



Investment Compliance

GainsKeeper[®] Brokerage

Proven Tax Solutions
You Can Trust

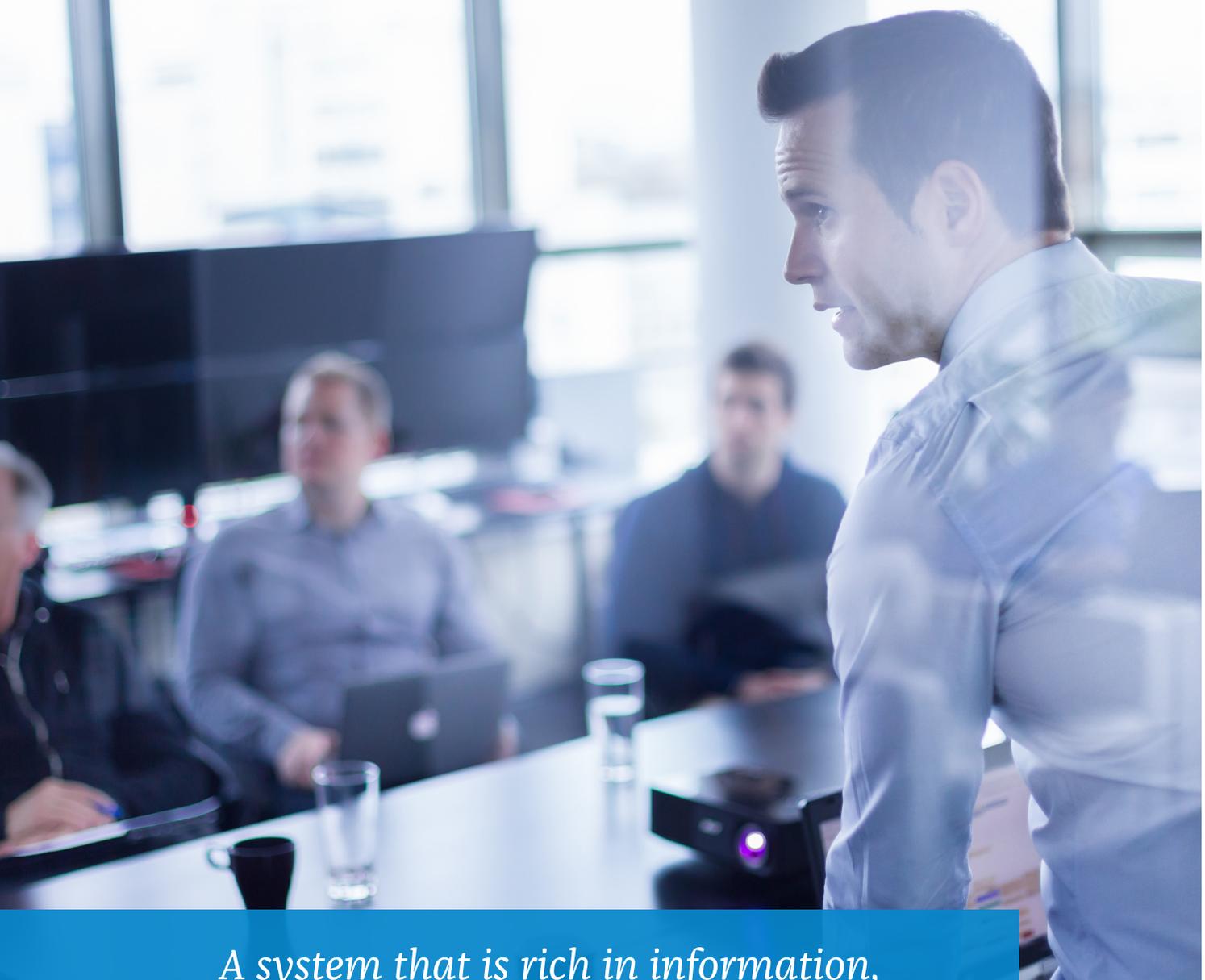
In the highly competitive and increasingly regulated financial services environment, the only constant is change, and there is no margin for tax reporting errors. Firms need a partner they can trust to help them meet both their regulatory and customer-driven requirements, while also providing them the flexible tools they need to constantly stay ahead of the curve.

Since its launch in 2000, GainsKeeper has become established as a best-of-breed automated tax processing solution that calculates, tracks and reports cost basis, reflecting corporate actions, wash sales and debt adjustments. It processes more than 40 million accounts by leveraging a sophisticated tax lot accounting engine, and its highly flexible interface integrates seamlessly with a multitude of downstream systems. GainsKeeper can be tailored to fit your particular environment and is available as an enterprise system that supports numerous divisions of a large organization, or as a stand-alone solution with only the functionality you need.

GainsKeeper's unparalleled versatility is a large part of Wolters Kluwer's suite of tax products built for brokers, fund investors, and active traders. Let GainsKeeper and its dedicated tax professionals ensure that you are always up-to-speed with the help of a sophisticated, tax-accurate industry solution.

The main features of GainsKeeper include:

- GainsKeeper is currently deployed in production at many top tier brokerages and is used to meet their annual cost basis law reporting requirements
- GainsKeeper automated tax processing and reporting functionality currently calculates and supports some of the largest firms and volumes in the financial services industry
- GainsKeeper offers multiple integration solutions—Batch, Real-time or Custom



*A system that is rich in information,
detail, and accuracy*

GainsKeeper is the market leader in automated cost basis accounting solutions. Our solution was developed and enhanced through years of research and testing in production environments. GainsKeeper's market position is the result of our:

- Industry leading cost basis reporting functionality
- Deep tax and regulatory expertise with forward-thinking product development
- Unique system design and architecture that rapidly calculates tax lots adjusted to reflect wash sales, corporate actions and debt adjustments for millions of accounts using real time processing
- Smooth integration with upstream vendor-provided and in-house book accounting systems and downstream tax reporting and other systems
- Multi-Currency FX capabilities
- Single integrated solution addressing the 1099-B, 1099-INT, and 1099-OID calculations that require consistent and aligned data.

GainsKeeper® Solves Your Cost Basis Reporting Challenges



Provides all functionality brokers need for the Cost Basis Law including

- Wash Sales
- Corporate Actions
- Debt Calculations including Complex Debt
- Transfers
- Cost basis data for 1099-B, 1099-OID and 1099-INT



Automates processing tasks to minimize need for manual involvement

- Wash sales, corporate actions and debt adjustments are automatically processed without manual involvement
- Backdated transaction corrections and updates are automatically reprocessed without any manual intervention



Includes integrated tax-focused security master and corporate action data

- A dedicated team maintains tax-centric databases, including many difficult-to-find tax attributes required for accurate regulatory calculations



Designed for System Integration

- Automated integration with upstream and downstream systems including automated reconciliation functionality to verify data is aligned with source systems



Scales to accommodate growth up to the largest volumes in the industry

- Currently supports retail/wealth customers with more than 10 million accounts and institutional customers with accounts containing more than 20 million transactions
- Completes daily processing within a client-defined service level agreement (SLA) processing timeframe that is maintained as data volumes grow over time



Updates cost basis to reflect year-end income reclassifications

- Year-end reclassification of distributions as return of capital (ROC) results in automatic update of all cost basis calculations back to the actual date of distribution

About Wolters Kluwer Governance, Risk & Compliance

Governance, Risk & Compliance (GRC) is a division of Wolters Kluwer, which provides legal and banking professionals with solutions to ensure compliance with ever-changing regulatory and legal obligations, manage risk, increase efficiency, and produce better business outcomes. GRC offers a portfolio of technology-enabled expert services and solutions focused on legal entity compliance, legal operations management, banking product compliance, and banking regulatory compliance.

Wolters Kluwer (AEX: WKL) is a global leader in information services and solutions for professionals in the health, tax and accounting, risk and compliance, finance and legal sectors. Wolters Kluwer reported 2019 annual revenues of €4.6 billion. The company, headquartered in Alphen aan den Rijn, the Netherlands, serves customers in over 180 countries, maintains operations in over 40 countries and employs 19,000 people worldwide.

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For more information about our solutions and organization, visit **WoltersKluwer.com**, or for our financial services solutions, visit **WoltersKluwerFS.com**.

GainsKeeper Solution Primer