



- Please write clearly in CAPITAL LETTERS and use a black pen to complete this form
- Please take a moment to check the details below, make any alterations necessary or insert data where relevant. If the space provided is insufficient, please provide details on a separate sheet

1. Fund details

Fund name	<input type="text"/>		
SC Fund Reference	<input type="text"/>		
Commencement Date	<input type="text" value="DD/MM/YYYY"/>	Tax File Number provided	<input type="text"/>
ABN	<input type="text"/>	Super Fund Number	<input type="text"/>

2. Primary Contact details

Super Concepts will use the postal address shown below for all fund correspondence.

Name	<input type="text"/>		
Company (if applicable)	<input type="text"/>		
Postal Address	<input type="text"/>		
	<input type="text"/>		
Phone	Home <input type="text"/>	Work <input type="text"/>	Mobile <input type="text"/>
Fax	<input type="text"/>		
Email	<input type="text"/>		

3. Authorised Party details

To ensure Super Concepts maintains correct records and adheres to the provisions of the Privacy Act please confirm any Authorised Parties, other than the Trustees, who are eligible to act on behalf of the fund.

Relationship	<input type="checkbox"/> Accountant	<input type="checkbox"/> Financial Adviser	Other <input type="text"/>
Name	<input type="text"/>		
Company (if applicable)	<input type="text"/>		
Address	<input type="text"/>		
	<input type="text"/>		
Phone	<input type="text"/>	Fax <input type="text"/>	Mobile <input type="text"/>
Email	<input type="text"/>		

4. Trustee details

Trustee Company details

Full Company Name

ABN

ACN

Individual Trustees or Trustee Company Directors

Trustee/Director 1

Trustee/Director 2

Trustee/Director 3

Trustee/Director 4

5. Fund Member(s)

Member 1

Name

Date of Birth

Tax File Number provided

Gender

Postal Address

Phone

Home

Work

Mobile

Fax

Email

Member Account
Details

Member 2

Name

Date of Birth

Tax File Number provided

Gender

Postal Address

Phone

Home

Work

Mobile

Fax

Email

Member Account
Details

Member 3

Name	<input type="text"/>		
Date of Birth	<input type="text" value="DD/MM/YYYY"/>	<input type="checkbox"/> Tax File Number provided	<input type="text"/> Gender
Postal Address	<input type="text"/>		
Phone	Home <input type="text"/>	Work <input type="text"/>	Mobile <input type="text"/>
Fax	<input type="text"/>		
Email	<input type="text"/>		
Member Account Details	<input type="text"/>		

Member 4

Name	<input type="text"/>		
Date of Birth	<input type="text" value="DD/MM/YYYY"/>	<input type="checkbox"/> Tax File Number provided	<input type="text"/> Gender
Postal Address	<input type="text"/>		
Phone	Home <input type="text"/>	Work <input type="text"/>	Mobile <input type="text"/>
Fax	<input type="text"/>		
Email	<input type="text"/>		
Member Account Details	<input type="text"/>		

Death Benefit Beneficiary Nomination

It is important that each member nominates a beneficiary in the event of their death. Under the SIS legislation nominations are limited to the member's spouse (including a same sex spouse), children of any age and dependants who rely on the member for maintenance and support or someone with whom the member has an interdependency relationship. In addition, the member may also nominate the member's legal personal representative so the superannuation benefit goes to the member's estate to be dealt with under the member's Will.

If the member has provided a valid binding nomination, the Trustee will pay the death benefit to those nominated and in the proportions as directed.

If a member does not make a binding death benefit nomination, the Trustees may pay benefits to the member's spouse, children, people who are dependants at the time of death or the member's legal personal representative. The payment will be made at the Trustee's discretion, however, the Trustee can have regard to any non-binding nomination that the member has made.

The member statements provided with your 2009 annual accounts will reflect the information we have on file regarding nominations made by any member, including the type and expiry date (if applicable).

If any member has updated their nomination during the last financial year, please provide a copy of the new nomination form.

6. Fund Particulars

Please answer each question by ticking the appropriate box; and provide COPIES of documentation requested

- 1** Is the fund registered for GST? Yes No
If YES, do you want us to deregister this fund for GST? Yes No
- 2** Did the structure of the Superannuation Fund change during the financial year? Yes No
If YES, please describe the nature of the change (eg replacement of individual Trustee, change in directors of Corporate Trustee, change in members) and provide documentation to support the change
- 3** Has any member become disqualified from acting as a trustee (either as an individual or a director of a company acting as Trustee) by reason of:
- Current insolvency; or Yes No
 - Conviction at any time of a dishonest act; or Yes No
 - Being the subject of a civil penalty order under the Superannuation Industry (Supervision) Act 1993; or Yes No
 - The Regulator having disqualified the person as not being a fit and proper person to be a trustee Yes No
- 4** Is any member an employee of another member, where the members concerned are not relatives? Yes No
- 5** Have all members provided their tax file number indicated by "Y" in the member data section on previous page. Yes No

If a member's TFN is not provided, tax at the top personal rate will be applied. The Trustee may also be prohibited from accepting some contributions including government co-contributions.

7. Fund Investment Strategy

Trustees are required to regularly review the investment strategy to ensure that it is in accordance with the existing or proposed investments and circumstances of the fund. Super Concepts recommends that Trustees review the current and proposed strategy of the fund to ensure that all the investment decisions of the Trustees are, or will be, in accordance with the documented (and signed) investment strategy.

It is important to provide Super Concepts with:

- a copy of a signed and dated investment strategy applicable for the 2009/2010 financial year; or
- if the investment strategy for the previous period has been reviewed and has not changed, a copy of the applicable investment strategy, together with a signed and dated minute confirming the strategy is still applicable for the 2009/2010 financial year.

8. Fund Transactions and Supporting Documentation

To satisfy SMSF compliance requirements, certain documents and information relating to fund transactions and activities need to be provided to us and the fund auditor.

To assist us when compiling your documents, please:

- Group investments and other documents into the appropriate categories listed below; and
- Provide COPIES of documents required to support fund transactions.

The following checklist may assist you in collating the required documentation:

Fund Expenses (Invoices/Receipts) Yes No

- Accounting & Audit Fees
- Management & Administration Fees
- Advisor & Other Fees
- Tax Invoices clearly showing the GST payable (for GST Registered Funds)

Tax Notices Yes No

- Statement of Accounts (Tax Assessment Notices)

PAYG Notices Yes No

- Instalment Activity Statements
- Business Activity Statements

Superannuation Payments In/Out Yes No

- Rollover Benefit Statements
- PAYG Payment Summary – Superannuation Lump Sum (for members under 60 at the time of payment)

Pensions Yes No

- PAYG Payment Summary – Superannuation Income Stream (for members under 60 at the time of payment)

Contributions Yes No

- Standard Off Market Transfer Forms
- Superannuation Account Statement & Remittance Advice (co-contribution)
- Details of expenses paid on fund's behalf

Life Insurance Yes No

- Premium Renewal Notice showing the policy owner
- Notice confirming the annual premium paid and sum(s) insured amount

Cash, Term Deposits, Debentures and Fixed Interest Arrangements Yes No

- Bank statements in chronological order
 - All transactions on the bank statements should be annotated
 - Internet printouts or transaction listings are NOT acceptable for audit
- Term Deposit, Debentures and Fixed Interest renewal certificates and interest statements

Listed Equities (ASX Listed Shares) Yes No

Provide shares in ASX order with documents grouped by:

- Issuer Sponsored or Chess Holding Statements
- Broker Buy Contract Notes, Share Purchase Plans and Rights Issues
- Corporate Reconstruction Notices
- Dividend and Dividend Reinvestments Notices and Annual Taxation Statements
- Broker Sell Contract Notes
- Broker Trading Transaction Statements from 1 July to 30 June
- Broker Portfolio Valuation Report as at 30 June

**Public Trusts/Property Trusts/
Unit Trust** Yes No

- Acknowledgements received for new and additional purchases
- Distribution / Transaction Statements
- Annual Taxation Statements
- Confirmation of unit holdings and valuations as at 30 June
- Financial statements and tax return for privately held unit trusts

Unlisted Shares Yes No

- Acknowledgements received for new and additional purchases
- Unit Certificates
- Financial statements and tax return for unlisted companies

Rental Properties Yes No

- Solicitor's statements of disbursements (for new purchases)
- Certificate of Title showing Trustee ownership (for new purchases)
- Current Lease Agreement
- Rental Receipts and / or Annual Rental Statements
- Property Maintenance expenses and construction costs
- Building Insurance policy
- Current Rates notice
- Property Valuation (required every 3 years from purchase)
- Declaration of trust, instrument or caveat establishing that the property is held on trust by the Trustees on behalf of the fund

**Collectibles/Other Assets
(including paintings)** Yes No

- Invoice to support purchase
- Insurance Policy confirming that the asset is insured
- A minute or declaration identifying place of storage
- Formal Rental Agreement (if applicable)
- Asset Valuation (required every 3 years from purchase)
- A minute signed by the Trustees establishing that the asset is held on trust by the Trustees on behalf of the fund

Portfolio Management Services Yes No

- Cash transaction statements from 1 July to 30 June
- Portfolio Valuation statement as at 30 June
- Realised and Unrealised Capital Gains Reports as at 30 June
- Annual Income Taxation Statement as at 30 June
- Audit Certificate (if the service provider is not audited we will require supporting documentation for all individual investments)

Pooled Superannuation Trusts Yes No

- Acknowledgements received for new and additional purchases
- Confirmation of unit holdings and valuation at 30 June

Loans/Mortgages Yes No

- Signed copies of new / renewal loan agreements
- Annual summary as at 30 June confirming principal and interest

Asset Leasing Yes No

- Lease applications and agreements
- Evidence of the fund's acquisition of leased assets

**Instalment Warrants
(Borrowing Arrangements)** Yes No

- Declaration of Trust Deed / Custodian Trust Deed
- Relevant Trustee Minutes
- Loan Agreement and supporting documentation
- Loan Repayment Statement for the year ending 30 June displaying split of interest/principal for each repayment

Options Trading Yes No

- Financial Details Statement from 1 July to 30 June
- Current Open Positions Statement as at 30 June
- Details of any Collateral Cover as at 30 June
- Monthly Trading and Financial Statements

IMPORTANT: The accounts of the Fund are independently audited; therefore copies of ALL supporting documents for ALL transactions must be supplied to the Auditor.

9. Contributions / Co-contributions

If there were any contributions and/or co-contributions made to the fund for any member, please complete the table below or attach a schedule if insufficient space.

Spouse - Non Concessional: Contributions can be made for a spouse to age 65 or to age 70 if the spouse is employed at least part-time. These undeducted contributions do not represent taxable income to the fund.

Member - Concessional: A contribution where the member is claiming a personal tax deduction on their individual income tax return (self employment).

Member - Non Concessional: A contribution where the member is not claiming a personal tax deduction for the contribution.

Employer - Concessional: All employer contributions, including salary sacrifice and Superannuation Guarantee Charge (SGC) components, are 'Employer Preserved' contributions. All employer contributions represent taxable income to the fund.

Co-Contributions Received from ATO: Received from the government for contributing member non concessional contributions to the fund.

Information on the deductibility of contributions, whether employer or member, should be obtained from your personal tax or other professional adviser. The Co-contributions Received from ATO will be the payment amount on your ATO Superannuation Remittance Advice.

If both member concessional and employer contributions are received, a member is eligible for a tax deduction for personal superannuation contributions where the "10% rule" is satisfied during a financial year. The "10% rule" requires that less than 10% of total assessable income; reportable fringe benefits, plus reportable employer super contributions as defined under the legislation, relate to the member's employment.

Contribution by way of Expenses on Fund's behalf: Where an expense or liability of the fund has been paid by the employer or a member of the fund and no reimbursement has been sought, the payment is deemed to be contribution for the member.

The contribution will be treated as concessional if paid by the employer or if the member is claiming a deduction. It will be treated as non-concessional if the member is not claiming a tax deduction in their personal income tax return.

Date Received	Spouse Non-Concessional \$	Member Concessional \$	Member Non-Concessional \$	Employer Concessional \$	Co-Contributions Received from ATO \$	Contributions by way of expenses paid on Fund's behalf	
						Member/Employer Concessional \$	Member Non-Concessional \$
Member name							
Member name							
Member name							
Member name							

10. Life and/or Disability Insurance

If there were any life and/or disability insurance premiums paid by the fund any member, please complete the table below.

For Insurance Policy Premiums paid by a superannuation fund – the fund must own the policy. Personally owned life insurance premiums CANNOT be paid from your fund.

Member name	Date of Payment	Premium Paid	Sum Assured

11. Rollovers, Transfers Inward and Lump Sum Payments/Rollovers Outward

Please complete the table below if there were any:

- Rollovers/transfers received from other superannuation funds
- Lump sum payments or rollovers/transfers made out of the fund for any member

For all rollovers/transfers in please provide a copy of the Rollover Benefits Statement received from each rollover institution.

For lump sum payments/rollovers out please provide a copy of the PAYG Payment Summary – Superannuation Lump Sum.

If Super Concepts did not prepare the necessary documentation for the transaction/s:

- Please provide a copy of the PAYG Payment Summary if it is a Lump Sum Superannuation Benefit (applicable only if the member was under 60 years of age at the time of the payment); or
- Provide a copy of the Rollover Benefits Statement if the benefit has been rolled over to another Superannuation Fund.

If the required documentation has not yet been prepared do you require Super Concepts to attend to this matter? Yes No

If yes, Super Concepts will be in contact with you to finalise the documentation.

Member name	Date	Rollover/Transfer In Amount \$	Lump Sum Payments/ Rollovers Out Amount \$

13. Declarations

By signing below I:

- declare that I am authorised to make declarations on behalf of the Trustees
- declare that the information provided in this form is, to the best of my knowledge, accurate and correct.
- acknowledge that I have read, understood and accept the terms on which the Super Concepts Annual Return Service (“Service”) is provided, as detailed in section 14 of this form
- acknowledge that by signing and submitting this form to Super Concepts I accept the current Terms and Conditions which are available on the Super Concepts website at www.superconcepts.com.au
- understand that the fees for this service are charged on a time basis, based on the time spent and expertise of the staff involved, plus disbursements for additional expenses and statutory charges. Indicative fees are detailed in the CAT guide provided with this form as well as on the Fee Schedule on Super Concepts, website at www.superconcepts.com.au as updated from time to time
- acknowledge that the Service is provided to the Trustees on condition that the fees are paid (including any costs, expenses or charges) within 14 days from the date of the invoice.
- understand that Super concepts provides this Service in accordance with the information provided in this form and the current Terms and Conditions
- authorise the collection, use and disclosure of my personal information for the purpose of the assessment of the fund’s Annual Return and if accepted, the management and administration of those services, as outlined in the Privacy Policy which is available on the Super Concepts website, www.superconcepts.com.au. I understand that unless I consent to the collection, use and disclosure of this information, Super Concepts will not be able to finalise my fund’s Annual Return.
- understand that Super Concepts may routinely disclosure my personal information to third parties such as: organisations undertaking compliance functions of Super Concepts’ information; organisations maintaining Super Concepts’ information technology system; authorised financial institutions; organisations providing mailing and printing services and my financial adviser (if applicable).
- accept that Super Concepts may send me information about its services from time to time. I understand that I may notify you of my decision not to receive further information by contacting you directly.

Would you like to receive this document electronically (via email) in future? Yes No

Signature

X

Date

DD/MM/YYYY

Print Name

14. Super Concepts Annual Return Service ("Service")

Super Concepts is pleased to be appointed as tax agent and/or to provide accounting services for your Self Managed Superannuation Fund (SMSF).

We are committed to providing a superior level of service to ensure your fund's accounts are prepared efficiently and accurately.

The Super Concepts Annual Return Service for the year ended 30 June 2010 includes:

Completing the Annual Return

This includes all activities required to complete the Annual Return for your SMSF including:

- preparation of financial accounts
- preparation of member statements

Note: Copies of this information will also be provided, upon request, to your nominated third parties;

Act as the tax agent for your fund (if required) and access information from the ATO via the Tax Agents Portal, including all necessary correspondence with the Australian Taxation Office, and lodgement of the Annual Return

Facilitating the completion of the audit in accordance with Section 35C of the Superannuation Industry (Supervision) Act 1993 which states the financial report of a regulated fund must be audited by an approved auditor.

Note: Super Concepts engage a panel of external auditors to audit SMSFs. All auditors have a public practicing certificate and are required to meet continuing professional development standards.

Requesting an actuarial certificate (if required) to substantiate the current year exempt pension income of the fund.

All original documents provided will remain your property and will be returned to you. We reserve the right to make a reasonable number of copies of the original documents for our records.

All documents produced by us as part of the service will remain the property of Super Concepts.

You and the Trustees will be responsible for the ownership of the financial statements, member statements and SMSF Annual Return produced for your fund.

We will not be responsible for any person or entity, other than the Trustees, members or nominated third parties, relying on any report or document we have produced.

Super Concepts also provides a number of other documentation and SMSF administration services, if you would like more information on these services, please contact us by phone on 1800 625 644 or email on info@superconcepts.com.au or visit our website www.superconcepts.com.au

