

SMSF Source Document Checklist



Fund Name

Financial Year

Contact Person

Contact Email

FUND TAKEOVER CHECKLIST

Only applicable for takeover funds

Last Lodged Financial Statements. Please ensure it includes the following:

Statement of Financial Position
Operating Statement
Accrued Capital Gains Report
Signed Audit Report

Investment Summary
Annual Tax Return
Member Statements

Establishment Documents

Signed Current Trust Deed

Signed Current Investment Strategy

Pension Documentation (if applicable)

Pension Establishment Documentation
Prior Year Actuarial Certificate (Complying Pension only)

Property Documentation (if applicable)

Purchase Documentation
Current Valuation Document
LRBA Documentation (if applicable)

Certificate of Title
Current Lease Agreement

FUND INFORMATION CHECKLIST
Information checklist for all funds including takeover funds

Signed Copy of Current Investment Strategy

Did any of the following occur during the financial year?

- Change of Trustee
- Change of Members
- New address

Please provide all new details if any of the above occurred or any other information that may be relevant

CASH & TERM DEPOSITS

Bank Statements from 1 July to 30 June for the financial year being completed

Financial Institution of Main Bank Account

If there is more than one bank account then please provide all the relevant bank statements?

- Yes
- No

If any Term Deposits were held during the year please provide the relevant documents listed below

- Initial Purchase or Renewal Notice
- Maturity Notice

LISTED SECURITIES

If listed securities were held between 1 July to 30 June then provide the relevant documents listed below

- Buy Contract Notes
 - Sale Contract Notes
 - Dividend Statements
 - Annual Taxation Statement
 - Share Broker Portfolio Report
 - Share Broker Transaction Report
 - Off Market Transfer forms
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MANAGED FUNDS

If managed funds were held between 1 July to 30 June then provide the relevant documents listed below

Purchase Confirmation
Sale Confirmation
Quarterly Distribution Notices
30 June Valuation Notice
Annual Taxation Statement

WRAP ACCOUNTS

If the fund held a Portfolio Management Service or Wrap Account then provide the relevant documents listed below.

Portfolio Valuation Statement as at 30 June
Annual Taxation Statement
Cash Transaction Statement
Realised CGT Report
Unrealised CGT Report
Audit Certificate

UNLISTED INVESTMENTS

If the fund held an investment in a private trust or unlisted shares then provide the following

Financial Statements & Tax Return
Share/Unit Certificate
Dividend/Distribution Notices
Expense Details

DIRECT PROPERTY

If the fund directly held a residential or commercial property then please provide the relevant documents listed below

If the property was purchased during the year please provide all purchase details, including settlement statements, legal documents, certificate of title.
If the property was sold during the year please provide all sale details, including settlement statements, legal documents.
Monthly and Annual Rental Statements provided by the managing agent.
Council & Water Rates Notices
Insurance Premium Notice
Invoices for all Repairs & Maintenance
Depreciation Schedule provided by Quantity Surveyor
Invoices for any Capital Improvements
Limited Recourse Borrowing Arrangement documents

COLLECTIBLES

If the fund held an investment in a collectible or other similar asset then provide the following

- Invoice to support purchase
- Insurance policy notice
- Document to confirm place of storage
- Current Asset Valuation

MEMBER INFORMATION

Details of all Contributions received by the fund and supporting documents

- Employer Concessional
- Member Non Concessional
- Member Concessional
- Notice of Intent to Claim a Deduction (Section 290 Notice)
- Work Test Minute
- 10% Rule Minute

Details of all Benefits paid by the fund and supporting documents

- Pension Payments
- Lump Sum Payments
- Payment Summary

Details of all Rollovers received by the fund

- Rollover Benefits Statement

FUND EXPENSES

The following is a list of common expenses for a SMSF. If applicable please provide the relevant supporting documents and invoices.

- Accounting, audit and actuarial expenses
- Investment Management Fees
- Insurance Premium Notices
- ASIC Renewal Notice

Once you have completed this checklist then please save it as a PDF file so that you can provide it with your source documents.

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