

SMSF Name:

Year end: 2020

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All of the documentation in this checklist should be provided by the Trustee(s) to Cardell Accountants at the interview (where applicable).

Cash / Transactional Accounts (i.e. not Term Deposits)

Bank Statements for the entire year	Yes	No	N/A
Subsequent Bank Statement(s) 1 July to (at least) 31 July after year end	Yes	No	N/A

Fixed Interest Securities (Including Term Deposits)

All deposit statements for the entire year	Yes	No	N/A
Interest summaries or documentation showing the balance at 30 June	Yes	No	N/A

Shares

All buy/sell statements for the entire year (including off-market transfers)	Yes	No	N/A
All chess statements for the entire year	Yes	No	N/A
Details of any additional share transactions for the year <i>(including mergers, de-mergers, entitlement offers, return of capital etc.)</i>	Yes	No	N/A
If managed through a financial advisor, all portfolio reports for the year	Yes	No	N/A
Dividend statements for all shareholdings for the entire year	Yes	No	N/A

Trusts

Annual statement(s) and Portfolio Reports for the entire year	Yes	No	N/A
Distribution statement(s) for the entire year	Yes	No	N/A

Plant & Equipment

Purchase invoices for any plant & equipment purchased during the year	Yes	No	N/A
Documentation for any plant & equipment sold during the year	Yes	No	N/A

Property

Purchase contract for any property purchased during the year	Yes	No	N/A
Sale contract for any property sold during the year	Yes	No	N/A
Rates Notice for year being audited for each property	Yes	No	N/A
Current insurance policy for each property and associated invoice(s)	Yes	No	N/A
Lease Agreement/s (full copy) if new lease agreement entered into during the year	Yes	No	N/A
If the Lessee is a related party, evidence that rent is at market value for each property	Yes	No	N/A
Rental statements from managing agent for the entire year	Yes	No	N/A
Tax invoices for all expenses incurred during the year	Yes	No	N/A

Expenses

Tax invoices for all other SMSF expenses incurred during the year	Yes	No	N/A
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Limited Recourse Borrowings

Purchase/Sale Contracts if entered into during they year	Yes	No	N/A
Lease Agreement (full copy) if new lease agreement entered into during the year	Yes	No	N/A
If the Lessee is a related party, evidence that rent is at market value	Yes	No	N/A
Loan Documentation if entered into a limited recourse loan during the year	Yes	No	N/A
Trust Deed for bare trust if a new Trust Deed has been established during the year	Yes	No	N/A
Constitution for Trustee Company if a new Constitution has been established	Yes	No	N/A
Agency Agreement for new agreements entered into during the year	Yes	No	N/A

Other Investments (artwork, antiques and other collectibles)

Evidence of purchase/sale of the investment if purchased/sold during the year	Yes	No	N/A
Current valuation, including detail of the method used to value the asset(s)	Yes	No	N/A
Documentation showing where the investment is held	Yes	No	N/A
Current insurance policy for each item	Yes	No	N/A
Lease agreement and details of lessee's relationship (if any) with the SMSF	Yes	No	N/A
If the Lessee is a related party, evidence that rent is at market value	Yes	No	N/A

Debtors

Documentation supporting to whom funds are owing from and amount(s)	Yes	No	N/A
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Creditors

Documentation supporting to whom funds are owing to and amount(s)	Yes	No	N/A
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Contributions / Transfers In

Rollover statement(s) for monies rolled into the SMSF	Yes	No	N/A
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Lump Sum Payments / Transfers Out

Documentation supporting any lump sum withdrawal and/or transfer out of the SMSF	Yes	No	N/A
Death Certificate (upon payment of death benefit)	Yes	No	N/A
Any Binding or Non-Binding Death Benefit Notifications	Yes	No	N/A

Insurance Policies

Current insurance policies for any life/TPD/income protection cover paid by the SMSF	Yes	No	N/A
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SMSF correspondence

Correspondence with the Auditor and/or ATO with regards to non-compliance	Yes	No	N/A
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NOTE: All "No" answers will need to be followed up by the Accountant to obtain all of the required relevant documentation prior to audit commencement.

Checked by (Accountant):

Date:

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