

SMSF ANNUAL REPORTING CHECKLIST

| SECTION | REQUIREMENTS | Y / N | NOTES |
|--|--|-------|--|
| Establishment documents | <ul style="list-style-type: none"> Extract of Trust Deed (cover, schedule showing parties and execution page) Membership Applications Consents to Act as Trustee Investment Strategy ATO new trustees declaration (if appointed post 1/7/07) | | Only required in first year that you become a client and only if the Fund existed in a prior year. |
| Previous year financial statements | <ul style="list-style-type: none"> Most recent financial statements Member Statements (post 1/7/07 must show Tax Free/Taxable amounts) Income Tax Return Detailed schedule of Fund assets to evidence date acquired and cost base Signed Audit Report | | Only required in first year that you become a client and only if the Fund existed in a prior year. |
| Summary Records | If prepared, a copy of your summary of current year transactions within the Fund. | | |
| Bank | <p>Bank Statements –photocopies are acceptable, for every month from 1st July to 30 June (please check months below to double check).</p> <p>July, Aug, Sep, Oct, Nov, Dec Jan, Feb, March, April, May, June.</p> <p>NB. All transactions must have supporting documentation. (eg. provide dividend statements when dividends are deposited, and invoices when expenses are paid).</p> | | Please insert a brief description next to each deposit and withdrawal. |
| Investments in Listed Securities (e.g shares listed on the ASX) | <p>Copies of purchase and/ or sale documents and any available Portfolio Holding/Valuation reports as at 30 June.</p> <p>If “unusual” transactions (e.g. company takeover, bonus issues, mergers and demergers) please provide all documentation in your possession.</p> <p>Optional – copies of all issuer sponsored holding statements and CHESS statements.</p> | | |

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| <p>Collectables</p> <p>eg. artwork, wine antiques, etc</p> | <p>Details of any purchase and / or sales during the period, and copies of all documentation.</p> <p>Most recent valuation.</p> <p>Insurance details (to assist us in confirming the existence and valuation of these Collectables).</p> <p>Location of the collectables, where are they held?</p> <p>Copy of other information and correspondence (if available) e.g. Support for any income received or for expenses incurred in relation to the collectables.</p> | | |
| <p>Members</p> | <p>Summarise the Contribution amounts received by the fund and dates received.</p> <p>Details of who the contributions relate to and if possible a summary of contributions for each member.</p> <p>Details of who paid the contribution i.e. member or employer. If known, whether the contribution is deductible.</p> <p>Details and documentation supporting contributions via off-market transfers if applicable.</p> <p>Details and documentation for any Rollovers into the fund.</p> <p>Details of member insurance if applicable, evidencing policy owner, life insured, amount insured and premium paid.</p> <p>Details of any drawings, whether taken as a Pension or Lump Sum, separated between each member.</p> | | <p>For example:</p> <p>Member 1</p> <p>27/7/xx \$900 employer</p> <p>28/6/xx \$1000 personal</p> <p>18/4/xx \$5000 lump sum</p> <p>Member 2</p> <p>27/7/xx \$900 employer</p> <p>29/6/xx \$1500 personal</p> <p>14/5/xx \$40000 Rollover IN</p> |

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| <p>Property Investments (including property owned by any unlisted Unit trust that you are trustee for)</p> | <p>Details of acquisition and / or disposal settlement statements (if acquired or sold during the period).</p> <p>Copy of lease / rental agreements to support rental income streams.</p> <p>Copy of agent annual rental summary statements, if applicable.</p> <p>Details of any improvements, fixtures and fittings, plant and equipment purchased and/or sold during the period.</p> <p>Most recent independent valuation. This may be in the form of a Council Rates notice, or agent's curb-side valuation, or provide your own Trustee's Valuation.</p> <p>Insurance details.</p> <p>Copies of any invoices for payments made, whether paid from the Fund or paid personally or paid by an employer.</p> | | |
| <p>Investments in Unit Trusts that <u>you are trustee for</u></p> | <p>Copies of year-end financial statements and income tax return for the Unit Trust.</p> <p>Copies of unit certificates for any units issued during the period.</p> | | |
| <p>Shares in <u>unlisted companies</u></p> | <p>Copy of financial information at 30 June 200x to support valuation of investments.</p> <p>Copy of share script for new acquisitions during the period.</p> <p>Share registry details in order to confirm existence of investment at 30 June 200x.</p> <p>Copy of correspondence received in relation to the investment during period.</p> | | |

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| Dividends received | Copies of dividend slips – including dividends that are in a dividend reinvestment scheme and no cash is received through the bank account. | | |
| Interest received | Fixed Interest certificates and year end interest statements if available. | | |
| Managed Funds / Unit trust distributions e.g. Colonial First State, MLC. | Annual tax statements for trust distributions and any annual summary/transaction reports (e.g. showing acquisitions and disposals, and evidencing value of investment at year-end). | | |
| Expenses | Details of any expenses for the year to be either noted on the bank statements or listed on a separate sheet. Provide invoices/receipts to support any fund expenses (essentially to prove that they are not personal expenses). | | |

Other information / Issues for our attention:

Information you would like to know about your fund or Superannuation in general:

Office Use Only: Date Received _____ / _____ / _____

