

Investor Tax Operations Services

Invest in sustainable information reporting and withholding services to reduce cost and risk.

EY Investor Tax Operations services, underpinned by the **Tax Operations Command Center (TOCC)**, provide enhanced control and transparency by unifying investor tax operations and information reporting and withholding (IRW) activities on a single platform.



Services offered*

Delivered by EY industry-leading tax technical and operations professionals, our comprehensive suite of services is designed to support or enhance your tax operations function.



Legal entity classification and registration

- ▶ Assist with obtaining EIN
- ▶ Assist in determine withholding status and FATCA classification
- ▶ FATCA/GIIN registration
- ▶ Create entity tax forms (W-8/W-9/CRS)

Sub-doc review

- ▶ Data capture of investor tax information
- ▶ Parsing of investor documents
- ▶ Submission of tax forms and self-certifications for validation

Investor Tax onboarding support and refresh

- ▶ Presumption for US, FATCA and CRS Reporting
- ▶ Monitoring for material data changes
- ▶ Annual GIIN check
- ▶ Review investment positions/allocations
- ▶ Review income and account balances
- ▶ Form expiration and solicitation support

Form validation

- ▶ Validation of US tax forms (W-8/W-9), CRS self-certifications and withholding statements
- ▶ Calculation of US and foreign withholding rates
- ▶ Investor inquiry support

IMY processing

- ▶ Breakdown of direct investor withholding statement
- ▶ Validation of beneficial owner tax forms
- ▶ Calculation of blended withholding rates

Reporting

- ▶ Year-end tax information reporting, e.g., Form 1042-S
- ▶ FATCA and CRS reporting
- ▶ Partnership reporting data

Challenges

Our services are structured to help clients with the following challenges:

- ▶ Obtaining a workforce with the right skill set to focus on tax operations
- ▶ Staffing constraints due to volume fluctuations, e.g., fund launches, reporting season and annual solicitation
- ▶ Most lack investor TAX demographic platform to manage the investor tax operations
- ▶ IRS scrutiny, audits and oversight are increasing the pressure to get it right
- ▶ Limited systemic withholding calculation, requiring manual rate determination
- ▶ Reporting data aggregation and preparation under extremely tight turnaround timelines

*Some or all of the services mentioned herein may be not be available for audit or independence restricted clients and their affiliates. Please contact your local Ernst & Young professional to confirm availability.

Value and advantages



Cost

Manage day-to-day operating costs associated with data and resource management



Regulatory compliance

Services and technology Underpinned by industry-leading tax technical professionals



Optimization

Comprehensive tax data that facilitates the analysis of events and the aggregation of year-end reporting data



Investor experience

Investor data is supported by up-to-date and comprehensive tax information, along with simplified solicitation processes

Investor Tax Operations Services

A look inside

The Tax Operations Command Center (TOCC) consolidates the services offered related to tax operations processes and connection points onto a single platform, offering increased control and transparency through the highlighted capabilities.

Dashboards and visualizations

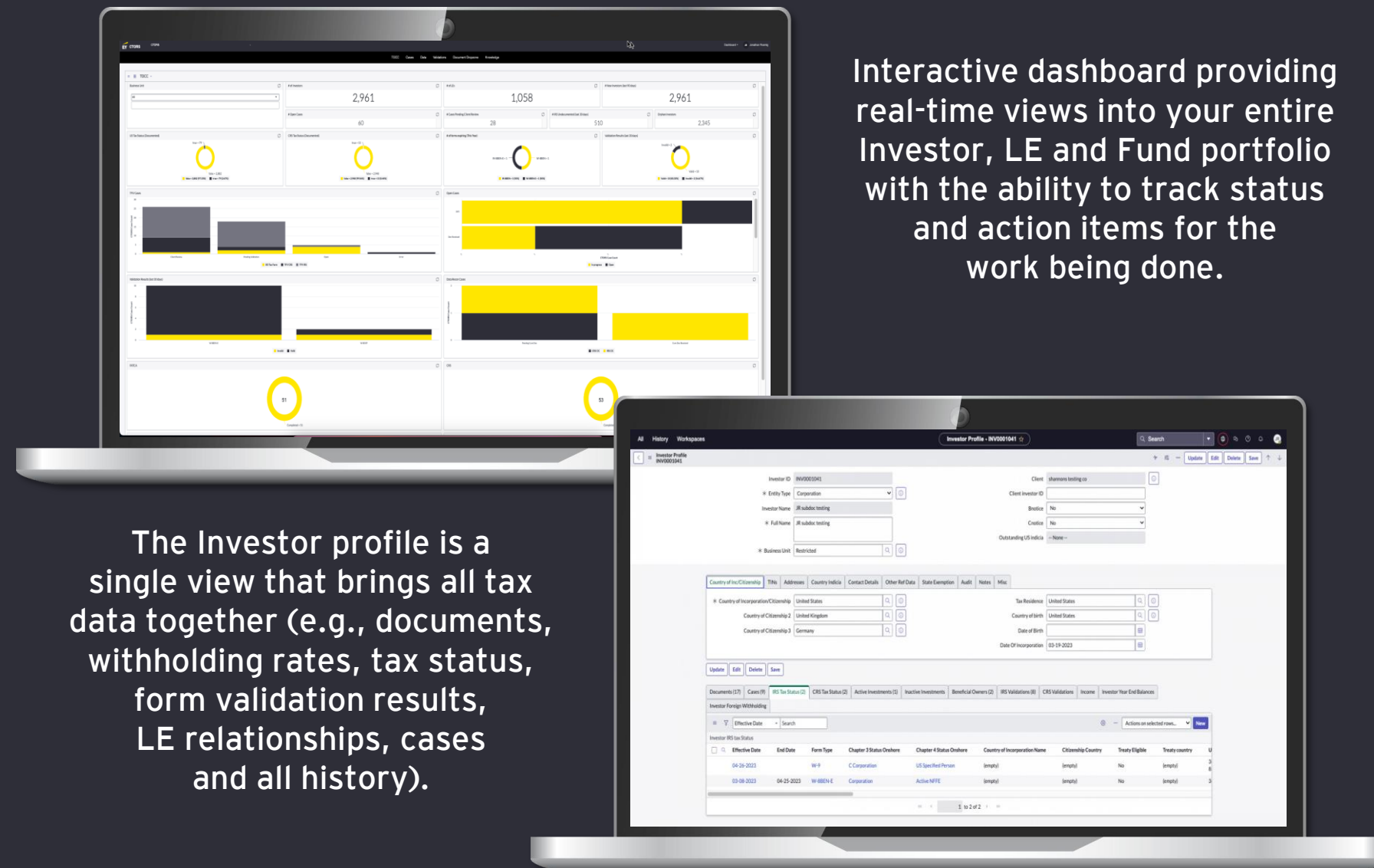
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Workflow/case management

- ▶ Document dropoff
- ▶ Audit history
- ▶ Metrics and workload management
- ▶ Client review queues

Data and document management

- ▶ Direct UI Investor and LE editability
- ▶ Data export
- ▶ Document collaboration and viewing
- ▶ Data segmentation and access restriction by user



Interactive dashboard providing real-time views into your entire Investor, LE and Fund portfolio with the ability to track status and action items for the work being done.

Contact us



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