

# 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

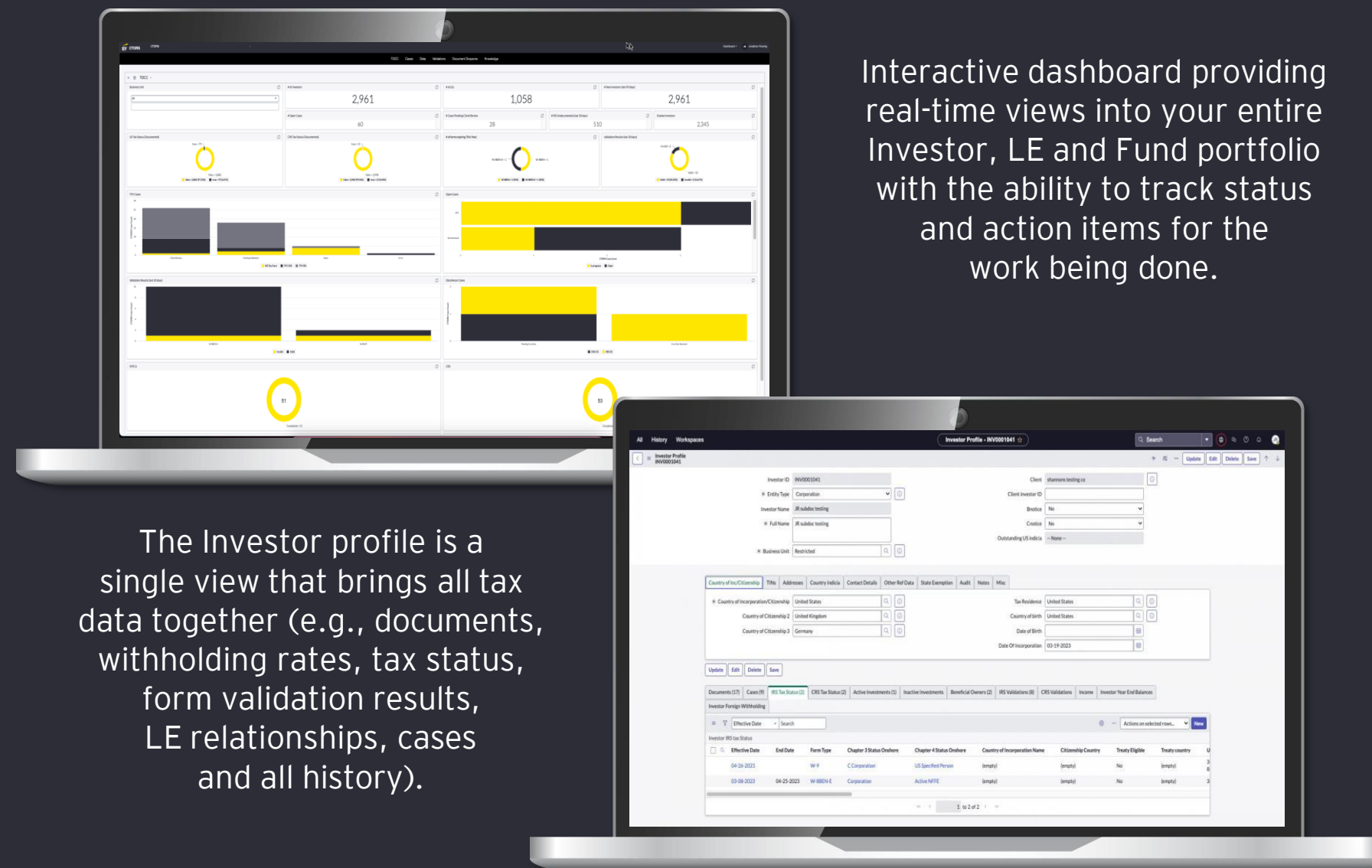
- ▶ Obtain EIN
- ▶ Determine withholding status and FATCA classification
- ▶ FATCA/GIIN registration
- ▶ Create entity tax forms (W-8/W-9/CRS)

## 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.

## Contact us



**Tara Ferris**  
Partner  
Ernst & Young LLP  
[tara.ferris@ey.com](mailto:tara.ferris@ey.com)



**Uri Benjamin**  
Partner  
Ernst & Young LLP  
[uri.benjamin@ey.com](mailto:uri.benjamin@ey.com)



**Andrea Garcia Castela**  
Partner  
Ernst & Young LLP  
[andrea.garcia.castelao@ey.com](mailto:andrea.garcia.castelao@ey.com)

EY | Building a better working world

EY exists to build a better working world, helping create long-term value for clients, people and society and build trust in the capital markets. Enabled by data and technology, diverse EY teams in over 150 countries provide trust through assurance and help clients grow, transform and operate. Working across assurance, consulting, law, strategy, tax and transactions, EY teams ask better questions to find new answers for the complex issues facing our world today. EY refers to the global organization, and may refer to one or more, of the member firms of Ernst & Young Global Limited, each of which is a separate legal entity. Ernst & Young Global Limited, a UK company limited by guarantee, does not provide services to clients. Information about how EY collects and uses personal data and a description of the rights individuals have under data protection legislation are available via [ey.com/privacy](http://ey.com/privacy). EY member firms do not practice law where prohibited by local laws. For more information about our organization, please visit [ey.com](http://ey.com). Ernst & Young LLP is a client-serving member firm of Ernst & Young Global Limited operating in the US. © 2025 Ernst & Young LLP. All Rights Reserved. 2501-11455-CS. | ED None. This material has been prepared for general informational purposes only and is not intended to be relied upon as accounting, tax, legal or other professional advice. Please refer to your advisors for specific advice. [ey.com](http://ey.com)