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SUPERANNUATION FUND NAME: _____

FIRM NAME: _____

PREPARED BY: _____

DATE SENT TO AUDIT: _____

| Reference | | YES | NO | N/A |
|-----------|--|-----|----|-----|
| A1 | Statement of Financial Position | | | |
| A2 | Operating Statement | | | |
| A3 | Notes to the Financial Statement | | | |
| C1 | Letter of Engagement | | | |
| | Trustee Representation Letter | | | |
| | Consents to Act as Trustees | | | |
| | Trustees Declaration | | | |
| G1 | Create Entries Report | | | |
| | Trial Balance | | | |
| | General Ledger | | | |
| J | Compliance Checklist | | | |
| K | Investment Summary Report | | | |
| | Investment Movement Report | | | |
| | Investment Change Report | | | |
| | Detailed Schedule of Fund Assets | | | |
| | Share and Managed Trusts Documentation | | | |
| | Related Unit Trusts Financial Statements & Income Tax Return | | | |
| L | Property/ Real Estate | | | |
| | Checklists/Title Searches/Lease Agreements | | | |
| | Valuations to be obtained every 3 years | | | |
| | Insurance Certificate of Currency for Property | | | |
| | Other Assets e.g Artwork, Marina Berths | | | |
| | Limited Recourse Borrowing Arrangements | | | |
| | Bare Trust Deed | | | |
| | Loan Offer, Loan Agreement and Bank Deeds | | | |
| | LRBA Minutes | | | |
| | Loan Statements | | | |
| | Borrowing Costs Write Off Schedule | | | |



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| Reference | | YES | NO | N/A |
|-----------|---|-----|----|-----|
| M | Bank Statements 1 July – 30 June | | | |
| | Bank Audit Certificate/Statement of Balance at 30 June | | | |
| N | Receivables/Debtors | | | |
| | Tax Return | | | |
| | Tax Agent Portal | | | |
| P | Statement of Taxable Income | | | |
| | Provision for Deferred Income Tax Reconciliation | | | |
| | Electronic Lodgement Declaration | | | |
| | Tax Return | | | |
| | Tax Agent Portal | | | |
| | Actuarial Report | | | |
| | Income Tax Ledger | | | |
| | Investment Disposals Report | | | |
| | Profit/Loss on Disposals | | | |
| | Loans/ Loan Agreements | | | |
| | Tax and Creditors and Other Liabilities | | | |
| Q | Members Summary Report | | | |
| | Members Statements | | | |
| | Member Applications (new members) | | | |
| R | Investment Income Report | | | |
| | Dividend/Distribution Comp Report | | | |
| | Distributions/Annual Tax Statements | | | |
| | Dividends Summary/Advices | | | |
| | Interest Received | | | |
| | Rental Summary | | | |
| S | Confirmation of Contributions | | | |
| T | Transfers In | | | |
| | Other Income | | | |
| U | Expenses | | | |
| | Administration Costs | | | |
| | Investment Expenses | | | |
| | Rental Property Expenses | | | |
| | Insurance Notice | | | |
| | Pensions Paid and Pension Calculations | | | |
| | Lump Sum Payments and Transfers Out | | | |
| V | Investment Strategy | | | |



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| Reference | | YES | NO | N/A |
|-----------|---|-----|----|-----|
| X | Minutes | | | |
| | TFN Advice/ABN Notifications | | | |
| | Member Applications | | | |
| | Pension Establishment Documentation | | | |
| Z | Trust Deed | | | |
| | Signed ATO Trustee Declarations for all Funds established post 1 July, 2007 | | | |
| | Corporate Trustee Company Search | | | |
| | Trustee Consent to Act | | | |



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RELATED PARTY CHECKLIST

| | |
|--|--|
| Full Name of Fund | |
| Date Established | |
| Trustees – Names of Individuals or Directors | |
| Trustee – Company A.C.N. and registered office | |
| Employer – name & address | |
| Member 1 | Full Name: Address: Date of Birth: Eligible Service Date: |
| Member 2 | Full Name: Address: Date of Birth: Eligible Service Date: |
| Member 3 | Full Name: Address: Date of Birth: Eligible Service Date: |
| Member 4 | Full Name: Address: Date of Birth: Eligible Service Date: |
| Related Unit Trust – Full Name of Trust & Trustee(s) % held by this Fund | |

