

# **ROYAL TREASURE** SECURITIES LLC

Account Opening Process StoneX 开户注册流程

2 0 2 4







# Visit: <u>www.royaltsec.com</u> Click "open account" to start an application 请访问 <u>www.royaltsec.com</u> 点击"开户"选项进行开户申请表填写

# 



### **Our Services**

We offer a wide range of financial products and services to individual and





# Choose the application type fits your situation

## 根据您的实际需求选择账户类型



### Understand the online application.

• You must complete this application in one session, as you will not be able to save and return at a later time.

### After submitting your application.

- You will receive an email to upload supporting documents and e-sign the application.
- You will then receive an email to launch the CIP screening.
- After all validations are complete, you will receive an account welcome letter along with your login credentials.

BUSINESS ACCOUNT APPLICATION FORM







## Click disclosures, agreements and links to review all related information

请点击"披露"、"协议"和"链接"仔细阅读所有相关信息

## Welcome

### Please prepare the required documents.

To apply for a brokerage account, you will need to upload the following documents after you complete the online application:

- 1. A valid Photo ID (Foreign Passport/U.S. identification).
- 2. Recent 3-months Bank Statements.
- 3. A valid Taxpayer Identification Number (SSN, ITIN, EIN).
- 4. A signed and dated Customer Margin Account Agreement (For application of a margin account). Please read our Margin Disclosure Statement.

### Tax Status form:

- For non-resident alien, please fill and sign a W-8BEN form, which you may access via this link.
- For a U.S. resident, please fill and sign a W-9 form, which you may access via this link.
- Start Powered by Powered by

欢迎

请准备好所需文件。

- 要申请股票账户,您需要在完成在线申请后上传以下文件:
  - 1. 有效的带照片身份证件(外国护照/美国身份证件)。
  - 2. 近期 3 个月的银行对账单。
  - 3. 有效的纳税人识别号 (SSN\_ITIN\_EIN)
  - 我们的保证金披露声明。

### 税务状况表:

- 对于非居民外国人,请填写并签署 W-8BEN 表格,您可以通过此链接 问。
- 对于美国居民,请填写并签署 W-9 表格,您可以通过

本申请以英文编制并签署。本申请的任何中文版本仅为参考而提供。如果其英文 版本与中文版本之间存在任何不一致之处,则以英文版本为准。









4.已签署并注明日期的客户保证金账户协议(用于申请保证金账户)。请阅读





Complete the application and prepare for the required documents, select StoneX as your clearing firm.

填写申请表并准备开户所需的文件,确保在选择交割公司时选择<mark>Sto</mark>neX。

	Individual Account Application For	Business Account Application Form	
	maividual Account Application For		
	0% completed	Unable to load CAPTCHA verification. Please refresh this page.	Î
	New Account Application (Retail Customer) / 新账户申请(个人客户)	0% completed	
	Customer Type / 客户类型: *	Account Type Information / 账户类型信	
	○ Individual / 个人账户	息	
	○ Joint (More than one account holder) / 联名账户(多于一个账户持有人)	Ref Code / 申请邀请码:	1
The state of the state	Ref Code / 申请邀请码:		
		Applicant (Control Person) Name / 申请人(控制人)姓名: *	
	Primary Applicant Name / 主申请人姓名: *		
		Applicant (Control Person) Email / 申请人(控制人)电子邮件: *	
and the first	Primary Applicant Email / 主申请人电子邮件: *		
		Customer Type / 麥户樂型: *	
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## **Required documents-Individual account**

# 开户所需的文件-个人账户



# Individual Account Opening Checklist

Ensure you have what you need to open an brokerage account at Royal Treasure Securities LLC. Below are the items opening an individual account requires:

Items needed:	Notes
Current Photo ID for account holder. If the shareholder is a non-resident alien (NRA), only an unexpired passport will be accepted.	账户持有人的当前照片。 民外国人(NRA),仅
Recent 3-month bank statement (Utility bills if unavaliable)	最近三个月的银行对账单(
W-8 form or W-9 form	W-8 表格
Signed CRS form	签署完成的客户
Disclosure of any affiliated persons, if applicable	披露任何关联
Signed margin agreement, if applicable	签署的保证金



### ROYAL TREASURE CURITIES LLC

身份证明。如果股东是非居 接受有效期未过的护照。

如无法提供,则提供水电账单)

或 W-9 表格

服务综合声明表格

公司(如适用)

**协议(如适用)** 



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## **Required documents-business account**

## 开户所需的文件-企业账户



### 7 Business Account Opening Checklist

Ensure you have what you need to open an brokerage account at Royal Treasure Securities LLC. Below are the items opening an business account requires:

Items needed:	Notes
Photo ID for shareholders owning 25% or more of the company. If the shareholder is a non-resident alien (NRA), only an unexpired passport will be accepted.	持有公司25%或以上股份的股票 份证明。如果股东是非居民外国 仅接受有效期未过的打
Articles of incorporation	公司章程
Organization By law or LPA if LLC	公司章程或有限责任公司的有限各
Organization chart for management	管理组织结构图
Recent 3-month bank statement	最近三个月的银行邓
W-8 form or W-9 form	W-8 表格或 W-9
Signed CRS form	签署完成的客户服务综合
Disclosure of any affiliated companies, if applicable	披露任何关联公司(如
Signed margin agreement, if applicable	签署的保证金协议(如



东需提供照片身 国人(NRA), 护照。

合伙协议(LPA)

**寸账单** 

表格

合声明表格

如适用)

如适用)

After submitting the application, you will receive an email requesting you to e-sign and upload documents. Please read it carefully and sign the document as instructed.

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提交申请后,您将收到一封电子邮件,请求您进行电子签名并上传文件。请仔细阅读 邮件并按要求签署文件。

Harry Torry via Docusign Test To: ®			Q Q ±, ⊑ t; 3
	This document is for demonstration purpose only.  docusign	START	Docusign Envelope ID: D849D724-0A70-4C8F-AAB3-EEC46C4C1D7C       DEMONSTRATION DOCUMENT ONLY PROVIDED BY DOCUSIGN ONLINE SIGNING SERVICE 999 3rd Ave, Suite 1700         Questions? Call a New Accounts representative at +1(646) 866-6858.       999 3rd Ave, Suite 1700       Stattler, Washington, 85104 c.(2) www.docusign.com         Please visit us at royaltsec.com for more information about opening account.       132 West 31st 51 #921, 9th 10.wer York, MY 1000
	Harry Torry sent you a document to review and sign. REVIEW DOCUMENTS Harry Torry hatoworking@gmail.com		Developmental documents form the entire Agreement between us for this account.         Unless otherwise indicated in this Application, the words "you," yours," yourself," and "yours" mean the application), and and the application and all accompanying or supplemental documents form the entire Agreement between us for this account.         Unless otherwise indicated in this Application, the words "you," yours," yourself," and "yours" mean the application), and any the mean Royal Treasure Securities LLC (132 West 31st St #921, 9th fl, New York, NY 10001), and our branches, subsidiaries, and affiliates.         Detting Started         All information is required unless otherwise stated.
	Complete with Docusign: RT Application Forms - 8_07_24 MASTER COMPLETE Individual.pdf, RT Application Forms - FORM CRS.pdf Thank You, Harry Torry		<ul> <li>Please complete and sign this Application, along with any required supplemental forms identified through this application process.</li> <li>In order to complete this Application, you will need some or all of the following information: <ul> <li>Identification information, such as a driver's license, passport, or another type of government- issued identification.</li> <li>Social Security Number.</li> <li>Federal tax information.</li> <li>Information about your annual income, debt, expenses, and net worth.</li> <li>Trusted contact person information.</li> </ul> </li> <li>The above information helps us comply with various securities regulations and rules and the USA PATRIOT Act, a Federal</li> </ul>
	Do Not Share This Email This email contains a secure link to Docusign. Please do not share this email, link, or access code with others. Alternate Signing Method Visit Docusign.com, click 'Access Documents', and enter the security code: 213BAE81530C47BB876EBDCDF4CC3B0B1 About Docusign Sign documents electronically in just minutes. It's safe, secure, and legally binding. Whether you're in an office at home on the on - or even across the globe Docusion provides a professional trusted		Law that requires all securities firms to obtain, verify, and record information that identifies each applicant. Please note: if we cannot verify the information you provide, we may be required to restrict or deny your account.  Important Notice  Please remember to notify us if you experience a significant life change, such as the birth of a child, marriage, divorce, death of a spouse, loss of a job, change in financial situation, etc.
	Solution for Digital Transaction Management™. Questions about the Document? If you need to modify the document or have questions about the details in the document, please reach out to the sender by emailing them directly. Stop receiving this email <u>Report this email</u> or read more about <u>Declining to sign</u> and <u>Managing notifications</u> .		CUSTOMER TYPE
	If you have trouble signing, visit "How to Sign a Document" on our Docusion Support Center, or browse	- ale accestore	

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						999 3rd Ave	Suite 1700 · Seattle · W	ashington 98104 • (20	6) 219-02	
	IF I AM A U.S. PERSON F	OR TAX PUR	POSES:		,	www.docusi	gn.com			
	Under penalties of perjury, because: (a) I am exempt f as a result of a failure to re other U.S. person; and (4)	I certify that: ( rom backup v port all interes the FATCA co	(1) the numb withholding, a st or dividend sde(s) entere	er shown on r (b) I have n ls, or (c) the I d on this form	this form is m ot been notifi IRS has notifi n (if any) indic	y correct taxpaye ed by the interna ed me that I am r ating that I am e	er identification number; (2) I am not I Revenue Services (IRS) that I am to longer subject to backup withhold xempt from FATCA reporting is corre	subject to backup withholding subject to backup withholding ing; (3) I am a U.S. citizen or sct.		
W-9 CERTIFICATION	Definition of a U.S. person. A partnership, corporation, foreign estate), or a domes	Definition of a U.S. person. For federal tax return purposes, you are considered a U.S. person if you are: An individual who is a U.S. citizen or U.S. resident alien, A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States, an estate (other than a foreign estate), or a domestic trust (as defined in Regulations section 301.QQ01-Q).								
	If I have been notified by th out (2) in this certification.	e IRS that I a	m subject to	backup with	holding becau	se I have failed t	o report all interest and dividends or	my tax return, I must cross		
	IF I AM NOT A U.S. PERS	ON FOR TAX	PURPOSES	8:						
	I am submitting the applica	ble Form W-8	with this for	m to certify m	ny foreign stat	US.				
	ACKNOWLEDGEMENT									
	The Internal Revenue Service does not require your consent to any provisions of this document other than the certifications required to avoid backup withholding.									
	I authorize my broker and/or Clearing Firm to obtain a consumer report at the time of application to verify my creditworthiness and to obtain a consumer report from time to time for updates, renewals, extensions, and collection activity on any approved account. Upon my written request, my broker and/or Clearing Firm will clisclose to me whether it obtained a report, and if so, the name and address of the consumer-reporting agency that provided it. In the event that my account is denied by Clearing Firm, as a result of the consumer report verification, I authorize Clearing Firm to provide to my broker the reason(s) for such denial.									
	By signing this Application, you affirm that you have received and read this Application and any supplemental documents governing this relationship. You affirm that the information you have provided is accurate and you agree to notify us of any changes in the information provided.									
<b>REVIEW &amp; SIGNATURES</b>	SIGNATURES									
	Primary Applicant Name (F	Nease print)			Primary An Sign	olicant Signature		Date 8/29/2024		
	Co-Applicant Name (Please	e printj	)	1	Co-Applicat	nt Signature		Date		

Do you or your financial professionals have legal or disciplinary history?

No. Please visit Investor.gov/CRS for a free and simple search tool to research RTS and RTS's financial professionals.

### CONVERSATION STARTERS:

As a financial professional, do you have any disciplinary history? For what type of conduct?

have shown at Ohile stilling Balling in

### Additional Information

For up-to-date information about our firm, our financial professionals or to request a current copy of the relationship summary, please call 617-816-1957, or email at help@royaltsec.com.

### CONVERSATION STARTERS:

Who is my primary contact person? Is he or she a representative of a broker-dealer? Who can I talk to if I have concerns about how this person is treating me?

	Client Name (Please print)	Client Signature	Date
SIGNATURE		Sign	
	dfasf	*	8/29/2024
•	$\frown$		
	3		

Docusign Envelope ID: D849D724-0A70-4C8F-AAB3-EEC46C4C1D7C

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DEMONSTRATION DOCUMENT ONLY PROVIDED BY DOCUSIGN ONLINE SIGNING SERVICE

### APPENDIX: Required Supporting Documents Torradio ant Opening attle • Washington 98104 • (206) 219-02 www.docusign.com

Photo ID Required	Primary Applicant	Co-Applicant
Photo ID Required	Ţ	
	Ø	
Bank Statement Required (Most Recent 3 months)	•	
W-8BEN or W9 Required	•	
Customer Margin Account Agreement If applying for Margin Account, then required	Optional	
(2)		



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After you complete the e-signature and submit the relevant documents, you will receive an email with the files you uploaded and the documents that have been signed and are effective.

在您完成电子签名并提交相关文件后,您的电子邮箱将收到一封电子邮件,其中包含 您上传的文件以及已签署生效的文件

Harry Torry via Docusign Test To: ③				(j) 🦘 R
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	an office, at home, on-th solution for Digital Trans	e-go or even across the globe - action Management™.	<ul> <li>Docusign provides a professional trusted</li> </ul>	
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	Stop receiving this em	ail		





# Additionally, you will receive another email asking you to click the link and complete the KYC verification as instructed on the page.

# 同时,您还会收到另一封邮件,请点击链接并按照页面上的指示完成 KYC 认证。

Action	Required
	hatoworking@gmail.com To: ③
	Dear :
	Application ID: 0
	As part of the application process, we kindly request you to complete the Know Your Customer (KYC) process. This is an essential step in ensuring comp
	Please click on the following link to begin the KYC process:
C	Start KYC Process
1	Please be noted that the link provided will expire after 10 days for security reasons. If you do not complete the KYC process within this timeframe, you v
	Should you require a new verification link, please feel free to reach out to us at help@royaltsec.com.
	If you have not applied for an account, please disregard this email.
	Thank you for your cooperation.
	Best regards,
	Royal Treasure Securities LLC
	Seply > Forward

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🙂 🥎 Reply «

pliance with regulatory requirements.

will need to request a new link.

# **English version-Individual**

英文版本-个人

### **Getting started**

We need some information to help us confirm your identity.



By clicking the button below, you consent to Persona, our vendor, collecting, using, and utilizing its service providers to process your biometric information to verify your identity, identify fraud, and improve Persona's platform in

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### What country is your government ID from?

This helps us determine the best way to verify your identity.

United States	
---------------	--

Select

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The verification processes for business accounts and individual accounts have slight differences. 商业账户和个人账户的验证过程略有不同。

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### Upload a photo ID

We require a photo of a government ID to verify your identity.

Choose 1 of the following options







# Please use the original documents for verification. 请使用证件原件进行认证

### Let's make sure you're you

Position yourself in the center of the camera and then move your face left and right to show both sides.





**Get started** 

Continue on another device

Pass verifications





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# **Chinese version-Business**

# 中文版本-企业



The verification processes for business accounts and individual accounts have slight differences. 商业账户和个人账户的验证过程略有不同。



### 国家

请选择能确认你身份的国家





Pass verifications





## Please use the original documents for verification. 请使用证件原件进行认证





### 让我们确定你就是你

将自己置于相机中央,然后左右移动脸部以显示两 侧。







Pass verifications



将自己置于屏幕中央

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### 恭喜你,你已经完成了!

感谢您验证自己的身份。





Pass verifications



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# 邮件电子签名 E-signature

After completing the KYC verification, you will receive an email informing you that your application is being processed. You will receive an email from StoncX for E-signture. Files may include as below.

完成 KYC 认证后,您将收到一封邮件,告知您的申请正在处理。 之后, 您将会收到StoneX 的表格签名邮件。需要签名的表格会包括以下截图中的文件。

Арр	ication Review Pending	
C	hatoworking@gmail.com To: ⑧	😳 🥎 Reply K Reply all
	Dear E. Thank you for choosing Royal Treasure Securities LLC. We have received your application, and it is currently under Please rest assured that we are working diligently to process your application as quickly as possible. However, the information is carefully assessed. We appreciate your patience and understanding during this time. We will notify you as soon as a decision has been	review by our team. review process may take some time as we ensu n made regarding your application.
	Best regards, Royal Treasure Securities LLC	Introduced Custome
	← Reply → Forward	New Account Applic
	Beneficial Owner Form Entity(公	W-9
	Corporate Resolution 司)	roduced Customer Account Agree
	Introduced Customer Account Agreement	w Account Application - IBD
	New Account Application - IBD	n-US Account Section 312
	W-9	ture Identification 1
	W-1	8BEN



re that all necessary



# 账 户 激 活 Account Activation

After your account is successfully opened, you will receive an email containing the fee details and your account activation password. You will need the information in the red box to activate your account. 账户成功开通后,您将收到一封邮件,内容包括费用明细和激活账户需要信息。您需要使用框中信息登陆激活您的StoneX 账户。



We're pleased to inform you that your account with Stone X has now been opened. The wire/ACH instructions and fees schedule are attached.

To activate your account, please visit https://client.stonex.com/ and click on "New User."

You'll need the following information to complete the activation process:

- Account Number:
- Corporate/Entity(Tax) ID:
- Your Passport ID and Date of Birth
- A valid phone number & Email

Upon completion of the activation, you'll receive another email with login instructions. As a reminder, Royal Treasure Securities does not offer a self-trading platform for accounts opened with Stone X. You may email or call us during normal business hours (M-F, 9:00 am - 5:00 pm EST) to place orders. Our trade desk can be reached at (646) 751-8957 ext. 1001.

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Wire Intructions - USD and Foreign Currency 3-2024.pdf 880 KB



Visit https://client.stonex.com/, select the "New User" tab, then select "Enroll for online access".

登录https://client.stonex.com/ 后点击 New user,点击圈中 "Enroll for online access"



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Let's get started

### Existing Customers

If you already have an account at StaneX use the option below to g

Enroll for online account access



填写您的账户号码,账户号码会在您的账户申请表或邮件中显示,若无法找到可以发送邮件至 client.service@royaltsec.com

Fill in your account number. It will be shown on your account application form or in your email. If you cannot find it, please send an email to client.service@royaltsec.com

Getting started. Please enter your account number.

If you have more than one account, you will need to register for each account individually.

\* Account Number

Account Number is required.

Go Back

Chat with Support

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Next

# Personal Information 公司及个人信息验证

填写您的公司税号(公司账户),或是您的个人税号(个人账户),你的身份文件类型和号码。您的出生日期。 Fill in your company tax number (for company accounts) or your personal tax ID number (for personal accounts), and your identification document type and date of birth.

输入您的账户申请注册邮箱地址。 Enter your account registration email address.

Complete the following so we can connect you to your account.

Corp / Trust ID of entity:		This e
		lf you c
Corp / Trust ID of entity is required.		
Select your ID type:		* Email Ad
Passport Number	~	
Passport Number:		* Confirm
Date of Birth		Next
Year Y Month Day	$\sim$	

Chat with Support

Next

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il address will be your StoneX username.

already a StoneX Client user, please use your StoneX username.

Address

Chat with Support



# **填写您的个人姓名与电话号码 点击 Submit 会给您邮箱发送下一步骤邮件。** Fill in your name and phone number Click Submit and the next step will be sent to your email.

Let's complete the rest of your profile.

* Email Address	
* First Name	
* Last Name	
+1 (United States a $\vee$	Phone Number
+1 (United States a $\vee$	Confirm Phone Number
Submit Chat with Support	

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一切已准备就绪,您可以开始在股市中交易, 尽情体验投资乐趣!

# **Contact Details**

Phone : Web: Email : Address :

# **Everything is set up, so you can start trading** in the stock market and enjoy the journey!

# Thank you

(646) 866-6858

https://royaltsec.com

client.service@royaltsec.com

132 West 31st St #921, 9th fl, New York, NY 10001