

Fund Establishment Service

PO Box 200
Maitland NSW 2320
1300 172 247

By completing this form, you will provide all the information we need in order to set up a new self managed superannuation fund. As part of our service, we:

- provide a Trust Deed for the Fund (developed in conjunction with a lawyer specialising in estate planning and specific to self managed superannuation funds), along with all relevant minutes and declarations for signing by the various parties;
- provide the ATO's Key Messages Notice & Trustee declaration for signing by the relevant parties;
- complete member applications for signing and include a Member Product Disclosure Statement;
- document an investment strategy (if requested);
- electronically complete and lodge the Fund's application for an ABN, TFN, GST registration (if required) and Election to be regulated (2 Step Process only);
- check that all relevant pages have been signed and any necessary information completed (2 Step Process only); and
- present the completed documents in a Master File with our SMSF Guide.

The **cost** (inc. GST) of this documentation service is as follows (please see payment options below).

Fund Establishment – 1 Step Process	\$605
Fund Establishment – 2 Step Process (including ABN, TFN, GST registration (if required) and Election to be regulated & review of signed documents)	\$715
Trustee Company Establishment	\$715

Add \$110 for the preparation of a Derivatives Risk Statement if the fund has requested the preparation of an Investment Strategy and has indicated that it will invest in derivatives¹. Your adviser / accountant may also charge a fee for their work in relation to establishing your Fund. If this is the case, they will disclose this fee to you.

Please send completed form and documents to docprep@heffron.com.au

Confirmation and Acceptance of Terms

I confirm that the information on this form is correct and I have completed the payment details below. *Please note that payment must accompany all requests* (an invoice will be provided in due course).

Name & Signature:

Invoice in the name of:

Payment Details

Please find a cheque attached

A Direct Debit agreement is in place in the name of:.....

Account Holder's Signature:

Please charge the following credit card:

MasterCard

Visa

Amount:

Cardholder's full name:

Card Number: _ _ _ _ / _ _ _ _ / _ _ _ _ / _ _ _ _ Expiry Date: _ _ / _ _

Cardholder's Signature:

¹ A derivative means a financial asset or liability the value of which depends on, or is derived from, other assets, liabilities or indices. Examples include: options, futures, forwards, share ratios and warrants.

Section A: Contact Details

Person Ordering the Service – documents (hard and soft copy) will be forwarded to this person.

Name:

Name of Firm:

Postal Address:

Contact Number: Fax:

Email:

Administrator/Accountant – this person will be the nominated contact for ATO correspondence (if Heffron is to be the Administrator please contact our office for the relevant Fund Establishment Service form).

Accountant/Administration Firm:

Contact Person:

Position Held:(ie accountant, adviser, etc)

Tax Agent registration number (if firm is to be Fund’s tax agent):

Postal Address:

Contact Number: Fax:

Email:

Section B: Fund and Trustee Details

Name of Fund:

Commencement Date (if you wish to specify, otherwise leave blank):/...../.....

Please Indicate Trustee Type (circle) - Corporate Trustee or Individual Trustees

Please tick this box if you would like Heffron to facilitate the establishment of a sole purpose superannuation fund trustee company. **Please note two alternate names for the company below.**

Trustee Company Name:

Alternate Trustee Company Names (if applicable):

ACN:Date of Incorporation:

Address of Registered Office:

Please note: unless advised otherwise, if Heffron is facilitating the establishment of the company, it will be incorporated on the assumption that each member/director will be issued with 1 x \$1 share and Member 1 (overleaf) will be the Company Secretary, Signing Officer and Public Officer.

Section C: Member Details – If there are more than two members/trustees please copy this page.

Member 1

Title: _____ Mr/Mrs/Miss/Ms/Dr Sex: _____ Male/Female

First Name: _____ Middle Name: _____ Surname: _____

Street Address: _____

Date of Birth: ____/____/____ Place of Birth: _____

TFN: ____/____/____ Ph number: _____

Please indicate: a member of the Fund? a trustee (or a director of a trustee company)?

Member 2

Title: _____ Mr/Mrs/Miss/Ms/Dr Sex: _____ Male/Female

First Name: _____ Middle Name: _____ Surname: _____

Street Address: _____

Date of Birth: ____/____/____ Place of Birth: _____

TFN: ____/____/____ Ph number: _____

Please indicate: a member of the Fund? a trustee (or a director of a trustee company)?

Section D: GST Registration (if requested as part of 2 Step Process)

Superannuation funds are generally not required to register for GST voluntarily, however, if the fund *does* register it will be able to claim “reduced input tax credits” on some of the GST it pays to its various suppliers.

Do you wish to register this fund for GST? Yes (Monthly) Yes (Quarterly) Yes (Annually)
 No

Please note: unless advised otherwise, if Heffron is registering the fund for GST, it will be on a non-cash basis with a GST turnover of \$0-\$74,999 & will not be importing goods/services into Australia.

Section E: Investment Objective & Strategy

Under superannuation law, trustees are required to have a documented investment strategy. Whilst our fund establishment service is not designed to provide investment advice (and should not be construed to) we are able to document an investment strategy on your behalf to assist the trustee to comply with its obligations under the SIS Act. Please tick the appropriate box below to indicate your preference:

No investment strategy is required – this will be attended to separately by the trustee

Please document an investment strategy based on the following information:

Please Complete the following table:

Investment Objective measurement term	Rolling _____ year periods
Investment Objective	Exceed inflation by _____% or more before tax and expenses
Fund Benefit Phase	Accumulation/Pension/Both
Will the Fund invest in derivatives?	Yes/No
Expected level of contributions and rollovers (combined) over the term specified above	\$
Expected level of payments (lump sum and/or pension) over the term specified above	\$

Section E: Investment Objective & Strategy

Please complete the table below to specify investment ranges for the Fund.

Note that the ranges² can be changed by resolution at any time – they are not binding, they are merely an expression of the trustee’s intention.

Asset Class	Range %
Australian Equities	___ to ___%
International Equities	___ to ___%
Australian Property	___ to ___%
Australian Fixed Interest	___ to ___%
International Fixed Interest	___ to ___%
Cash	___ to ___%
Other, please specify	___ to ___%

Section F: Trustee Declaration – If there are more than two trustees please copy this page.

All trustees (or directors of the trustee company) must sign this declaration to authorise Heffron to establish the Fund and to lodge the ‘ABN registration and Notice of Election for Superannuation Funds’ form on their behalf.

Authorisation to Establish

I/We the trustee(s) or director(s)/secretary of the corporate trustee hereby authorise Heffron to establish a self managed superannuation fund for us with the information provided to them for this purpose.

I/We understand that unless we have specifically obtained a Statement of Advice from Heffron recommending the establishment of a self managed superannuation fund, Heffron has not reviewed my/our circumstances to determine whether or not such a fund is appropriate and they have simply established the fund in accordance with my/our instructions or instructions from my/our adviser(s).

Notice of Election (if requested as part of 2 Step Process)

I/We the trustee(s) or director(s)/secretary of the corporate trustee of _____ (insert fund name) Superannuation Fund elect that the Superannuation Industry (Supervision) Act 1993 is to apply in relation to the Superannuation Fund and understand that the election is irrevocable.

ABN / TFN / GST Registration (if requested as part of 2 Step Process)

I/We authorise Heffron to complete an electronic application to register the Fund with the government body responsible for Self Managed Superannuation Funds (Australian Taxation Office) as a Regulated Self Managed Superannuation Fund.

I/We declare that the Fund is entitled to registration and understand that the application will be completed based on the information provided on this form, which is accurate and complete.

Privacy

I/We understand that the collection of information on this form by the Australian Business Registrar and the Commissioner of Taxation is authorised by taxation law for the administration of those laws and I/We understand that some of this information may be made publicly available and some may be passed onto other government agencies.

Name (Trustee/Director 1):

Signature:

Name (Trustee/Director 2):

Signature:

² Note that whilst there is nothing specific in the legislation, the Regulator has indicated that they do not consider the trustee has met its obligations if the investment strategy is simply a range of 0% to 100% across every asset class.