

Investor Onboarding

Automating the collection of subscription, KYC, tax documents, and more digitally for onboarding efficiency, real-time compliance checks, and enhanced investor experience.

Managing investor onboarding, due diligence, and ongoing compliance monitoring is critically sensitive and administratively overwhelming. The increasing regulatory burden across many jurisdictions and local regulators has also affected the investor's experience, with a real impact on client-facing relationships.

Our Investor Onboarding solution enables managers and administrators to securely manage the onboarding process, electronically obtain subscription materials, collect and validate tax documentation, and incorporate investor KYC data. The onboarding documentation collected via Investor Onboarding may be custom configured on a legal entity-by-legal entity basis based on the fund requirements and investor profile.

It provides a better client onboarding experience and reduces the possibility of data discrepancies that trigger due diligence concerns and duplicate documentation requests. Our platform streamlines the investor experience with a white-labeled user interface and allows them easy access to their data across investments. Built-in tailored logic ensures investors only provide information relevant to their investor type (individual, entity, trust, etc) and their residences.



Increase Efficiency

Remove the need for email back and forth with a single digital onboarding experience for investors to subscribe into funds with ease and timely.



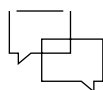
Manage Information

Manage investor documentation and data on a central platform. Product may be integrated via API with CRM for downstream management and regulatory reporting.



Address Compliance Obligations

Collect, validate, and review data for U.S. Tax, OECD CRS, KYC, and local jurisdictional requirements via custom workflows.



Enhance Onboarding Experience

Configurable, white-labeled user interface for Investor Portal allows investor to complete all documentation digitally and view their subscription status.



Reduce Costs

Significantly reduce costs associated with onboarding investors and compliance monitoring.



Streamline Documentation

Reduce the need to collect and store paper/PDF and duplicate documentation. Platform stores data in PDF and meta-data format.

The platform integrates with our Tax Solutions E-W8™ application by providing data for collection, digital signature, and validation of U.S. Forms W-8/9 and AEOL self-certification forms for tax residence. KYC documentation collected via Investor Onboarding can also be validated and monitored by S&P Global's KYC Managed Services team.

For investors:

Create a single user account to manage multiple investment opportunities in one central platform.

The platform enables you to:

- Provide static data via an online interview.
- Sign subscription documents electronically.
- Upload supporting documentation real-time in any file format.
- Permission third-party to complete, review or edit, and upload required information.
- Reuse information and documentation from previously completed subscriptions for new investment opportunities.
- View status of completed subscription in approval workflow process.
- Integration with DocuSign allows for easy digital signature and completion.

For managers and administrators:

Manage your documentation and due diligence obligations for investor onboarding and ongoing compliance for AML/KYC, U.S. tax, OECD obligations and local regulatory obligations.

The platform enables you to:

- Digitize subscription documents into an investor questionnaire for completion, signature, and submission.
- Provide fund, legal, and compliance staff with access to investor subscription documents for review and sign-off.
- Set linear custom workflow for review and approval of subscription documentation (KYC review, legal review, etc.).
- Manage investor profiles and fund legal entities.
- Permission investors to subscribe into fund legal entities with customized onboarding experience.
- Run investor status and administrative reports.