



Shape the future
with confidence

EY Comply for Financial Insights

Regulatory Reporting
Managed Services

The better the question. The better the answer. The better the world works.

Together we unlock the power of **financial data** to **drive** your business forward.

EY Comply for Financial Insights (EY Comply) offers an end-to-end regulatory reporting solution to help support, scale and streamline your operations, from data ingestion through final submission.

Today's financial services sector faces significant complexity. Navigating a labyrinth of regulatory pressures remains a key challenge that continues to evolve. Regulators worldwide are expanding compliance requirements and increasing oversight over the financial industry. Asset managers, banks and insurers must adapt swiftly to remain compliant. Submitting inaccurate or untimely reports carries reputational, regulatory and monetary risk. Building and maintaining an in-house regulatory reporting function to address those risks is an inefficient deployment of human and strategic capital.

Key value drivers:

- **Data centric:** streamlined data curation for reuse across services, minimizing redundancy and increasing consistency
- **Automated:** streamlined ingestion, validations and report production, allowing your professionals to focus on reviews
- **Robust controls:** proven set of controls covering raw data validations, cross-data checks, business reviews and regulator-mandated edit checks to support accuracy and compliance
- **High competency review:** a deeply skilled, dedicated and global team of regulatory professionals who help manage and support the filing cycle
- **Scalability:** predictable cost structure regardless of business growth or external conditions
- **Industry knowledge:** access to EY global industry professionals who operate on the frontlines of regulatory change

EY Comply transforms your operating model with unprecedented speed and scalability by combining the knowledge and experience of EY global finance professionals with advanced technologies, a trusted data foundation and standardized reporting workflows.

10+

Fund
administrators
supported

20+

Worldwide
regulatory agencies
supported

30+

Unique global
regulatory reports
produced

100k+

Data and report
validations performed
annually

15k+

Reports produced
annually

\$6t+

Assets under
management
supported

The four regulatory reporting pillars

Data collection and curation	Report generation	Business review and sign-off	Submission
Normalizing and validating data received, providing more confidence in data completeness, accuracy and availability for operational use	Creating and validating reports, including report-level details and comprehensive oversight of exception reporting with the support of machine learning and artificial intelligence	Tracking completion status and documenting final approval of all in-scope entities prior to the submission process	Delivering output files and completing the filing process, facilitating uninterrupted and timely submissions during the final stages of reporting

Transparent and accessible workflow: real-time access to raw data, filing information and control results, with web-based visibility into cycle status and issue resolution fostering confidence and accountability. You will always know exactly where a filing status stands as deadlines approach.

Market segments supported:

Asset managers:

- Mutual funds
- ETFs
- Fund of funds
- Hedge funds
- Private equity funds
- Liquidity funds
- Institutional separate accounts

Banks

Insurance companies

New capabilities are added in line with regulatory updates.

Sample of supported global regulatory agencies:

- SEC
- FED
- U.S. Department of the Treasury
- U.S. Dept. of Commerce
- CFTC
- NFA
- ESMA
- CSSF
- UK FCA
- CBI
- OSC
- CIMA
- Others in the US, Canada, EMEA and APAC

EY Comply Regulatory Reporting Managed Services is offered under EY Comply for Financial Insights, bringing you the people, technology and experience to drive process efficiencies and achieve value in regulatory reporting, fund administration, fund oversight, tax compliance and more.

To learn more:



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EY | Building a better working world

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EY teams work across a full spectrum of services in assurance, consulting, tax, strategy and transactions. Fueled by sector insights, a globally connected, multidisciplinary network and diverse ecosystem partners, EY teams can provide services in more than 150 countries and territories.

All in to shape the future with confidence.

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