



You're prepared because
we're prepared

SUPERANNUATION DOCUMENTATION CHECKLIST

It is a legal requirement that all relevant information listed below is kept and maintained by trustees of superannuation funds and provided for audit purposes. Not maintaining complete records can result in significant penalties.

Please take the time to complete this checklist as it is a very important part of the accounting process. It helps you:

- Identify and provide the information we need to prepare your financial statements
- Minimise the queries from us during the preparation of your financial statements
- Ensure we can complete your financial statements within a timely manner

BANK STATEMENTS

- a. Bank statements – All statements for the year 1 July 2018 to 30 June 2019 for each bank account (Please provide .xls or .csv file formats, or hard copies)
- b. Cheque and deposit summary or similar listing confirming all unidentifiable transactions and confirmation of key transactions, such as contributions (particularly personal) and pension withdrawals
- c. Term deposits – All statements for term deposits opened, closed and renewed during the year

LISTED INVESTMENTS

- a. Share trades – Contract notes or summary of share trades (i.e. broker transaction reports) for the year 1 July 2018 to 30 June 2019 (Please provide .xls or .csv file formats, or hard copies)
- b. Corporate actions – Documentation regarding mergers, takeovers, buybacks, bonus issues, rights issues etc.
- c. Portfolio summary – Broker report or similar listing share holdings at 30 June 2019
- d. HIN or SRN details for holdings (as per dividend advices or holding statements, particularly if they have changed during the year)

MANAGED FUNDS OR UNLISTED INVESTMENTS

- a. Annual tax report showing the tax components of distributions received for the year
- b. Holding statements – Units held and valuation at 30 June 2019
- c. Unit transactions summary – Details of any managed fund units purchased or disposed during the year

RENTAL PROPERTY

- a. Annual rental income summary if using a real estate agent; if no annual summary is provided, then monthly statements need to be provided
- b. Expense invoices – e.g. rates (council and water); body corporate fees; repairs and maintenance; insurance
- c. Market valuation of property – Every fund should have a new valuation every year
- d. Market rental income appraisal if the property is rented to a related party and has not been obtained in the past three years
- e. Rental or tenancy agreements if not rented through an agent and for all related party tenants

MEMBER PAYMENTS

- a. Contributions – Please provide details in the space below where these are not shown on other records you have provided
- b. Roll-over/roll-in or ETP – Please provide details of any money received from another super fund, including the rollover form issued by the transferring fund
- c. Confirmation of contributions if the employer is an external party (i.e. final payslip for year) and/or PAYG summary disclosing reportable contributions
- d. Copies of release authorities in relation to any additional tax payments made during the year (i.e. division 293 tax) not already provided to our office

EXPENSES

- a. Life insurance – Copies of policies and premium notices
- b. Financial planning invoices – Management fee invoices if using a financial planner
- c. Other expenses – Please provide invoices for any other expenses
- d. Confirmation of any expenses not paid by the fund directly (i.e. paid personally)

OTHER

- a. Other – Any other information relevant to transactions in the fund for the year 1 July 2018 to 30 June 2019
- b. Copy of your investment strategy if updated within the last year
- c. Consider any information we have had to request from you in prior years
- d. Details of any adviser from whom we may obtain information directly. Please contact your adviser and authorise them to release information to us.