

## SELF MANAGED SUPERANNUATION FUNDS AUDIT CHECKLIST

**FUND NAME:** ..... **(Please Circle)**

- |  |   |                       |     |
|--|---|-----------------------|-----|
| 1. Copies of the Superannuation Fund Trust Deed and any Amending Deeds             | Y | <b>Prev. Provided</b> |     |
| 2. Copies of Notice to be a Regulated Superannuation Fund                          | Y | <b>Prev. Provided</b> |     |
| 3. Copies of Trustees Consent to Act as Trustees and Membership Application Forms  | Y | <b>Prev. Provided</b> |     |
| 4. Copies of Profit & Loss and Balance Sheet Statements as at 30th June            | Y | N                     | N/A |
| 5. Copies of each Members Statement as at 30th June                                | Y | N                     | N/A |
| 6. Copies of Taxation Return of the Fund as at 30th June                           | Y | N                     | N/A |
| 7. Copies of Minutes in Relation to Investments made during the Year               | Y | N                     | N/A |
| 8. Copies of Minutes in Relation to Benefits Paid During the Year                  | Y | N                     | N/A |
| 9. Copies of the most recent Investment Strategy                                   | Y | N                     | N/A |
| 10. Details of any In House Loans or Related Party Investments                     | Y | N                     | N/A |
| 11. Copies of the Trial Balance and Supporting Workpapers as at 30th June          | Y | N                     | N/A |
| <b>Including:</b>  |   |                       |     |
| ➤ Copies of Dividend Statements for all Shares Held                                | Y | N                     | N/A |
| ➤ Copies of Tax Statements for Investments with Managed Funds                      | Y | N                     | N/A |
| ➤ Copies of 30th June Bank Statement(s)  | Y | N                     | N/A |
| ➤ Copies of ETP's where Benefits are Rolled Into the Fund                          | Y | N                     | N/A |
| ➤ Copies of Group Certificates / ETP's for Benefits Paid by the Fund               | Y | N                     | N/A |
| ➤ Copies of Life Insurance Statements showing Premiums Paid and Death Benefit      | Y | N                     | N/A |
| ➤ Copies of s82AAT Notice where Self Employed Contributions are made               | Y | N                     | N/A |
| ➤ Reconciliation of Accounting Income to Taxable Income                            | Y | N                     | N/A |
| ➤ Copies of Related Party Unit Trust Financial Accounts and Taxation Returns       | Y | N                     | N/A |
| ➤ Confirmation that all assets held by the fund are titled in the name of the fund | Y | N                     | N/A |
| ➤ Copies of Stockbroker Report (if applicable) showing Shares held as at 30th June | Y | N                     | N/A |

**CONTACT NAME:** ..... **PHONE:** .....

**FIRM:** ..... **FAX:** .....

**POSTAL ADDRESS:** ..... **EMAIL ADDRESS:** .....