

# ROYAL TREASURE SECURITIES LLC

Account Opening Process  
开户注册流程

2 0 2 4



1

Visit: [www.royaltsec.com](http://www.royaltsec.com)

Click “open account” to start an application

请访问 [www.royaltsec.com](http://www.royaltsec.com)

点击“开户”选项进行开户申请表填写

2

3

4

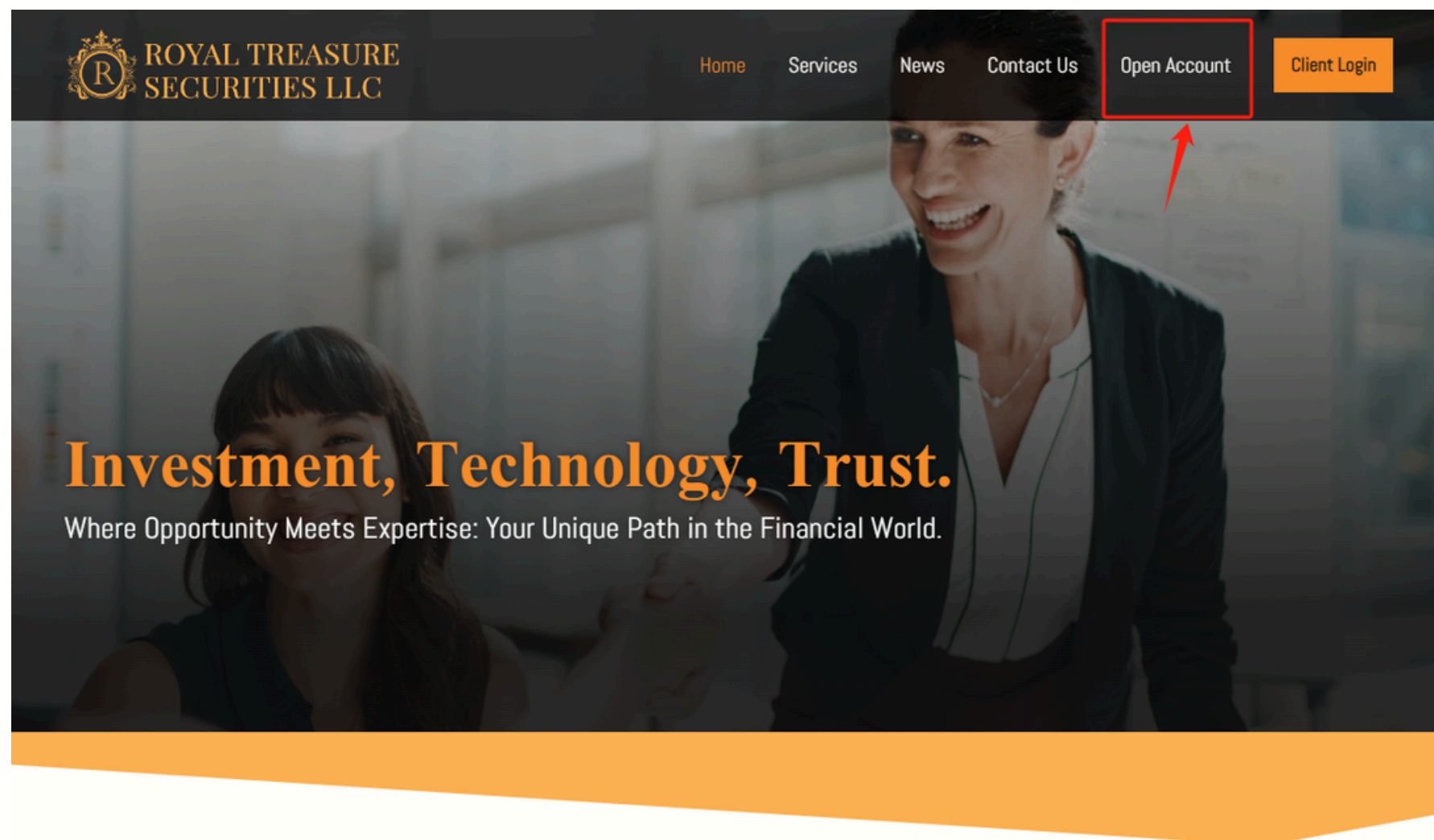
5

6

7

8

9



## 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



3

4

5

6

7

8

9

### 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.

INDIVIDUAL ACCOUNT APPLICATION FORM

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  [Privacy](#) | [Terms](#)

### 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）。
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](#)访问。
- 对于美国居民，请填写并签署 W-9 表格，您可以通过此[链接](#)访问。

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。

Start

Powered by  [Privacy](#) | [Terms](#)



# 3.1

## Complete the application and prepare for the required documents

### 填写申请表并准备开户所需的文件



- 4
- 5
- 6
- 7
- 8
- 9

**Individual Account Application Form**

0% completed

**New Account Application (Retail Customer) / 新账户申请 (个人客户)**

Customer Type / 客户类型: \*

- Individual / 个人账户
- 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:

Primary Applicant Name / 主申请人姓名: \*

Primary Applicant Email / 主申请人电子邮件: \*

Account Type / 账户类型: \*

- Cash / 现金
- Margin / 保证金

**Business Account Application Form**

Unable to load CAPTCHA verification. Please refresh this page.

0% completed

**Account Type Information / 账户类型信息**

Ref Code / 申请邀请码:

Applicant (Control Person) Name / 申请人 (控制人) 姓名: \*

Applicant (Control Person) Email / 申请人 (控制人) 电子邮件: \*

Customer Type / 客户类型: \*

- C-Corporation / C类股份优先公司
- S-Corporation / S类股份优先公司
- Foreign-Corporation / 美国境外公司

# 3.2

## 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 a brokerage account at Royal Treasure Securities LLC. Below are the items opening an individual account requires:

- 4
- 5
- 6
- 7
- 8
- 9

Items needed:	Notes
<input type="checkbox"/> 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身份证明。如果股东是非居民外国人 (NRA)，仅接受有效期未过的护照。
<input type="checkbox"/> Recent 3-month bank statement (Utility bills if unavaliable)	最近三个月的银行对账单（如无法提供，则提供水电账单）
<input type="checkbox"/> W-8 form or W-9 form	<b>W-8 表格或 W-9 表格</b>
<input type="checkbox"/> Signed CRS form	<b>签署完成的客户服务综合声明表格</b>
<input type="checkbox"/> Disclosure of any affiliated persons, if applicable	<b>披露任何关联公司（如适用）</b>
<input type="checkbox"/> Signed margin agreement, if applicable	<b>签署的保证金协议（如适用）</b>

# 3.3

## Required documents-business account

### 开户所需的文件-企业账户



# Business Account Opening Checklist

Ensure you have what you need to open a brokerage account at Royal Treasure Securities LLC.

Below are the items opening an business account requires:

- 4
- 5
- 6
- 7
- 8
- 9

Items needed:	Notes
<input type="checkbox"/> 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%或以上股份的股东需提供照片身份证明。如果股东是非居民外国人 (NRA)，仅接受有效期未过的护照。
<input type="checkbox"/> Articles of incorporation	公司章程
<input type="checkbox"/> Organization By law or LPA if LLC	公司章程或有限责任公司的有限合伙协议 (LPA)
<input type="checkbox"/> Organization chart for management	管理组织结构图
<input type="checkbox"/> Recent 3-month bank statement	最近三个月的银行对账单
<input type="checkbox"/> W-8 form or W-9 form	W-8 表格或 W-9 表格
<input type="checkbox"/> Signed CRS form	签署完成的客户服务综合声明表格
<input type="checkbox"/> Disclosure of any affiliated companies, if applicable	披露任何关联公司 (如适用)
<input type="checkbox"/> Signed margin agreement, if applicable	签署的保证金协议 (如适用)



4

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.

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。

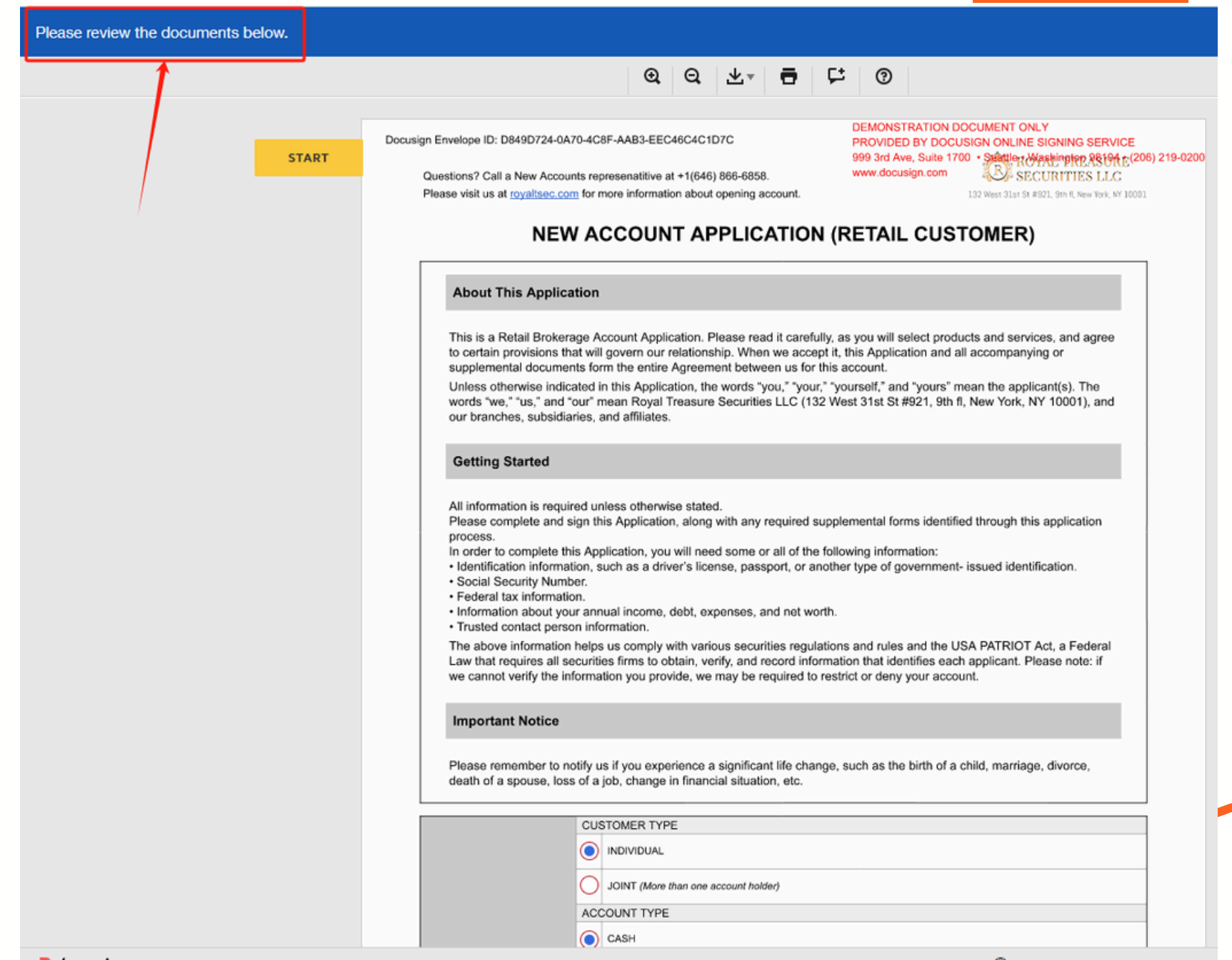
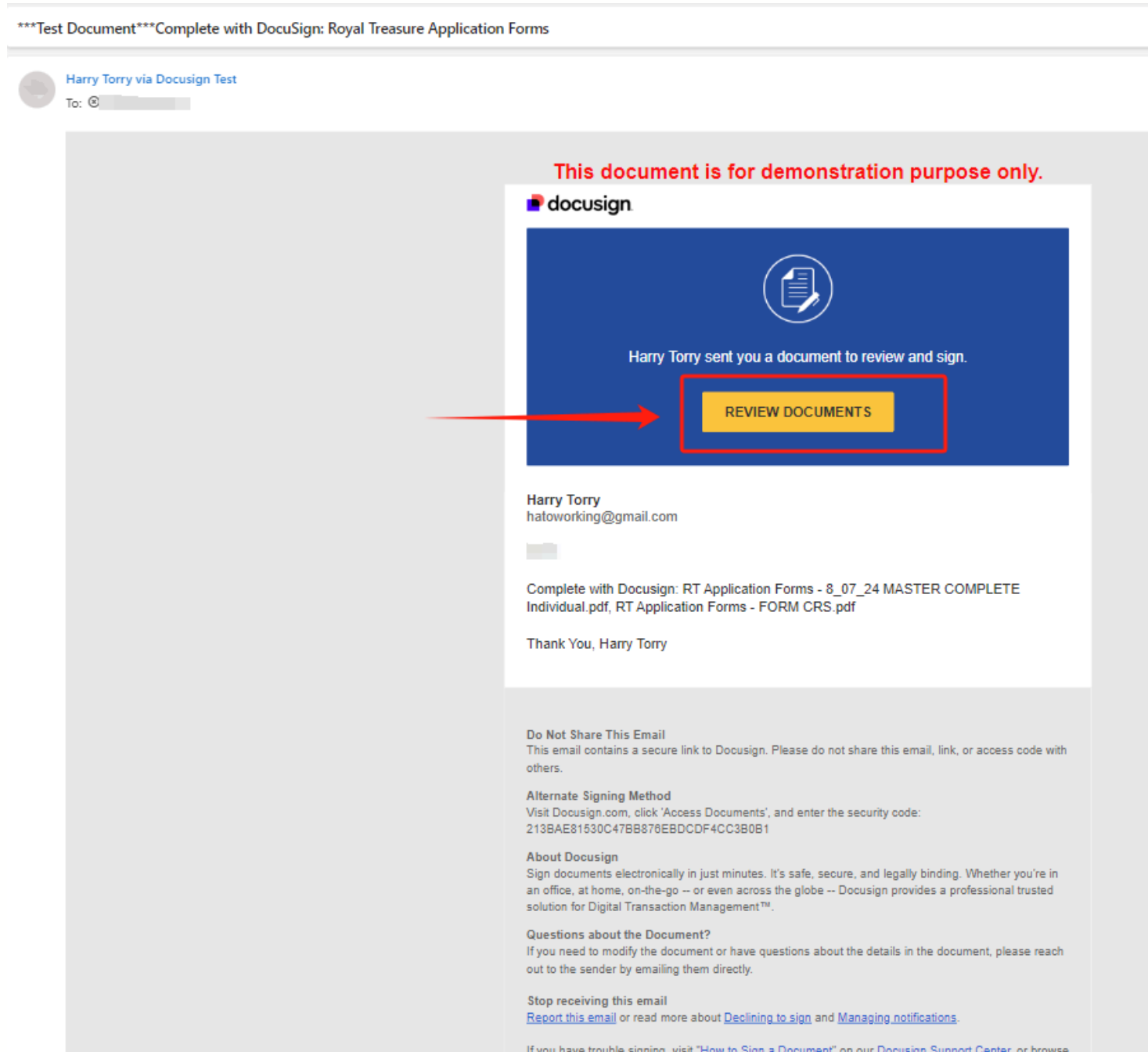
5

6

7

8

9





4.1

999 3rd Ave, Suite 1700 • Seattle • Washington 98104 • (206) 219-0211  
www.docusign.com

<b>W-9 CERTIFICATION</b>	IF I AM A U.S. PERSON FOR TAX PURPOSES: Under penalties of perjury, I certify that: (1) the 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 Services (IRS) that I am 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; (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. 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 301.9001-10).	
	IF I AM NOT A U.S. PERSON FOR TAX PURPOSES: I am submitting the applicable Form W-8 with this form to certify my foreign status.	
	<b>ACKNOWLEDGEMENT</b> 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 disclose 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>	<b>SIGNATURES</b>	
	Primary Applicant Name (Please print) dfasf	Primary Applicant Signature Sign ↓
	Co-Applicant Name (Please print)	Co-Applicant Signature Date 8/29/2024

1

DocuSign Envelope ID: D849D724-0A70-4C8F-AAB3-EEC46C4C1D7C  
999 3rd Ave, Suite 1700 • Seattle • Washington 98104 • (206) 219-0211  
www.docusign.com

DEMONSTRATION DOCUMENT ONLY  
PROVIDED BY DOCUSIGN ONLINE SIGNING SERVICE

**APPENDIX: Required Supporting Documents for Account Opening**

Supporting Document	Note	Attachments	
		Primary Applicant	Co-Applicant
Photo ID	Required	↓ 📎	
Bank Statement (Most Recent 3 months)	Required	↓ 📎	
W-8BEN or W9	Required	↓ 📎	
Customer Margin Account Agreement	If applying for Margin Account, then required	↓ 📎	Optional

2

5

6

7

8

9

**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?

**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?

<b>SIGNATURE</b>	Client Name (Please print) dfasf	Client Signature Sign ↓	Date 8/29/2024
------------------	-------------------------------------	-------------------------------	-------------------

3

**FINISH** OTHER ACTIONS ▾

4

## 4.2

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

\*\*\*Test Document\*\*\*Completed: Complete with DocuSign: Royal Treasure Application Forms

Harry Torry via DocuSign Test

To: [Redacted]

RT Application Forms - 8\_07\_... 407 KB

RT Application Forms - FOR... 389 KB

Individual\_Account\_Checklist... 289 KB

Individual\_Account\_Checklist... 289 KB

Individual\_Account\_Checklist... 289 KB

Show all 6 attachments (2 MB) Save all to OneDrive - Cheers Securities Download all

**This document is for demonstration purpose only.**

**docuSign**

Your document has been completed

[VIEW COMPLETED DOCUMENTS](#)

Harry Torry  
haloworking@gmail.com

All parties have completed Complete with DocuSign: Royal Treasure Application Forms.

**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:  
168FB8BA8ABE4E59870BF033CEA204801

**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-go -- or even across the globe -- DocuSign provides a professional trusted 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  
[Report this email](#) or [read more about Declining to sign and Managing notifications.](#)

5

6

7

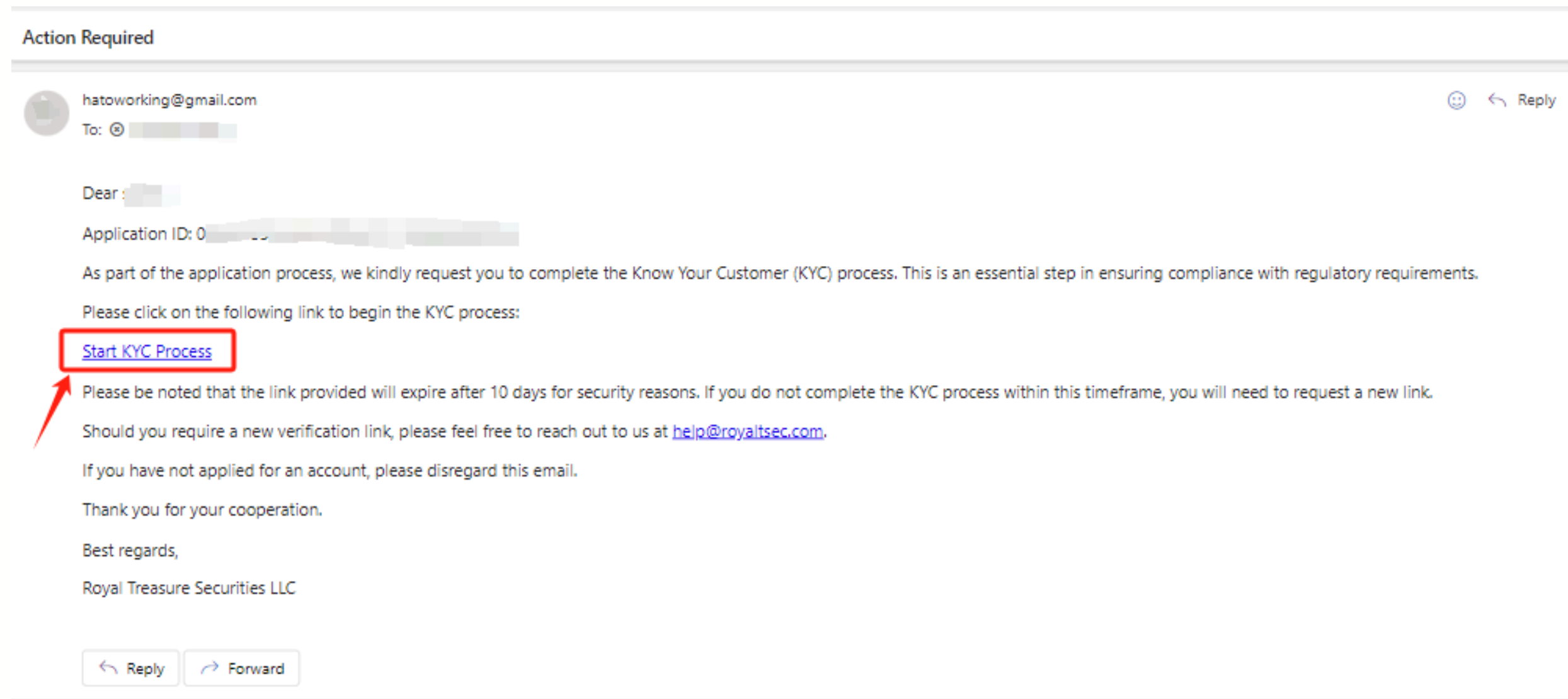
8

9

5

**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。**



6

7

8

9


# 5.1

## 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 accordance with its [Privacy Policy](#). Your biometric information will be stored for no more than 3 years.

**Begin verifying**

Pass verifications

English  SECURED WITH persona



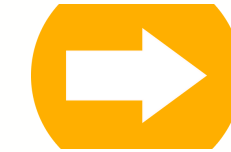
**What country is your government ID from?**

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

United States

**Select**

Pass verifications



**Upload a photo ID**

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

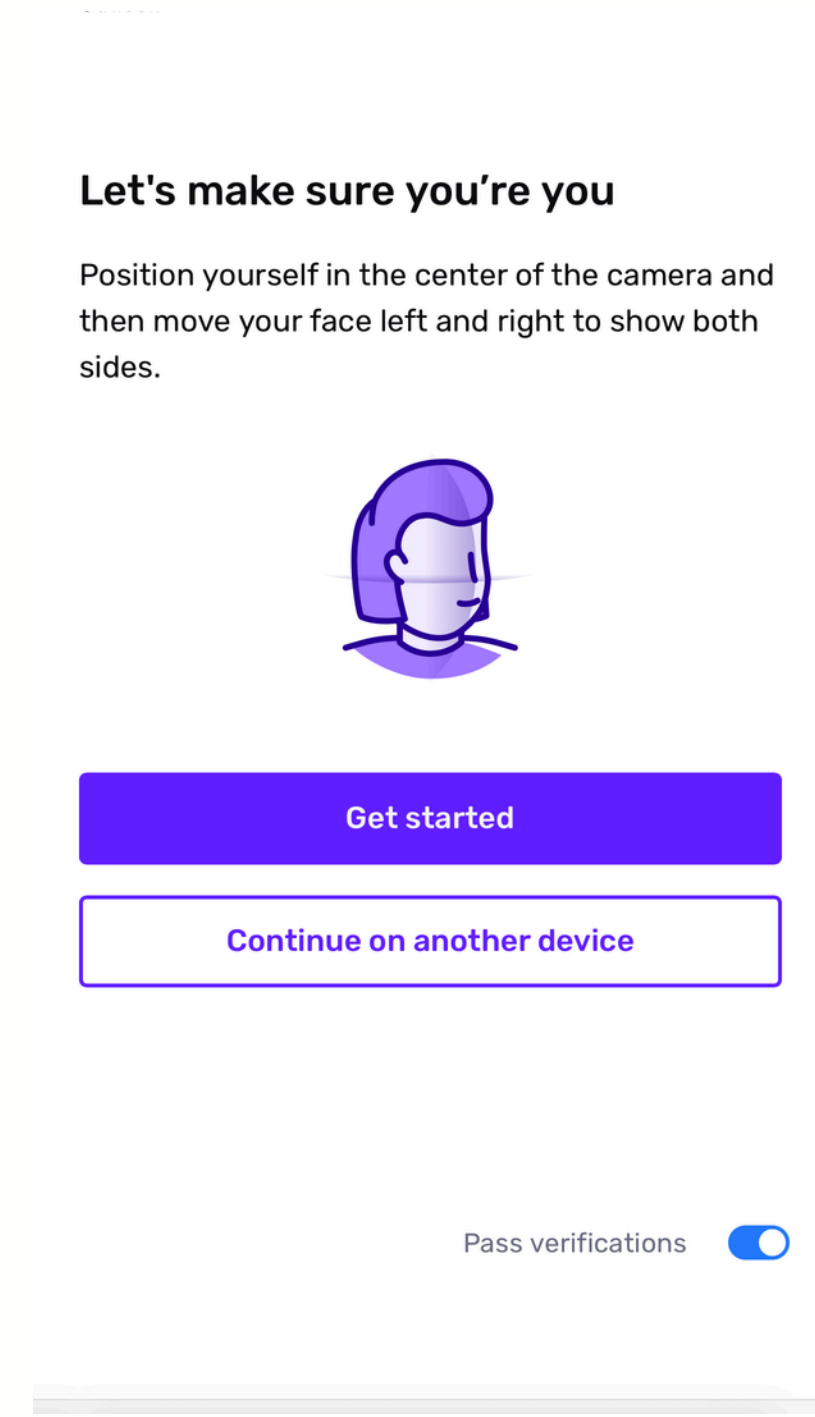
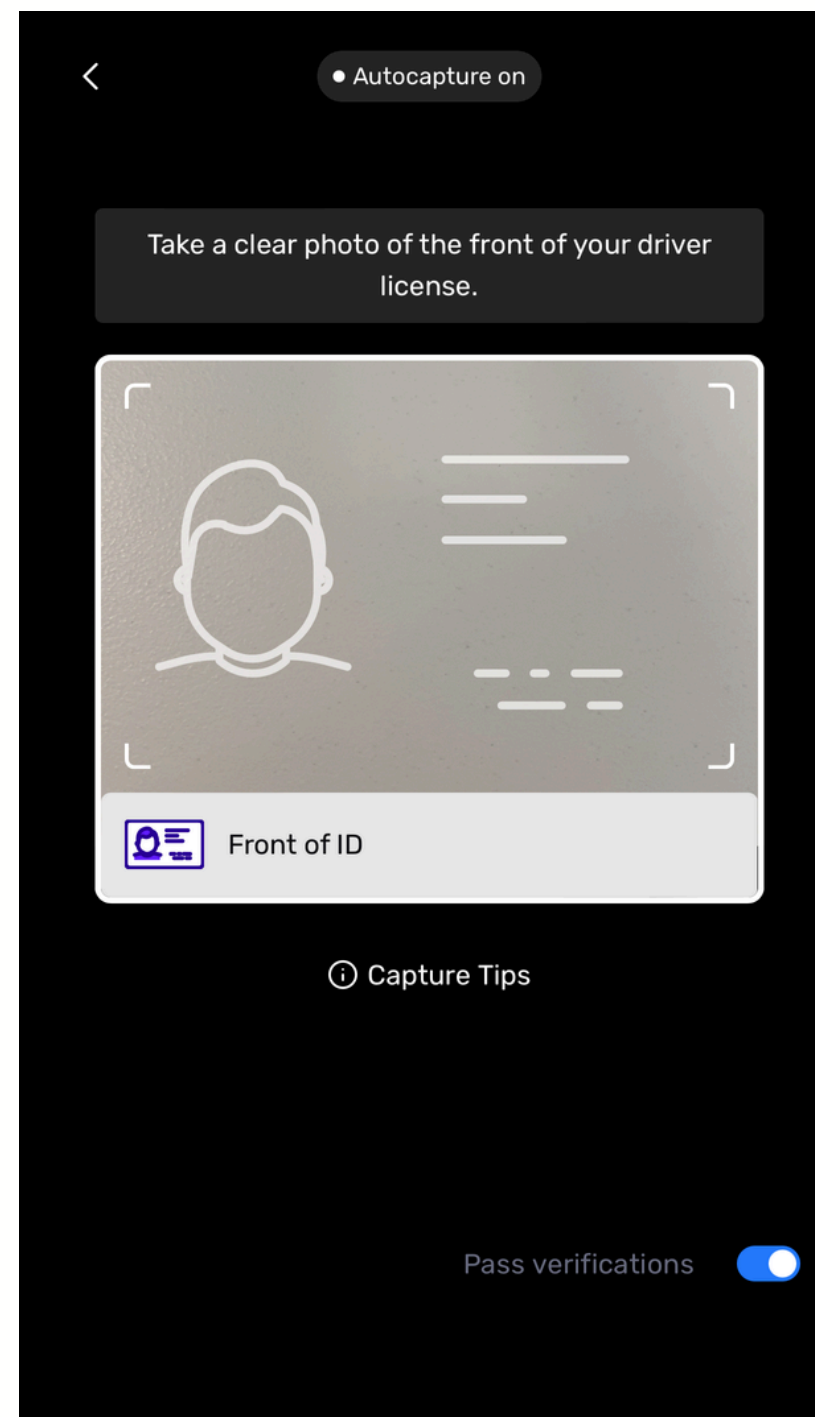
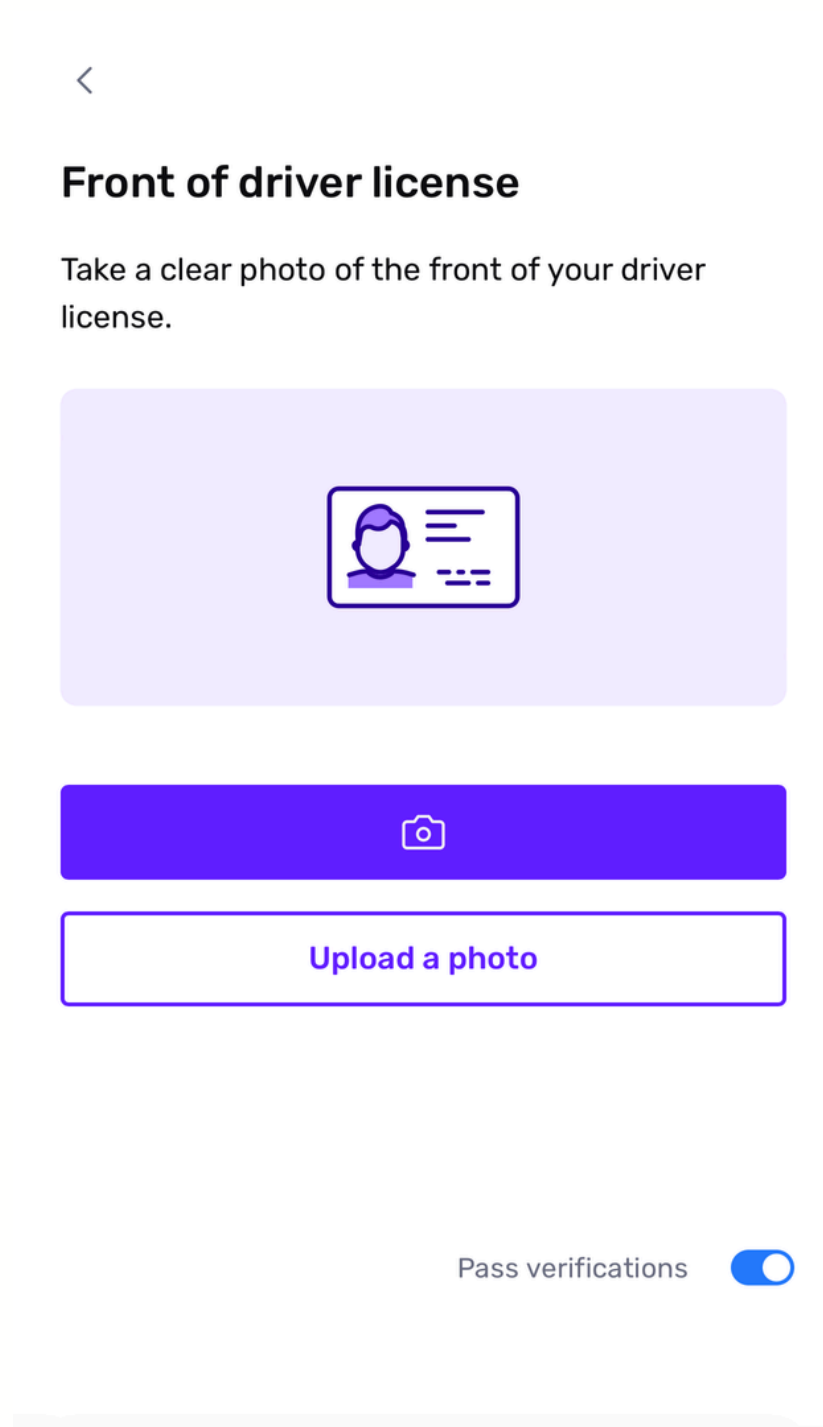
Choose 1 of the following options

- Driver License >
- State ID >
- Passport >
- Passport Card >
- Permanent Resident Card >
- Non-Citizen Travel Document >
- Pass verifications
- Visa >

- 6
- 7
- 8
- 9

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。





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



Center yourself on the screen

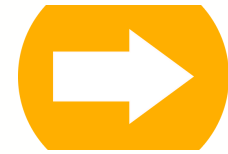


Take photo

Pass verifications

**Congratulations, you're done!**

Thanks for verifying your identity.




Pass verifications

5.2

# Chinese version-Business 中文版本-企业

**确认你的身份**

我们需要你的信息以便于验证身份

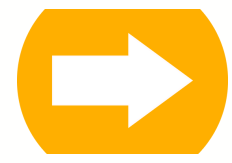


点击下方按钮即表示您同意我们的供应商 Persona 根据其[隐私政策](#)，收集、使用您的生物识别信息，并利用其服务提供商处理该信息，以验证您的身份、识别欺诈，并改进 Persona 的平台。您的生物识别信息将被存储不超过 3 年。

**开始**

Pass verifications

中文 (简体) SECURED WITH persona



**我们开始谈正事吧**

公司名称

业务A

地址

公寓

**继续**

Pass verifications



**国家**

请选择能确认你身份的国家

**确定**

Pass verifications

- 6
- 7
- 8
- 9

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。



**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。



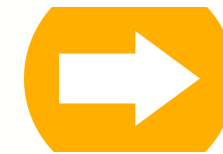
开始使用

在另一台设备上继续

Pass verifications



将自己置于屏幕中央



Pass verifications

---

## 恭喜你，你已经完成了！

感谢您验证自己的身份。



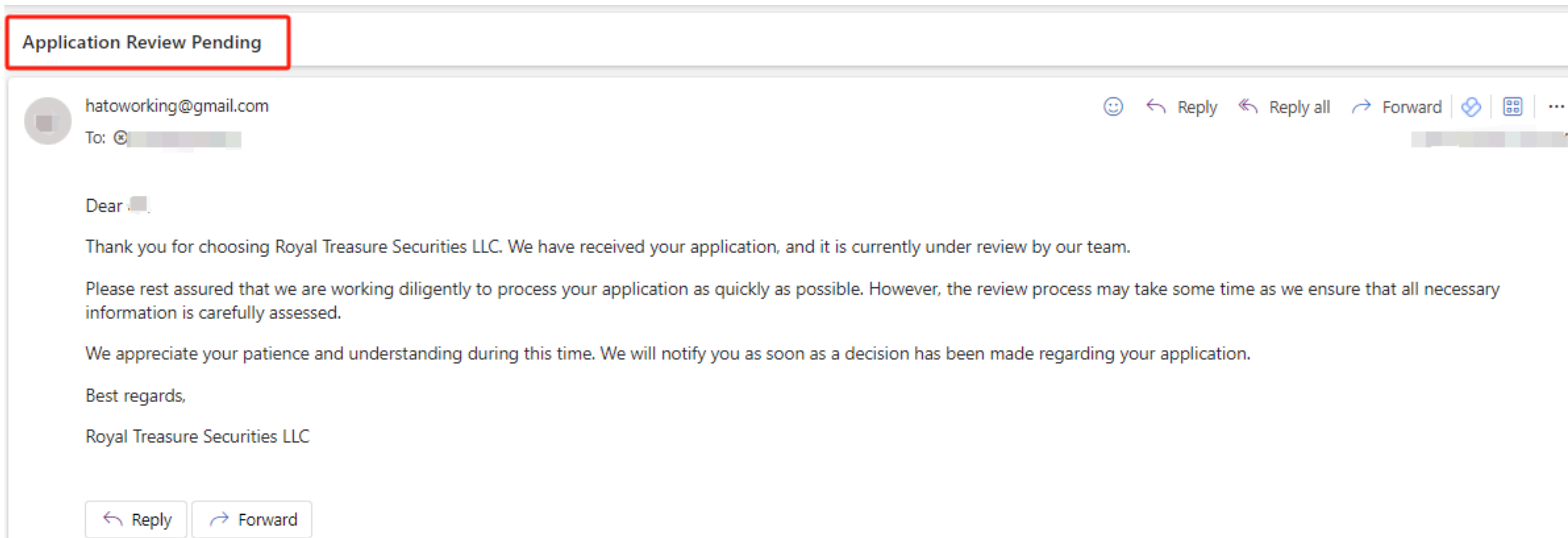
Pass verifications

---

## 5.3

**After completing the KYC verification, you will receive an email informing you that your application is being processed.**

**完成 KYC 认证后，您将收到一封邮件，告知您的申请正在处理。**



6

7

8

9

6

**After your account is successfully opened, you will receive an email containing the fee details and your account password information. Please carefully review all the information in the email and remember your PIN. Additionally, log in to your account and change your login password.**

账户成功开通后，您将收到一封邮件，内容包括费用明细和账户密码信息。请仔细阅读邮件中的所有信息，并牢记您的PIN。此外，请登录账户并更改登录密码。

The screenshot shows an email interface. At the top, the sender is identified as 'hatoworking@gmail.com'. Below the sender, there are two attachments: 'Delivery\_and\_Settlement\_Inst...' (178 KB) and 'Fee\_Schedule\_V2.pdf' (236 KB). The email body starts with 'Welcome to Royal Treasure Securities' and 'Dear [redacted]'. It then states: 'We proudly welcome you to the Royal Treasure Securities family – your account now is open and active! Below is your account info:'. A list of account details is provided: Account number, Temporary Password, Pin, and Portal to login (Velox Portal). Below this, it says 'Here are the new things we'd like you to note:' followed by several bullet points: Change password, PIN, Funding, Trading, Statements and Tax Documents, and System Maintenance hour. The System Maintenance hour note is highlighted in yellow.

**Attachments:** Delivery\_and\_Settlement\_Inst... (178 KB), Fee\_Schedule\_V2.pdf (236 KB)

**Account Information:**

- Account number: [redacted]
- Temporary Password: [redacted]
- Pin: [redacted]
- Portal to login: [Velox Portal](#)

**Notes:**

- Change password:** The username is your account number. Once you log in using the temporary password, you can update your password.
- PIN:** This is your personal security code. Please ensure it remains confidential. Your PIN is necessary for any requests to change personal information, reset passwords, or place orders through our trade desk.
- Funding:** Instructions for funding your account are attached. Velox does accept checks, however, the name on the check must be like-titled to the account name. We do strongly suggest that utilization of ACH or wires is used before checks as many times checks have been lost in the mail by the sender. In addition, we suggest you notify us ahead of time when you plan to make a wire or ACH. If you're interested in transferring your securities from another brokerage account, an account transfer form needs to be filled. Ask us about more details for account transfers.
- Trading:** You can find our trading fee schedule attached. To access our online trading platform, please send an email to [help@royaltsec.com](mailto:help@royaltsec.com) requesting enrollment. Use "[YOUR ACCOUNT NUMBER] TRADING ENROLLMENT REQUEST" as the subject line. Alternatively, you can submit your orders to [KGUAN@ROYALTSEC.COM](mailto:KGUAN@ROYALTSEC.COM) or call [\(646\)751-8957](tel:(646)751-8957) during our business hours. Please note that the security code associated with your account may be required when placing orders through our trading desk.
- Statements and Tax Documents:** Monthly account statements and tax documents such as 1099s will become available on the Velox Portal and not sent through mail.
- System Maintenance hour:** Please note that Velox conducts daily portal maintenance from Monday to Friday, 9PM EST to 10PM EST and 1AM EST to 3:30AM EST. During this time, customers will not be able to log onto the portal.

7

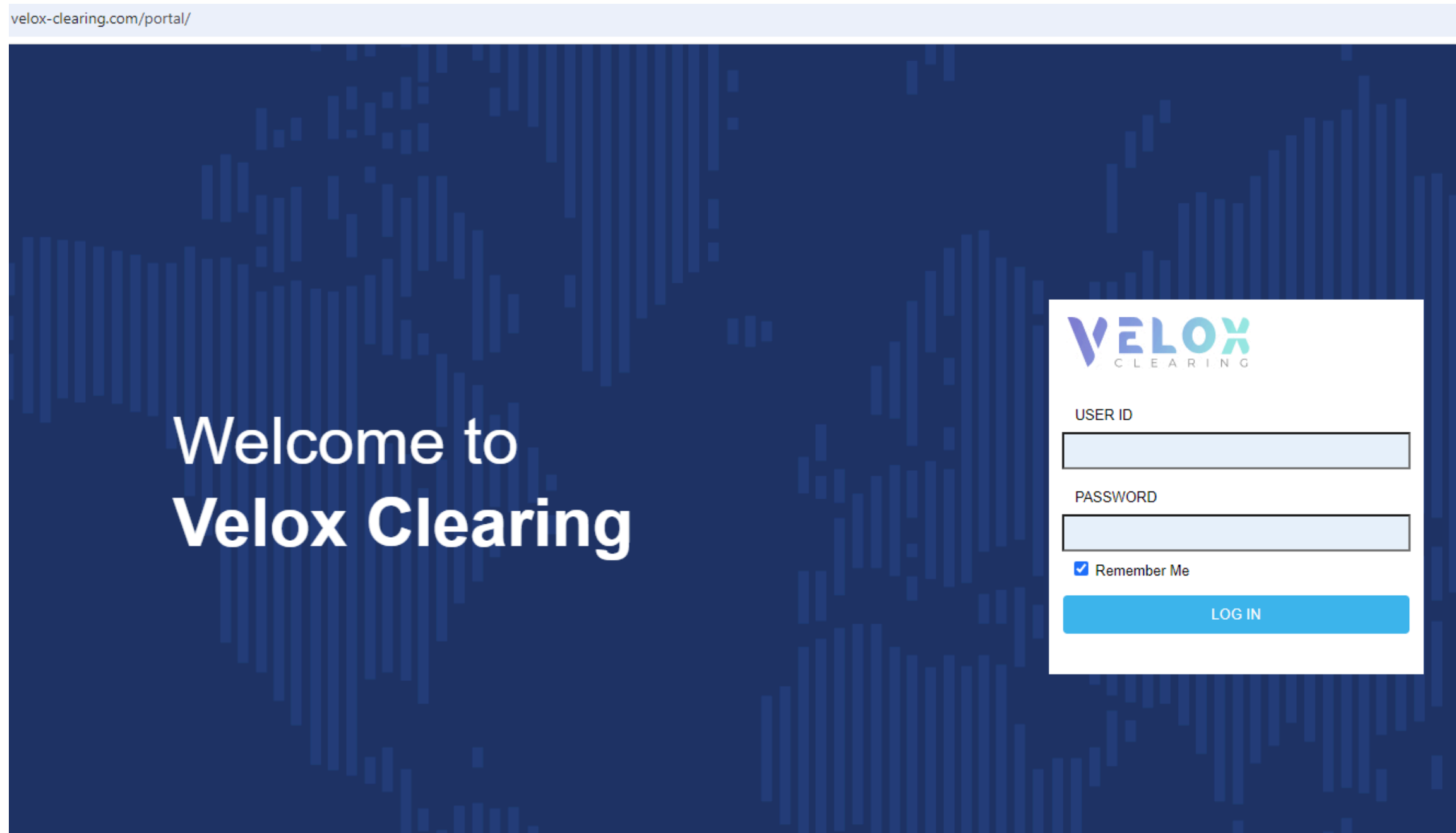
8

9

7

Visit: <https://www.velox-clearing.com/portal/> to change your password and link your bank account for transferring money in and out.

访问 <https://www.velox-clearing.com/portal/> 更改您的密码，并绑定银行账户以进行资金的进出转账。



velox-clearing.com/portal/

Welcome to  
**Velox Clearing**

**VELOX**  
CLEARING

USER ID

PASSWORD

Remember Me

LOG IN

8

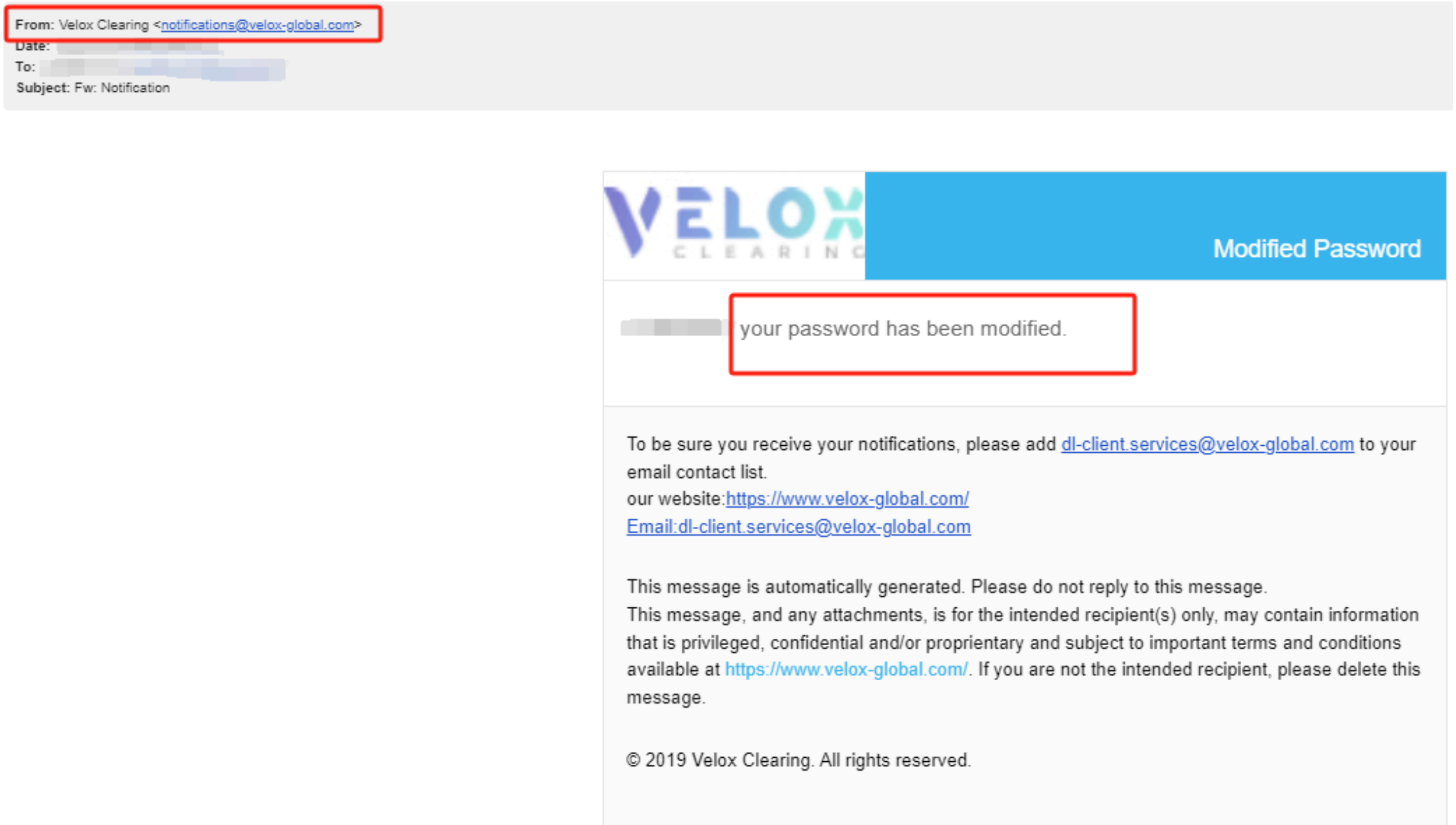
9



# 7.1

You will receive a confirmation email once your password has been successfully changed.

密码成功修改后，您将收到一封确认邮件。

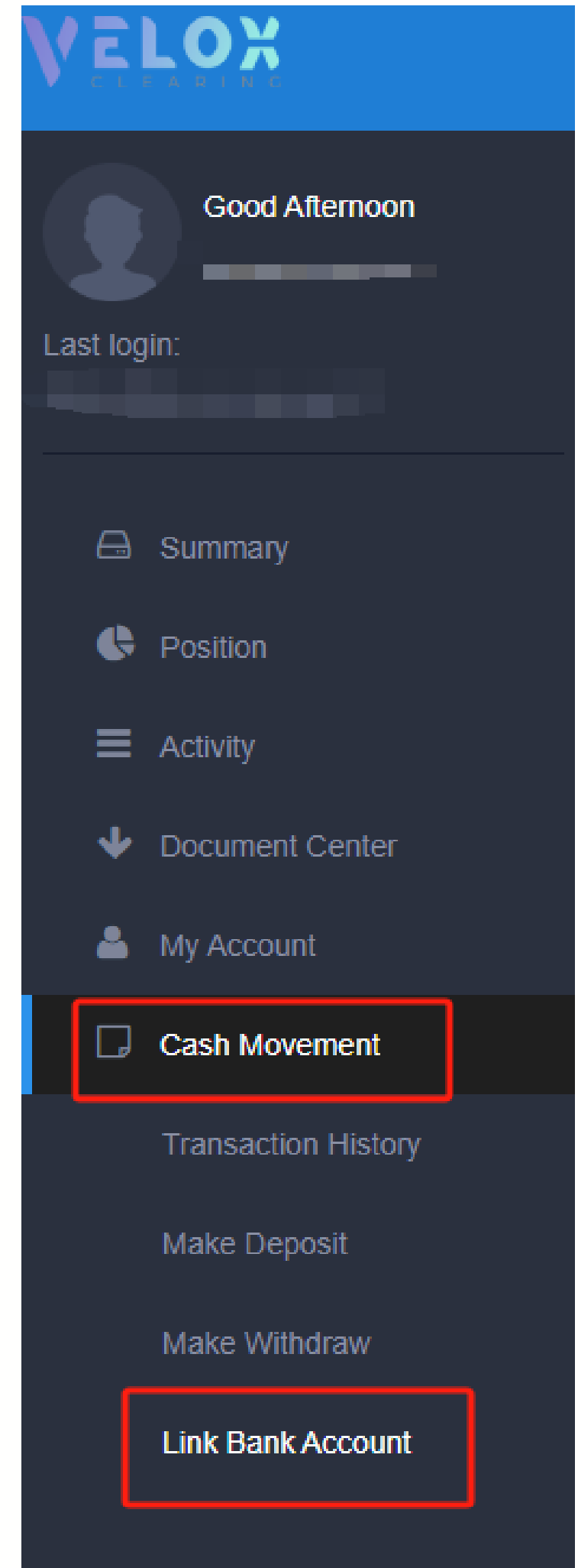


## How to link bank account to transfer money in and out:

1. Login to your Velox account
2. Click “Cash Movement: on left menu
3. Click “Link Bank Account”
4. Provide your bank information, click “link bank account”, finish
5. Next day or two, your bank should receive 3 micro deposit and withdraw transactions with net affect zero to your bank account
6. Login to your Velox account again to verify transactions by enter those 3 transactions
7. If your inputs are correct, the system will complete your bank link
8. Then You can initial deposit; maximum one transaction amount is \$50,000 daily.

## 如何绑定银行账户以进行资金转入和转出:

1. 登录您的 Velox 账户。
2. 点击左侧菜单中的“现金流动”。
3. 点击“绑定银行账户”。
4. 提供您的银行信息，点击“绑定银行账户”完成操作。
5. 接下来的一两天内，您的银行账户将收到三笔微额存款和取款交易，净额为零。
6. 再次登录您的 Velox 账户，通过输入这三笔交易来验证。
7. 如果输入正确，系统将完成银行账户绑定。
8. 然后您可以进行初始存款，每日单笔最大交易金额为 \$50,000。



## 8.1

Accounts that need verification will show three small transactions (less than one dollar, with the positive and negative amounts netting to zero). Customers need to enter these amounts in the order of the deposit and withdrawal times on the Velox platform. For withdrawals, a negative sign (-) should be placed before the amount.

需验证的账户会显示三笔小金额交易（少于一美元，且正负金额相消为零），客户需按照存取（Deposit/Withdraw）时间顺序在Velox平台填写验证金额，若是取款（Withdraw），需在数字前填写负号（-）。

The screenshot shows a web form titled "Link Bank Account" for "Link Bank Account for ACH Transfers". The form contains the following fields:

- Bank ABA No. (text input)
- Bank Name (text input)
- Account Name (dropdown menu)
- Account No. (text input)
- Account Type (dropdown menu)

A blue button labeled "Link Bank Account" is located at the bottom right of the form and is highlighted with a red rectangular box.

1

2

3

4

5

6

7

8

9



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

**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！**

***Thank  
you***

## **Contact Details**

**Phone :** (646) 866-6858

**Web:** <https://royaltsec.com>

**Email :** [client.service@royaltsec.com](mailto:client.service@royaltsec.com)

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