

SME Financial Limited
Business Development Specialist & Chartered Accountants

2019 INDIVIDUAL INFORMATION QUESTIONNAIRE

Period Covered: 1 April 2018 to 31 March 2019

Client Name:

IRD Number:

Date of Birth (if under 16):

Please ensure that this form is completed in full. Check with us if you are uncertain of what type of information we require.

INFORMATION TO BE PROVIDED

Please ensure that all information is provided to assist in the preparation of your accounts. Time spent seeking extra information not originally provided will increase costs.

With regard to this annual work, our responsibilities are restricted to the analysis of the information that you provide to us and the accurate compilation of your Return of Income. You are responsible for ensuring the information is complete. You are ultimately responsible for the statements provided and for any interest and penalties charged by the IRD which result from the omission or ambiguity of information provided by you. (We may perform other services for you in addition to this annual work which is not covered by the engagement statement).

Please tick where appropriate:

PART A - PERSONAL INCOME

- | | Yes | No |
|--|--------------------------|--------------------------|
| 1. Did you receive income with tax deducted ? | <input type="checkbox"/> | <input type="checkbox"/> |
| If yes - have you enclosed all certificates | <input type="checkbox"/> | <input type="checkbox"/> |
| Have you earned any salary from a company (with no PAYE deducted) in your Capacity as a shareholder/employee? If yes, please provide full details: | <input type="checkbox"/> | <input type="checkbox"/> |
| Name of Company: _____ Amount: _____ | | |
| 2. Did you have any New Zealand interest paid or credited to you, including any interest from partnerships and trusts | <input type="checkbox"/> | <input type="checkbox"/> |
| If yes - have you enclosed all certificates, eg IR15s | <input type="checkbox"/> | <input type="checkbox"/> |
| (You should have received interest statements or certificates from your financial institutions) | | |
| 3. Did you have any New Zealand dividends paid or credited to you, or did you receive shares instead of dividends | <input type="checkbox"/> | <input type="checkbox"/> |
| If yes - have you enclosed all dividend statements | <input type="checkbox"/> | <input type="checkbox"/> |

Did you have any investments in PIEs?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

If yes - have you enclosed investment summary schedules for the year including details of the Prescribed Investor Rate (PIR) used.

<input type="checkbox"/>	<input type="checkbox"/>
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4. Did you receive any New Zealand estate or trust income

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

If yes - please provide details of income received, including

- Name of the Trust.....
- IRD no. of the Trust.....
- Total trust income received.....
- Tax paid by trustees.....

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

5. Did you receive any **overseas income**

If yes - have you enclosed details of this overseas income & tax paid on this income

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

6. Did you receive any **partnership income** other than interest and dividends shown above

If yes - please provide details of this income, including

- Name of the Partnership.....
- IRD no. of the Partnership.....
- Total partnership income.....
- Total partnership tax credits.....

7. Did you receive

- **NZ Superannuation**, (exclude income-tested NZ Super already shown above)
- **Veteran's Pension**

If yes - have you attached all tax deduction certificates

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

8. Did you receive any **rental income**

If yes - please provide details of the following (if there is more than one property please show details separately in terms of each property)

- Rent received details
 - No. of months the property was rented
 - No. of months the property was available for renting
 - Total rent received
- Expenses to be claimed, including
 - Commission paid to real estate agencies for renting the property
 - Interest paid on loans/ mortgages
 - Insurance

<input type="checkbox"/>	<input type="checkbox"/>
<hr/>	
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\$	<hr/>
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\$	<hr/>

- Power/ light and gas \$
- Rates/ water rates \$
- Repairs & maintenance \$
- Any improvements or fixed asset additions \$
- Other expenses (please specify) \$

9. Did you buy or sell any rental properties during the year Yes No
 If yes - continue with Question 9a & b

a. Property purchased, please provide details of the following

- Full address of the property.....
 Yes No
- Copy of sale & purchase agreement
- Copy of solicitors settlement statement for the property
- Copy of the latest property valuation (capital or rateable value)
- Copy of valuation completed by a registered property valuer/consultant (if any)

b. Property sold, please provide details of the following

- Full address of the property.....
 Yes No
- Copy of sale & purchase agreement
- Copy of solicitors settlement statement
- Details of commission paid to Agency, if any

10. Did you receive income from **self-employment** Yes No
 If yes - have you supplied details of all deductible expenses, these include
 expenses you have to pay in order to earn this self-employment income. Please check
 with us if you are unsure what can be claimed. Yes No

11. Do you have a shareholding in a look through company (**LTC**) Yes No
 If yes - please provide details of the following

- Name of the LTC.....
- IRD number of the LTC.....
- Total amount of profit/loss

12. Did you receive any other type of income other than that stated above Yes No
 If yes - have you supplied all the relevant information

13. **Accident Compensation Corporation**
 Please advise your ACC number _____
 Please provide copies of all invoices issued to you by ACC during the year.

		Yes	No
14.	Do you have income protection insurance ?	<input type="checkbox"/>	<input type="checkbox"/>
	If yes - please provide a copy of the policy or invoice.		
	If yes - do you pay your premiums monthly or annually?	Monthly / Annually	
		Yes	No
15.	Did/do you have a student loan?	<input type="checkbox"/>	<input type="checkbox"/>
		Yes	No
16.	Do you have any holdings in offshore entities ?	<input type="checkbox"/>	<input type="checkbox"/>
	These could be – bank accounts, superannuation schemes, unit trusts, life insurance policies, shares in overseas companies, loans to foreign entities, foreign credit cards.		
	Note: if you have offshore investments, we will need to contact you in relation to applying the foreign investment fund (FIF) rules.		
17.	Donations	Yes	No
	Did you make a donation of \$5 or more to an approved charity	<input type="checkbox"/>	<input type="checkbox"/>
	<i>(Please note: This does not include school fees)</i>		
	If yes - have you attached all the receipts?	<input type="checkbox"/>	<input type="checkbox"/>
18.	Sundry	Yes	No
	Did you purchase or sell any government or local body stock or corporate bonds this year? If yes – please provide documentation.	<input type="checkbox"/>	<input type="checkbox"/>
		Yes	No
	Are you considered a tax resident of another country?	<input type="checkbox"/>	<input type="checkbox"/>
	If yes – please advise what country		
		Yes	No
	Have you relocated to New Zealand during the year?	<input type="checkbox"/>	<input type="checkbox"/>
	If yes – please advise date of entry to NZ		
		Yes	No
	Did you acquire any shares or exercise any rights or options to acquire shares under an employee share or option scheme?	<input type="checkbox"/>	<input type="checkbox"/>
	Have you recently reviewed your business and personal insurances?	<input type="checkbox"/>	<input type="checkbox"/>
	Have you settled a trust during the year?	<input type="checkbox"/>	<input type="checkbox"/>
	Have you made any gifts during the year? If yes – please provide deeds.	<input type="checkbox"/>	<input type="checkbox"/>
	Do you wish to discuss trusts?	<input type="checkbox"/>	<input type="checkbox"/>
	Do you wish to discuss wealth management issues?	<input type="checkbox"/>	<input type="checkbox"/>

Has your income changed/or will be likely to change for the coming year?

Yes

No

This is particularly relevant for provisional taxpayers.

19. General Comments

DECLARATION

I understand that the above information will be used by SME Financial Limited in the preparation of financial statements and taxation returns as agent on my behalf. I have read and understood the obligations which I am required to meet included in the "Information to be Provided" section.

Under the terms of the Privacy Act (1993), I _____ authorise SME Financial Limited to obtain from any third party any records or information you require for the purpose of preparing my Financial Statements and Income Tax Returns and accordingly any such third party is authorised to provide you with information required.

Client Signature _____

Date _____

PLEASE ENSURE THAT YOU SIGN OUR TERMS OF ENGAGEMENT FORM AND RETURN IT TO US WITH YOUR RECORDS. WE ARE UNABLE TO COMMENCE WORK UNTIL WE RECEIVE A SIGNED TERMS OF ENGAGEMENT FROM YOU.

THANK YOU FOR COMPLETING THIS FORM