ROYAL TREASURE SECURITIES LLC
132 West 31st St #921, 9th fl, New York, NY 10001

NEW ACCOUNT APPLICATION (RETAIL CUSTOMER)

About This Application

This is a Retail Brokerage Account Application. Please read it carefully, as you will select products and services, and agree to certain provisions that will govern our relationship. When we accept it, this 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,” “your,” “yourself,” and “yours” mean the applicant(s). The words “we,” “us,” and “our” mean Royal Treasure Securities LLC (132 West 31st St #921, 9th fl, New York, NY 10001), and our branches, subsidiaries, and affiliates.

Getting Started

All information is required unless otherwise stated.
Please complete and sign this Application, along with any required supplemental forms identified through this application process.
In order to complete this Application, you will need some or all of the following information:
• Identification information, such as a driver’s license, passport, or another type of government- issued identification.
• Social Security Number.
• Federal tax information.
• Information about your annual income, debt, expenses, and net worth.
• Trusted contact person information.

The above information helps us comply with various securities regulations and rules and the USA PATRIOT Act, a Federal 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.

ACCOUNT TYPE INFORMATION	CUSTOMER TYPE		
		INDIVIDUAL	
		JOINT *(More than one account holder)*	
	ACCOUNT TYPE		
		CASH	
		MARGIN	
	OTHER ACCOUNTS		
	Do you have any other accounts with us?		
		YES	
		NO	
	CLEARING FIRM		
	Select at least one clearing firm to open an account. (You may select more than one if desired.)		
		Velox	Selecting both options will result in the opening of two separate brokerage accounts that are independent of each other (e.g. Login Portal, Account Number, Login credential, etc.) In addition, the account balances and reports CANNOT be combined.
		StoneX	

ACCOUNT OWNER INFORMATION

PRIMARY APPLICANT NAME

First Name	Middle Name	Last Name

TITLE *(Optional)*

☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

SUFFIX *(Optional)*

☐ Sr. ☐ Jr.

HOME ADDRESS

Apt/Suite No.	Street	
City	State	Country
Zip Code	Primary Phone No.	Secondary Phone No. *(Optional)*
Email Address		

MARITIAL STATUS

☐ Single ☐ Divorced
☐ Married ☐ Widowed
☐ Domestic Partner

NUMBER OF DEPENDENTS

☐ Check this box if you have been at your current home for less than one year.

USA PATRIOT ACT INFORMATION *(Required by Federal Law)*

Date of Birth *(mm/dd/yyyy)*	Social Security/Taxpayer ID No.	Country of Citizenship ☐ United States ☐ Other Country: ____________

☐ Driver's License
☐ Passport
☐ State ID
☐ Other Government ID

ID No.	Place/Country of Issuance	Country of Tax Residence *(If different than citizenship)*
Issue Date *(mm/dd/yyyy)*	Expiration Date *(mm/dd/yyyy)*	Country of Dual/Secondary Citizenship *(If applicable)*

For Non-U.S. citizen: Do you hold a current U.S. immigration visa? ☐ Yes ☐ No

Specify Visa Type	Visa Number	Expiration Date *(mm/dd/yyyy)*

Non-resident aliens must submit a W-8BEN form, a copy of a current passport, and a copy of a bank or brokerage statement. If a U.S. address is listed, then attach a Letter of Explanation for U.S. Mailing Address/Phone Number for Form W-8.

EMPLOYMENT STATUS

☐ Employed ☐ Self-Employed
☐ Retired ☐ Not-Employed
☐ Student ☐ Other: ____________

Job Title	Employer's Name	Years With This Employer

BUSINESS ADDRESS

Apt/Suite No.	Street	City
Zip Code	State	Country

HOUSEHOLD FINANCIAL BACKGROUND *(Please tell us your best estimate as to)*

ANNUAL INCOME *(From all sources)*

☐ $0-$49,999 ☐ $100,000-$199,999 ☐ $500,000-$999,999 ☐ $2,500,000+
☐ $50,000-$99,999 ☐ $200,000-$499,999 ☐ $1,000,000-$2,499,999

APPROXIMATE NET WORTH *(Not including primary residence)*

☐ $0-$49,999 ☐ $100,000-$199,999 ☐ $500,000-$999,999 ☐ $2,500,000+
☐ $50,000-$99,999 ☐ $200,000-$499,999 ☐ $1,000,000-$2,499,999

APPROXIMATE LIQUID NET WORTH *(Cash, stocks, etc.)*

☐ $0-$49,999 ☐ $100,000-$199,999 ☐ $500,000-$999,999 ☐ $2,500,000+
☐ $50,000-$99,999 ☐ $200,000-$499,999 ☐ $1,000,000-$2,499,999

TAX BRACKET

☐ 0%-15% ☐ 16%-25% ☐ 26%-30% ☐ 31%-35% ☐ 35%+

WHAT BEST DESCRIBES THE INITIAL SOURCE OF FUNDS FOR THIS ACCOUNT?

☐ Employment/Wages ☐ Unemployment/Disability ☐ Savings ☐ Spousal/Parental Support
☐ Investments ☐ Gifts ☐ Lottery/Gaming ☐ Other: ____________
☐ Retirement Funds ☐ Legal Settlement ☐ Inheritance/Trust

WHAT BEST DESCRIBES THE ONGOING SOURCE OF FUNDS FOR THIS ACCOUNT?

☐ Employment/Wages ☐ Unemployment/Disability ☐ Savings ☐ Spousal/Parental Support
☐ Investments ☐ Gifts ☐ Lottery/Gaming ☐ Other: ____________
☐ Retirement Funds ☐ Legal Settlement ☐ Inheritance/Trust

1. Annual income includes income from sources such as employment, alimony, social security, investment income, etc.

2. Net worth is the value of your assets minus your liabilities. For purposes of this application, assets include stocks, bonds, mutual funds, other securities, bank accounts, and other personal property. Do not include your primary residence among your assets. For liabilities, include any outstanding loans, credit card balances, taxes, etc. Do not include your mortgage.

ACCOUNT CO-OWNER INFORMATION

CO-APPLICANT *(If applicable)*

First Name	Middle Name	Last Name

TITLE *(Optional)*

☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

SUFFIX *(Optional)*

☐ Sr. ☐ Jr.

HOME ADDRESS

Apt/Suite No.	Street	
City	State	Country
Zip Code	Primary Phone No.	Secondary Phone No. *(Optional)*

MARITIAL STATUS

☐ Single ☐ Divorced
☐ Married ☐ Widowed
☐ Domestic Partner

NUMBER OF DEPENDENTS

☐ Check this box if you have been at your current home for less than one year.

Email Address

USA PATRIOT ACT INFORMATION *(Required by Federal Law)*

Date of Birth *(mm/dd/yyyy)*	Social Security/Taxpayer ID No.	Country of Citizenship ☐ United States ☐ Other Country: ______________

☐ Driver's License ☐ Passport ☐ State ID ☐ Other Government ID	ID No.	Place/Country of Issuance	Country of Tax Residence *(If different than citizenship)*
	Issue Date *(mm/dd/yyyy)*	Expiration Date *(mm/dd/yyyy)*	Country of Dual/Secondary Citizenship *(If applicable)*

For Non-U.S. citizen: Do you hold a current U.S. immigration visa? ☐ Yes ☐ No

Specify Visa Type	Visa Number	Expiration Date *(mm/dd/yyyy)*

Non-resident aliens must submit a W-8BEN form, a copy of a current passport, and a copy of a bank or brokerage statement. If a U.S. address is listed, then attach a Letter of Explanation for U.S. Mailing Address/Phone Number for Form W-8.

EMPLOYMENT STATUS

☐ Employed ☐ Self-Employed
☐ Retired ☐ Not-Employed
☐ Student ☐ Other: ______________

Job Title	Employer's Name	Years With This Employer

BUSINESS ADDRESS

Apt/Suite No.	Street	City
Zip Code	State	Country

HOUSEHOLD FINANCIAL BACKGROUND *(Please tell us your best estimate as to)*

ANNUAL INCOME *(From all sources)1*

☐ $0-$49,999 ☐ $100,000-$199,999 ☐ $500,000-$999,999 ☐ $2,500,000+
☐ $50,000-$99,999 ☐ $200,000-$499,999 ☐ $1,000,000-$2,499,999

APPROXIMATE NET WORTH *(Not including primary residence)2*

☐ $0-$49,999 ☐ $100,000-$199,999 ☐ $500,000-$999,999 ☐ $2,500,000+
☐ $50,000-$99,999 ☐ $200,000-$499,999 ☐ $1,000,000-$2,499,999

APPROXIMATE LIQUID NET WORTH *(Cash, stocks, etc.)*

☐ $0-$49,999 ☐ $100,000-$199,999 ☐ $500,000-$999,999 ☐ $2,500,000+
☐ $50,000-$99,999 ☐ $200,000-$499,999 ☐ $1,000,000-$2,499,999

TAX BRACKET

☐ 0%-15% ☐ 16%-25% ☐ 26%-30% ☐ 31%-35% ☐ 35%+

WHAT BEST DESCRIBES THE INITIAL SOURCE OF FUNDS FOR THIS ACCOUNT?

☐ Employment/Wages ☐ Unemployment/Disability ☐ Savings ☐ Spousal/Parental Support
☐ Investments ☐ Gifts ☐ Lottery/Gaming ☐ Other: ______________
☐ Retirement Funds ☐ Legal Settlement ☐ Inheritance/Trust

WHAT BEST DESCRIBES THE ONGOING SOURCE OF FUNDS FOR THIS ACCOUNT?

☐ Employment/Wages ☐ Unemployment/Disability ☐ Savings ☐ Spousal/Parental Support
☐ Investments ☐ Gifts ☐ Lottery/Gaming ☐ Other: ______________
☐ Retirement Funds ☐ Legal Settlement ☐ Inheritance/Trust

1. Annual income includes income from sources such as employment, alimony, social security, investment income, etc.

2. Net worth is the value of your assets minus your liabilities. For purposes of this application, assets include stocks, bonds, mutual funds, other securities, bank accounts, and other personal property. Do not include your primary residence among your assets. For liabilities, include any outstanding loans, credit card balances, taxes, etc. Do not include your mortgage.

AFFILIATIONS	Is the account owner's and/or co-owner's immediate families living in the same household (including spouse, parents, in-laws, siblings, and dependents) a member of the board of directors, 10% shareholder, or policy-making officer of a publicly traded company?
	☐ Yes ☐ No / Company Name / Ticker / Company Address / City / State / Country
	Is the account owner's and/or co-owner's immediate families living in the same household (including spouse, parents, in-laws, siblings, and dependents) licensed, employed by or associated with a broker-dealer firm, a financial services regulator, securities exchange, or member of a securities exchange? If yes, then specify entity below.
	☐ Yes ☐ No / Affiliated Person & Entity / If this entity requires its approval for you to open this account, provide a copy of the required authorization letter via email.
	Is the account owner's and/or co-owner's immediate families living in the same household (including spouse, parents, in-laws, siblings, and dependents) a senior military, government or political official in a non-U.S. country? If yes, then specify country below.
	☐ Yes ☐ No / Affiliated Person & Country
INVESTMENT EXPERIENCE	INVESTMENT EXPERIENCE *(Please tell us your experience level in each investment, and specify the number of years of experience you have with it)*
	STOCKS / BONDS ☐ None ☐ Limited ☐ Average ☐ Extensive Number of Years*: ______
	OPTIONS ☐ None ☐ Limited ☐ Average ☐ Extensive Number of Years*: ______
	MUTUAL FUNDS ☐ None ☐ Limited ☐ Average ☐ Extensive Number of Years*: ______
	VARIABLE ANNUITIES ☐ None ☐ Limited ☐ Average ☐ Extensive Number of Years*: ______
	ALTERNATIVE INVESTMENTS ☐ None ☐ Limited ☐ Average ☐ Extensive Number of Years*: ______
INVESTMENT OBJECTIVES	For definitions regarding investment objectives, see last page of the application.
	SELECT THE DEGREE OF RISK YOU ARE WILLING TO TAKE WITH THE ASSETS IN THIS ACCOUNT ☐ Conservative ☐ Moderate ☐ Aggressive ☐ Speculative
	SELECT THE PRIMARY INVESTMENT OBJECTIVE FOR THIS ACCOUNT ☐ Conservation ☐ Moderate ☐ Moderate Growth ☐ Growth ☐ Aggressive Growth
	SELECT THE SECONDARY INVESTMENT OBJECTIVES FOR THIS ACCOUNT *(Check at least one or all that apply)* ☐ Conservation ☐ Moderate ☐ Moderate Growth ☐ Growth ☐ Aggressive Growth ☐ None
	SELECT YOUR LIQUIDITY NEEDS FOR THIS ACCOUNT *(Check at least one that apply)* ☐ 0-3 Months ☐ 4-6 Months ☐ 7-9 Months ☐ 10-12 Months ☐ More Than 1 Year
	SELECT THE INVESTMENT TIME HORIZON FOR THIS ACCOUNT ☐ Less Than 1 Year ☐ 1-3 Years ☐ 4-6 Years ☐ 7-9 Years ☐ 10-12 Years ☐ More Than 12 Years
TRUSTED CONTACT PERSON INFORMATION *(Optional)*	TRUSTED CONTACT PERSON / TITLE / SUFFIX
	First Name / Middle Name / Last Name / ☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr. / ☐ Sr. ☐ Jr.
	CONTACT INFORMATION
	Apt/Suite No. / Street / City / State / Country
	Zip Code / Mobile Phone No. / Home Phone No. / Work Phone No.
	Email Address / Relationship to Primary Applicant/Co-Applicant
	By choosing to provide information about a trusted contact person, you authorize us to contact the trusted contact person listed below and disclose information about your account to that person in the following circumstances: to address possible financial exploitation, to confirm the specifics of your current contact information, health status, or the identity of any legal guardian, executor, trustee or holder of a power of attorney, or as otherwise permitted by FINRA Rule 2165 (Financial Exploitation of Specified Adults).
FUNDING YOUR ACCOUNT	I WILL BE FUNDING WITH
	☐ A Check. We suggest you to notify us before mailing a check. ☐ A wire transfer to be intiated after account opening. Please contact Royal Treasure Securities LLC prior to initiating wire transfer. ☐ A transfer of assets from an existing account. Please complete and include an Account Transfer Form and a copy of your most recent account statement.
COMMUNICATION OPTIONS	I UNDERSTAND AND AGREE THAT:
	Neither We or Velox will provide you with paper statements, notices or other disclosures regarding your account. Your consent that electronic delivery will apply to all records and documents related to your account. It is your responsibility to provide and maintain a current, valid email address. In the event, you change your email address, you must immediately notify us.

W-9 CERTIFICATION	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.QQ01-Q). If I have been notified by the IRS that I am subject to backup withholding because I have failed to report all interest and dividends on my tax return, I must cross out (2) in this certification.		
	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.		
REVIEW & SIGNATURES	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 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.		
	SIGNATURES		
	Primary Applicant Name *(Please print)*	Primary Applicant Signature	Date
	Co-Applicant Name *(Please print)*	Co-Applicant Signature	Date

Investment Objectives Definitions

Conservation: Reflects your desire to seek very low risk and minimize potential loss of principal. You may seek income from your investments while understanding that returns may not keep pace with inflation. You may also intend to invest over a short period of time.

Moderate: Reflects your desire to seek lower risk and fluctuation in your portfolio, while striving to achieve more stable returns on your investments. It may also mean that you plan to invest over a short period of time.

Moderate growth: Reflects your desire to seek growth in your portfolio by typically using a balance of growth and conservative investment types. It may also mean that you are moderately tolerant of risk and plan to invest for a medium to long period of time.

Growth: Reflects your desire to seek the potential for investment growth, as well as your tolerance for more significant market fluctuations and risk of loss. It may also mean that you plan to invest over a long period of time.

Aggressive Growth: Reflects your desire for potentially substantial investment growth, as well as your tolerance for large market fluctuations and increased risk of loss. It may also mean that you plan to invest over a long period of time.

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		