

SMSF CHECKLIST FINANCIAL YEAR – 1 JULY 2022 TO 30 JUNE 2023

NAME: _____

PREFERRED PHONE: _____

CLIENT EMAIL: _____

CHANGES TO DETAILS (IF ANY): _____

GENERAL INFORMATION	Provided (Y or N/A)	Further Details / Your Comments
To complete your accounts, we will require a copy of all documentation related to the Super Fund during the 2023 financial year. The list below contains examples of documentation your fund may have, although not all items will be relevant for your fund.		
Have your contact details changed this year – ie address or email If so, please provide		
DURING THE YEAR DID ANY OF THE FOLLOWING APPLY		
Are you 59 or over and permanently retired?		
Are you 60 or over and retired from one or more employment arrangements?		
COVID-19		
Did you withdraw any funds under the Covid-19 Early Access scheme? If so, did you re-deposit the amount during the 2023 financial year?		<i>If so, please provide authority from the ATO to confirm the withdrawal</i>
BANK STATEMENTS		
Bank Statements for the period 1 July 2022 to 30 June 2023 for all accounts held in the super fund name, for example: <ul style="list-style-type: none"> Cash Management Accounts Saving accounts Term Deposits, including advices for all deposits matured during the year 		<ul style="list-style-type: none"> Please request replacement statements if any are missing for the period. Please ensure that every transaction on the bank statement has a document to support the transaction if applicable or otherwise provide description of what the transaction is for

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CHARTERED ACCOUNTANTS™
AUSTRALIA • NEW ZEALAND

DOES THE FUND HOLD ANY LISTED SHARES? IF SO, PLEASE PROVIDE:		
Provide copies of all following for the period: <ul style="list-style-type: none"> • Buy contracts • Sell contracts • Dividend Statements • Correspondence advising of any corporate actions like buy backs, takeovers, bonus shares, mergers etc. • Portfolio valuation as at 30 June 2023 		If no portfolio valuation is available then please provide <ul style="list-style-type: none"> • HINs or SRNs and postcodes for all shares
Provide the following Broker reports: <ul style="list-style-type: none"> • Detailed transaction summary/history • Portfolio valuation at 30 June 2023 		<i>The auditor will want to sight these to confirm shareholdings as at 30 June 2023</i>
DOES THE FUND HOLD ANY UNLISTED SHARES? IF SO, PLEASE PROVIDE:		
Provide copies of all following for the period: <ul style="list-style-type: none"> • Buy contracts • Sell contracts • Dividend Statements • Financial Statements for the year ended 30 June 2023 		
DOES THE FUND HOLD ANY MANAGED FUNDS? IF SO, PLEASE PROVIDE:		
Provide any acquisition and withdrawal confirmation notices		
Provide all Annual Tax Statements		
Provide all Quarterly or Bi-annual statements		<i>Showing number of units held and their value as at 30 June 2023</i>
DOES THE FUND HOLD ANY PRIVATE UNIT TRUST? IF SO, PLEASE PROVIDE:		
<ul style="list-style-type: none"> • Copy of Unit trust financial statements and tax return for the financial year • If the Unit trust held property as an investment please provide copy of written lease agreement and valuation at 30 June 2023 for the property 		
DOES THE FUND HOLD ANY PROPERTY? IF SO, PLEASE PROVIDE:		
If property was bought during the year, please provide copies of: <ul style="list-style-type: none"> • Purchase contract • Settlement statement • Legal fees • Stamp duty • Certificate of Title 		<i>Market Valuations are necessary to ensure the assets in your fund are not over or understated.</i>

<p>If property was sold during the year provide copies of:</p> <ul style="list-style-type: none"> • Sale contract • Settlement statement • Legal fees • Sales commission and marketing costs 		
<p>If property has been held from previous years please provide,</p> <ul style="list-style-type: none"> • Market Valuation at 30 June 2023 		<p><i>Holmans can provide a valuation for residential property via our software provider for a fee of \$50 + GST. If you prefer to obtain your own valuation or own commercial property, please contact your real estate agent or qualified valuer.</i></p>
<p>Please provide details of Rental income</p> <ul style="list-style-type: none"> • If the property is rented through a Real Estate Agent provide Rental Statements from 1 July 2022 to 30 June 2023 • If a Real Estate Agent is not used provide of copies of invoices issued to the tenant • Copy of Current Lease Agreement 		<p><i>If rented to a related party, provide evidence to support rent is at market value. For example a letter from a Real Estate Agent or rental appraisal from a real estate agent</i></p>
<p>Provide copies of the following invoices:</p> <ul style="list-style-type: none"> • Council Rate Notices • Land Tax • Building Insurance Policy • Body Corporate Notices • Repairs and Maintenance • Furniture and Fittings • Any other rental expenses 		
<p>DOES YOUR SUPER FUND HAVE A LOAN IN PLACE?</p>		
<p>Provide copies of the loan statements for the period 1 July 2022 to 30 June 2023</p>		
<p>HAS YOUR FUND RECEIVED A ROLLOVER FROM ANOTHER SUPER FUND?</p>		
<p>Rollover Statements for amounts rolled into the SMSF from other Super Funds.</p>		
<p>HAS YOUR FUND RECEIVED CONTRIBUTIONS?</p>		
<p>Has the fund received any of the following:</p> <ul style="list-style-type: none"> • Employer contributions • concessional contributions (Personal deducted) • non-concessional contributions (Personal un-deducted) 		

DO YOU HAVE ANOTHER SUPER FUND?		
<p>If so, did you make any of the following contributions:</p> <ul style="list-style-type: none"> • Employer contributions • Personal contributions (non-concessional contributions) • Salary sacrifice • Spouse contributions 		
If you receive a pension from your other super fund please provide your Transfer Balance Cap		<i>Available from your MyGov account if we do not complete your personal returns</i>
Please provide your Total Super Balance		<i>Available from your MyGov account if we do not complete your personal returns</i>
DO YOU HAVE A LIFE or TPD INSURANCE POLICY IN PLACE?		
<p>Where you have a policy owned by your SMSF, provide copies of statements showing the following:</p> <ul style="list-style-type: none"> • Owner of Policy • Name of Insured Member • Insured amounts • Annual premiums paid • For TPD, whether the policy is "own occupation" or "any occupation" 		
HAVE YOU UPDATED YOUR INVESTMENT STRATEGY THIS YEAR?		
Do you have a current Investment Strategy?		<p><i>Trustees of SMSF's are responsible for ensuring there is a valid Investment Strategy in place.</i></p> <p><i>Investment Strategies must now include consideration of Risk, Return, Diversification, Liquidity and Insurance for members.</i></p> <p><i>Review your investment strategy to ensure it is still current.</i></p>
HAVE YOU MADE CHANGES TO YOUR ESTATE PLANNING?		
Do you have valid Binding or Non-Binding Death Benefit Nominations in place?		<i>If these have been updated, please provide us a copy</i>

Please be aware that the completeness and accuracy of the information you provide to us remains your responsibility. In engaging us to prepare your tax return, you acknowledge that you must provide us with all relevant information and documentation to complete the engagement. Under the Self-Assessment Regime (the laws which govern the completion of income tax returns), the onus is on you to have adequate documentation to support your income and deduction claims. This documentation in most cases must be retained for between 5 and 7 years, although it is 10 years for Self-Managed Superannuation Fund. The ATO and other government bodies have the right to impose penalties if you are unable to substantiate the amounts or if they determine there is missing, false or misleading information in the lodged tax return.