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

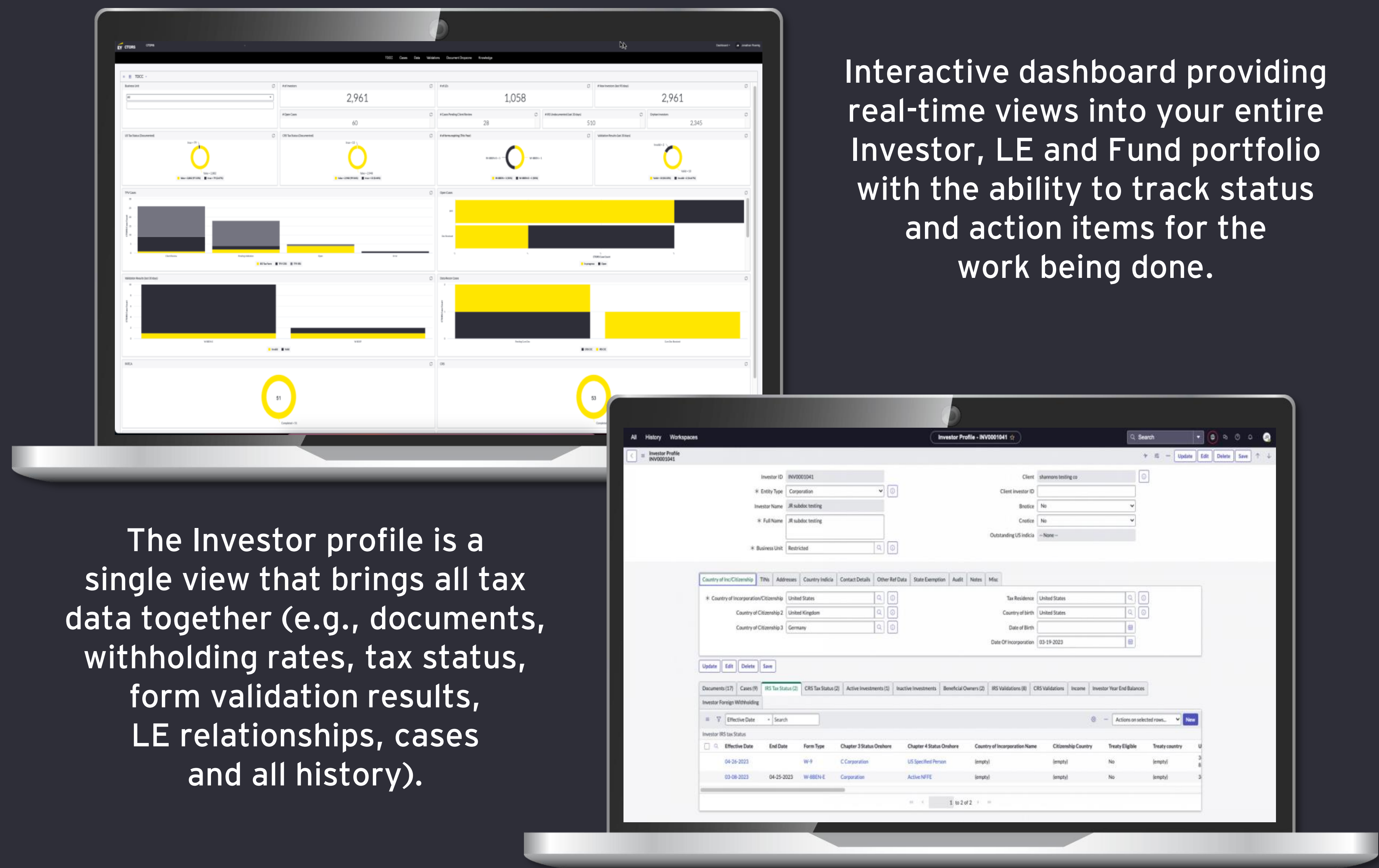
- Obtain EIN
- Determine withholding status and FATCA classification
- FATCA/GIIN registration
- Create entity tax forms (W-8/W-9/CRS)

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

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