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.

Building a better working world

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

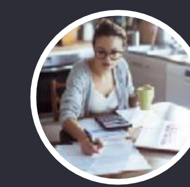
Challenges

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

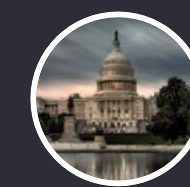
- Obtaining a workforce with the right skill set to focus on tax operations
- Staffing constraints due to volume fluctuations, e.g., fund launches, reporting season and annual solicitation
- Most lack investor TAX demographic platform to manage the investor tax operations
- IRS scrutiny, audits and oversight 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

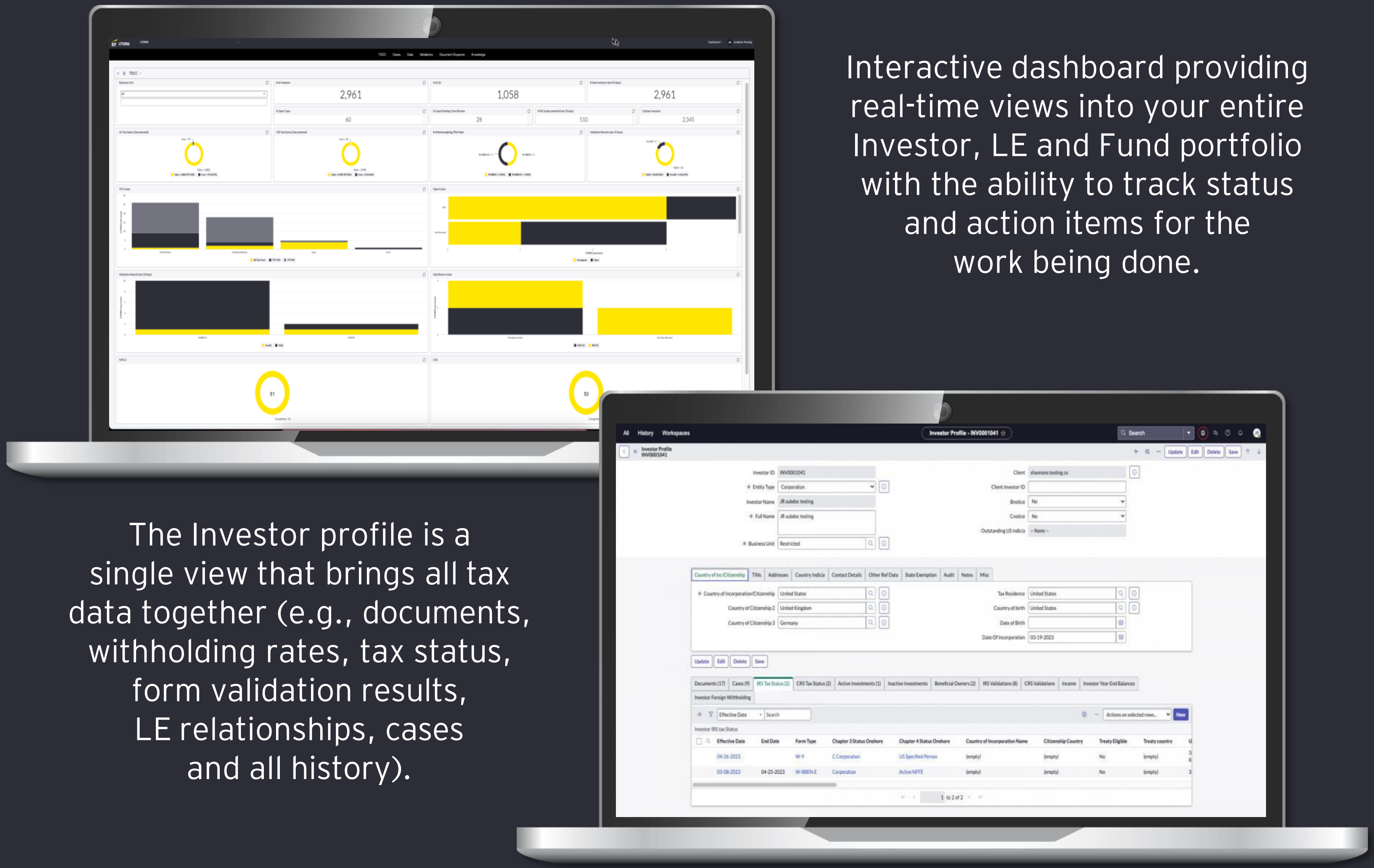
- Obtain EIN
- Determine withholding status and FATCA classification
- FATCA/GIIN registration
- Create entity tax forms
- (W-8/W-9/CRS)

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.

The Investor profile is a single view that brings all tax data together (e.g., documents, withholding rates, tax status, form validation results, LE relationships, cases and all history).

Contact us

Tara Ferris
Partner
Ernst & Young LLP
tara.ferris@ey.com

Uri Benjamin
Partner
Ernst & Young LLP
uri.benjamin@ey.com

Andrea Garcia Castelao
Partner
Ernst & Young LLP
andrea.garcia.castelao@ey.com