum subsequent investments.

- By Check: Make check payable to Guinness Atkinson Funds. \$ _____
- By wire: Call 1-800-915-6566. Indicate amount of wire \$ _____
(A completed application is required in advance of your wire.)

2. Investor Information - Select one

Individual

FIRST NAME	M.I.	LAST NAME	SOCIAL SECURITY	BIRTHDATE
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Joint Owner

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

Gift to Minors

CUSTODIAN'S FIRST NAME (ONLY ONE PERMITTED)	M.I.	LAST NAME	SOCIAL SECURITY	BIRTHDATE
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MINOR'S FIRST NAME (ONLY ONE PERMITTED)	M.I.	LAST NAME	SOCIAL SECURITY	BIRTHDATE
STATE OF RESIDENCE				

Corporation/ Trust*

NAME OF TRUST/CORPORATION/PARTNERSHIP AND STATE OF ORGANIZATION

Partnership*

NAME OF TRUSTEES/PARTNERS (IF TO BE INCLUDED IN REGISTRATION)

Other Entity* _____

SOCIAL SECURITY/TAX ID# _____ DATE OF FORMATION _____

* 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 individuals authorized to act on behalf of the named entity.

3. Permanent Street Address

(P.O. Box is not acceptable)
(i.e., residential address or, for entities, principal place of business)

☐ Mailing Address/Duplicate Confirmation to:

STREET APT/SUITE
CITY STATE ZIP
DAYTIME PHONE # EVENING PHONE #
EMAIL

FIRST NAME M.I. LAST NAME
STREET APT/SUITE
CITY STATE ZIP

4. Telephone Exchange and Redemptions

The fund(s) currently offer telephone exchange and redemption privileges to shareholders, whereby a shareholder may redeem funds and make wire transfers over the telephone (\$50,000 per fund maximum per day). To establish wire transfer rights, please attach a voided check. Shareholders may also make fund-to-fund exchanges over the telephone. Neither the transfer agent nor the fund(s) will be responsible for the authenticity of redemption instructions received by telephone if it reasonably believes those instructions to be genuine. The fund(s) and transfer agent will each employ reasonable procedures to confirm that telephone instructions are genuine, and may be liable for losses resulting from unauthorized or fraudulent telephone instructions if it does not employ these procedures. Such procedures may include taping of telephone conversations.

- ☐ Exchange – Permits the exchange of shares between identically registered accounts.
☐ Redemption – Permits the redemption of shares with payment to the address of record or my bank account (please attach a voided check in order to establish bank instructions)
☐ I do not want the telephone exchange and redemption privileges indicated above.

Note: If you do not elect one of the choices above, your account will automatically have the telephone exchange and redemption feature.

5. Signature and Certification Required by the Internal Revenue Service

CUSTOMER AGREEMENT: Under penalties of perjury, I certify: (1) that the number shown on this application is the correct taxpayer identification number; (2) that the taxpayer is not subject to backup withholding because (i) it is exempt from backup withholding; (ii) it has not been notified by the Internal Revenue Service that it is subject to backup withholding as a result of failure to report all interest and dividends; or (iii) the Internal Revenue Service has notified it that it is no longer subject to backup withholding (If the taxpayer has been notified by the Internal Revenue Service that it is currently subject to backup withholding because it has failed to report all interest and dividends on its tax return, cross out item (2).); and (3) I am a U.S. person (including a U.S. resident alien). The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding. Failure to provide a correct taxpayer identification number with this application will result in backup withholding.

I represent that: (1) I have the legal capacity to make the purchase indicated in this application; (2) I have received and reviewed the current prospectus of the Class A shares of the First American Retail Prime Obligations Fund, a series of First American Funds, Inc., in which I am investing and agree to the terms and conditions contained therein; (3) I have read and understood the terms set forth in this application, including the Customer Agreement and the information provided in this application is complete and correct; (4) I understand that the Customer Agreement and this application apply to the Guinness Atkinson Funds; (5) I understand that certain elections I have made in an application for investment in the Guinness Atkinson Funds relating to **Distribution Options; Delivery of Documents; Telephone Purchase, Redemption and Exchange Privileges (and credit and debit authorizations related to these Privileges); and Bank Account Information**, will apply to my investment made in the Guinness Atkinson Funds pursuant to this application, unless I have otherwise informed Guinness Atkinson Funds of different elections through an separate agreement, application or written statement; (6) I understand that certain account options and features available to investors of the Guinness Atkinson Funds, such as Automatic Investment Plan, Automatic Exchange Plan and Systematic Withdrawal Plan options may not be available to me unless I provide the Guinness Atkinson Funds with additional information; and (7) I understand that these investment products are not FDIC insured, are not deposits of, obligations of, or guaranteed by any bank, and involve investment risks, including possible loss of the principal invested. I agree that Foreside Fund Services, LLC, Guinness Atkinson Funds, or any affiliate or their officers, directors or employees will not be liable for any loss, expense or cost for acting upon any instructions or inquiries believed genuine.

SIGNATURE OF OWNER*

DAY (Mo/Dy/Yr)

SIGNATURE OF JOINT OWNER, if any

DAY (Mo/Dy/Yr)

* If shares are to be registered in (1) joint names, both persons sign, (2) a custodial account 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 the space provided below.

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

CONSUMER PRIVACY PLEDGE

Our pledge to you

We appreciate the confidence that you have placed in us by entrusting us with nonpublic personal information. Our pledge applies to the personal information that we have gathered about you.

We want you to understand what information we collect and how it's used.

"Nonpublic personal information" is nonpublic information that we obtain while providing financial products or services to you.

Why we collect your information

We gather nonpublic personal information about you and your accounts so that we can:

- . • Know who you are and prevent unauthorized access to your information.
- . • Design and improve the products we offer.
- . • Comply with the laws and regulations that govern us.

The types of information we collect

We may collect the following nonpublic personal information about you.

- . • Information about your identity, such as your name, address, and Social Security number
- . • Information about your transactions with us
- . • Information you provide on applications, such as your beneficiaries

Confidentiality and security

We operate through service providers.

We require our service providers to restrict access to nonpublic personal information about you to those employees who need that information in order to provide products or services to you. We also require them to maintain physical, electronic, and procedural safeguards that comply with applicable federal standards and regulations to guard your information.

What information we disclose

We may share all of the nonpublic personal information that we collect about you with our affiliated providers of financial services, including our family of funds and their advisor, and with companies that perform marketing services on our behalf.

We're permitted by law to disclose nonpublic personal information about you to other third parties in certain circumstances. For example, we may disclose nonpublic personal information about you to affiliated and nonaffiliated third parties to assist us in servicing your account (e.g., mailing of fund related materials) and to government entities (e.g., IRS for tax purposes).

We'll continue to adhere to the privacy policies and practices described here even after your account is closed or becomes inactive.

Additional rights and protections

You may have other privacy protections under state laws, and we will comply with applicable state laws when we share information about you. This privacy policy does not apply to your relationship with other financial service providers, such as broker-dealers. We may amend this privacy notice at any time, and we will inform you of changes as required by law.