

WARNING:

Complete this form truthfully. False statements or omissions may result in denial of your application, revocation of your registration, or criminal prosecution. You must keep this form updated by filing periodic amendments. See Form ADV General Instruction 4.

Item 1 Identifying Information

Responses to this Item tell us who you are, where you are doing business, and how we can contact you. If you are filing an *umbrella registration*, the information in Item 1 should be provided for the *filing adviser* only. General Instruction 5 provides information to assist you with filing an *umbrella registration*.

A. Your full legal name (if you are a sole proprietor, your last, first, and middle names):
GUINNESS ASSET MANAGEMENT LIMITED

B. (1) Name under which you primarily conduct your advisory business, if different from Item 1.A.
GUINNESS GLOBAL INVESTORS

List on *Section 1.B. of Schedule D* any additional names under which you conduct your advisory business.

(2) If you are using this Form ADV to register more than one investment adviser under an *umbrella registration*, check this box ☐

If you check this box, complete a Schedule R for each relying adviser.

C. If this filing is reporting a change in your legal name (Item 1.A.) or primary business name (Item 1.B.(1)), enter the new name and specify whether the name change is of
☐ your legal name or ☐ your primary business name:

D. (1) If you are registered with the SEC as an investment adviser, your SEC file number: 801-135148

(2) If you report to the SEC as an *exempt reporting adviser*, your SEC file number:

(3) If you have one or more Central Index Key numbers assigned by the SEC ("CIK Numbers"), all of your CIK numbers:

CIK Number
1409661

E. (1) If you have a number ("CRD Number") assigned by the *FINRA's CRD* system or by the IARD system, your *CRD* number: 140891

If your firm does not have a *CRD* number, skip this Item 1.E. Do not provide the *CRD* number of one of your officers, employees, or affiliates.

(2) If you have additional *CRD* Numbers, your additional *CRD* numbers:

No Information Filed

F. Principal Office and Place of Business

(1) Address (do not use a P.O. Box):

Number and Street 1:
18 SMITH SQUARE

City:
LONDON

State:

Country:
United Kingdom

ZIP+4/Postal Code:
SW1P 3HZ

If this address is a private residence, check this box: ☐

List on *Section 1.F. of Schedule D* any office, other than your principal office and place of business, at which you conduct investment advisory business. If you are applying for registration, or are registered, with one or more state securities authorities, you must list all of your offices in the state or states to which you are applying for registration or with whom you are registered. If you are applying for SEC registration, if you are registered only with the SEC, or if you are reporting to the SEC as an exempt reporting adviser, list the largest twenty-five offices in terms of numbers of employees as of the end of your most recently completed fiscal year.

(2) Days of week that you normally conduct business at your *principal office and place of business*:

☒ Monday - Friday ☐ Other:

Normal business hours at this location:
9:00AM-17:30PM

(3) Telephone number at this location:
+44 20 7222 5703

(4) Facsimile number at this location, if any:

(5) What is the total number of offices, other than your *principal office and place of business*, at which you conduct investment advisory business as of

the end of your most recently completed fiscal year?

1

G.

Mailing address, if different from your *principal office and place of business* address:

Number and Street 1:

City:

State:

Number and Street 2:

Country:

ZIP+4/Postal Code:

If this address is a private residence, check this box: ☐

H.

If you are a sole proprietor, state your full residence address, if different from your *principal office and place of business* address in Item 1.F.:

Number and Street 1:

City:

State:

Number and Street 2:

Country:

ZIP+4/Postal Code:

I.

Do you have one or more websites or accounts on publicly available social media platforms (including, but not limited to, Twitter, Facebook and LinkedIn)?

Yes

No

If "yes," list all firm website addresses and the address for each of the firm's accounts on publicly available social media platforms on [Section 1.I. of Schedule D](#). If a website address serves as a portal through which to access other information you have published on the web, you may list the portal without listing addresses for all of the other information. You may need to list more than one portal address. Do not provide the addresses of websites or accounts on publicly available social media platforms where you do not control the content. Do not provide the individual electronic mail (e-mail) addresses of employees or the addresses of employee accounts on publicly available social media platforms.

J.

Chief Compliance Officer

(1) Provide the name and contact information of your Chief Compliance Officer. If you are an *exempt reporting adviser*, you must provide the contact information for your Chief Compliance Officer, if you have one. If not, you must complete Item 1.K. below.

Name:

Telephone number:

Number and Street 1:

City:

Other titles, if any:

Facsimile number, if any:

Number and Street 2:

Country:

ZIP+4/Postal Code:

Electronic mail (e-mail) address, if Chief Compliance Officer has one:

(2) If your Chief Compliance Officer is compensated or employed by any *person* other than you, a *related person* or an investment company registered under the Investment Company Act of 1940 that you advise for providing chief compliance officer services to you, provide the *person's* name and IRS Employer Identification Number (if any):

Name:

IRS Employer Identification Number:

K.

Additional Regulatory Contact Person: If a person other than the Chief Compliance Officer is authorized to receive information and respond to questions about this Form ADV, you may provide that information here.

Name:

Telephone number:

Number and Street 1:

City:

Titles:

Facsimile number, if any:

Number and Street 2:

Country:

ZIP+4/Postal Code:

Electronic mail (e-mail) address, if contact person has one:

L.

Do you maintain some or all of the books and records you are required to keep under Section 204 of the Advisers Act, or similar state law, somewhere other than your *principal office and place of business*?

Yes

No

If "yes," complete [Section 1.L. of Schedule D](#).

M.

Are you registered with a *foreign financial regulatory authority*?

Yes

No

Answer "no" if you are not registered with a foreign financial regulatory authority, even if you have an affiliate that is registered with a foreign financial regulatory authority. If "yes," complete [Section 1.M. of Schedule D](#).

N.

Are you a public reporting company under Sections 12 or 15(d) of the Securities Exchange Act of 1934?

Yes

No

O.

Did you have \$1 billion or more in assets on the last day of your most recent fiscal year?

If yes, what is the approximate amount of your assets:

☐ \$1 billion to less than \$10 billion

☐ \$10 billion to less than \$50 billion

☐ \$50 billion or more

For purposes of Item 1.O. only, "assets" refers to your total assets, rather than the assets you manage on behalf of clients. Determine your total assets using the total assets shown on the balance sheet for your most recent fiscal year end.

P. Provide your *Legal Entity Identifier* if you have one:
213800KIX91S9BH9GM77

A *legal entity identifier* is a unique number that companies use to identify each other in the financial marketplace. You may not have a *legal entity identifier*.

SECTION 1.B. Other Business Names

No Information Filed

SECTION 1.F. Other Offices

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1: GUINNESS ASSET MANAGEMENT (IRELAND) LIMITED		Number and Street 2: ELLA, HOUSE, 39-43 MERRION SQUARE EAST	
City: DUBLIN 2	State:	Country: Ireland	ZIP+4/Postal Code: D02 H2H2

If this address is a private residence, check this box: ☐

Telephone Number: +353857894818	Facsimile Number, if any:
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If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
1

- Are other business activities conducted at this office location? (check all that apply)
- ☐ (1) Broker-dealer (registered or unregistered)
 - ☐ (2) Bank (including a separately identifiable department or division of a bank)
 - ☐ (3) Insurance broker or agent
 - ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
 - ☐ (5) Registered municipal advisor
 - ☐ (6) Accountant or accounting firm
 - ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

SECTION 1.I. Website Addresses

List your website addresses, including addresses for accounts on publicly available social media platforms where you control the content (including, but not limited to, Twitter, Facebook and/or LinkedIn). You must complete a separate Schedule D Section 1.I. for each website or account on a publicly available social media platform.

Address of Website/Account on Publicly Available Social Media Platform: <https://www.guinnessgi.com>

Address of Website/Account on Publicly Available Social Media Platform: <https://x.com/GuinnessGI>

Address of Website/Account on Publicly Available Social Media Platform:	https://www.linkedin.com/company/guinness-gi/
Address of Website/Account on Publicly Available Social Media Platform:	https://www.linkedin.com/company/guinness-am-de
Address of Website/Account on Publicly Available Social Media Platform:	https://www.instagram.com/guinness.gi/
Address of Website/Account on Publicly Available Social Media Platform:	https://www.youtube.com/channel/UCPIgDYL2023T_UI0uh2cc9Q

SECTION 1.L. Location of Books and Records

Complete the following information for each location at which you keep your books and records, other than your *principal office and place of business*. You must complete a separate Schedule D, Section 1.L. for each location.

Name of entity where books and records are kept:
WAYSTONE MANAGEMENT COMPANY (IE) LIMITED

Number and Street 1: 4TH FLOOR, 35 SHELBOURNE ROAD	Number and Street 2:		
City: DUBLIN 4	State:	Country: Ireland	ZIP+4/Postal Code:

If this address is a private residence, check this box: ☐

Telephone Number:
+35315782270

Facsimile number, if any:

This is (check one):

☐ one of your branch offices or affiliates.

☒ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
A FULL SET OF ACCOUNTING RECORDS, THE RELATED PORTFOLIO ANALYSIS, TRIAL BALANCE, BALANCE SHEET & INCOME STATEMENTS, NAV AND NAV CALCULATIONS.

Name of entity where books and records are kept:
WAYSTONE MANAGEMENT (UK) LIMITED

Number and Street 1: 3RD FLOOR CENTRAL SQUARE 29 WELLINGTON STREET	Number and Street 2:		
City: LEEDS	State:	Country: United Kingdom	ZIP+4/Postal Code: LS1 4DL

If this address is a private residence, check this box: ☐

Telephone Number:
+44 (0)345 922

Facsimile number, if any:

This is (check one):

☐ one of your branch offices or affiliates.

☒ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
A FULL SET OF ACCOUNTING RECORDS, THE RELATED PORTFOLIO ANALYSIS, TRIAL BALANCE, BALANCE SHEET & INCOME STATEMENTS, NAV AND NAV CALCULATIONS.

Name of entity where books and records are kept:
CITI FUND SERVICES (IRELAND) LIMITED

Number and Street 1:
1 NORTH WALL QUAY

Number and Street 2:

City: DUBLIN 1

State:

Country: Ireland

ZIP+4/Postal Code:

If this address is a private residence, check this box: ☐

Telephone Number: +353 1 637 630

Facsimile number, if any:

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
A FULL SET OF ACCOUNTING RECORDS, THE RELATED PORTFOLIO ANALYSIS, TRIAL BALANCE, BALANCE SHEET & INCOME STATEMENTS, NAV AND NAV CALCULATIONS.

Name of entity where books and records are kept:
DEKABANK DEUTSCHE GIROZENTRALE ANSTALT DES ÖFFENTLICHEN RECHTS

Number and Street 1:
GROßE GALLUSSTRASSE 14

Number and Street 2:

City: 60315 FRANKFURT AM MAIN

State:

Country: Germany

ZIP+4/Postal Code:

If this address is a private residence, check this box: ☐

Telephone Number: +49 69 71470

Facsimile number, if any:

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
A FULL SET OF ACCOUNTING RECORDS, THE RELATED PORTFOLIO ANALYSIS, TRIAL BALANCE, BALANCE SHEET & INCOME STATEMENTS, NAV AND NAV CALCULATIONS.

Name of entity where books and records are kept:
J.P. MORGAN ADMINISTRATION SERVICES (IRELAND) LIMITED

Number and Street 1:
200 CAPITAL DOCK 79 SIR JOHN ROGERSON'S QUAY

Number and Street 2:

City: DUBLIN 2

State:

Country: Ireland

ZIP+4/Postal Code: D02 RK57

If this address is a private residence, check this box: ☐

Telephone Number: +353 1 612 300

Facsimile number, if any:

- This is (check one):
- ☐ one of your branch offices or affiliates.

