

# CLIENT INFORMATION QUESTIONNAIRE



## INVESTMENT

Name: \_\_\_\_\_ Balance Date:        /        /  
Address: \_\_\_\_\_ Phone: \_\_\_\_\_  
Cellphone: \_\_\_\_\_  
Email: \_\_\_\_\_

*To ensure we have your correct contact details, please advise if any of the above information is incorrect.*

### For Preparation of Annual Financial Statements/Income Tax Returns

*Please provide the relevant information as requested in each section and indicate when completed or not applicable by ticking the appropriate box.*

1. We agree to the terms of Engagement listed on page two and confirm that the information supplied above is accurate and complete.
2. We hereby authorise **Moore Markhams Auckland** to seek any additional information they may require for the purpose of preparing our financial statements and statutory requirements with the Inland Revenue Department and Registrar of Companies from our Solicitor, Advisor, Employees, Bank, ACC or other financial institution to supply such information. We authorise **Moore Markhams Auckland** to sign Income Tax, GST and other associated returns on our behalf.
3. We confirm for the purposes of the Privacy Act 2020 that the information contained in this questionnaire has been provided to **Moore Markhams Auckland** to enable them to fully advise us in the management of our financial affairs and authorise **Moore Markhams Auckland** to utilise that information for that purpose in such manner as they may consider appropriate including, by way of example and not limitation, the preparation and completion of annual accounts and income tax returns, the provision of information to our banks, solicitors or other advisors.
4. We confirm that **Moore Markhams Auckland** will provide assistance in meeting tax obligations, including advice on payments and/or reminder letters for taxes due. However, the responsibility for paying the correct tax on time rests with the taxpayer, not **Moore Markhams Auckland**.

SIGNED: \_\_\_\_\_

DATE: \_\_\_\_\_

Notes:

#### TERMS OF ENGAGEMENT

Moore Markhams Auckland will compile your financial statements, in accordance with the standards applicable to compilation engagements, from information provided by you. We will not audit, review or otherwise attempt to verify the accuracy of that information.

Our services will not result in the expression of an audit opinion or any other form of assurance on the financial statements nor the fulfilling of any statutory or other audit requirement. Our services cannot be relied upon to detect fraud or error in your organisation.

Our obligations are to:

1. Accurately compile the financial information with due professional care.
2. Process the information in an effective and efficient manner.
3. Respect the confidentiality of the information acquired in the course of our work.

It is understood and agreed that:

1. You will provide us with accurate and complete information necessary to compile such statements and you will accept responsibility for any failure to supply us with all the relevant records and information. This includes information supplied to us for the preparation of Goods and Services Tax Returns.
2. The responsibility for the accuracy and completeness of the assertions in the financial statements remains with you.
3. The financial statements will be conspicuously marked as unaudited and you will attach our disclaimer (which is in a form approved by the Chartered Accountants Australia and New Zealand) when distributing the financial statements to third parties.
4. The Inland Revenue Department penalties regime is based on voluntary compliance with a new standard of reasonable care. Penalties range from 20% of the tax omitted to 150% dependent on the seriousness of the breach, together with use of money interest, and late payment penalties.
5. Our fees are on a time basis with per hour charge rates varying, depending on the experience of staff and directors engaged. Our payment terms are 20<sup>th</sup> of the month following invoices unless agreed otherwise (in advance).

If you have any questions please discuss these with us before signing this Questionnaire.

**1 RECORDS REQUIRED**

Complete section (a) if you use computer software or section (b) if you keep manual records.

**Section (a) Computer Records**

- Backup file (e.g. MYOB, Quickbooks, Easybooks, Sage or Cashmanager)  
Please note the version of the software and password if any
- Bank statement for all bank accounts for the month of balance date and one month following balance date.
- Details of how private share of car expenses, insurances, etc have been treated
- Interest and dividend advices
- Year end tax reports and portfolio summaries from investment advisor

YES	N/A
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YES	N/A
YES	N/A
YES	N/A
YES	N/A

Contact Details of Investment Advisor:

Name: \_\_\_\_\_

Company: \_\_\_\_\_

Email: \_\_\_\_\_

Phone: \_\_\_\_\_

**Section (b) Manual**

- Cheque Butts
- Bank Deposit Books
- Bank Statements for all business accounts. Please narrate bank deposits that are not regular income
- Interest and Dividend Advices
- Cashbook – written up with bank reconciliation completed
- Year end Tax Reports and Portfolio Summaries from investment advisor
- Cash Transaction reports from Investment Advisor.

YES	N/A
YES	N/A

YES	N/A
YES	N/A
YES	N/A
YES	N/A
YES	N/A

Contact Details of Investment Advisor:

Name: \_\_\_\_\_

Company: \_\_\_\_\_

Email: \_\_\_\_\_

Phone: \_\_\_\_\_

**2 ACCOUNTS PAYABLE**

Please provide list of creditors at balance date \_\_\_\_\_ (INCL OF GST)

YES	N/A
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**3 ASSETS PURCHASED/LEASED**

Please provide hire purchase agreements, lease agreements, and invoices for all fixed assets costing over \$500 (GST Excl) purchased or leased during the year.

YES	N/A
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**4 ASSETS SOLD**

Please provide details of all assets sold, written off or traded in during the year.

YES	N/A
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**5 MORTGAGES AND LOANS**

If you have raised or repaid any new mortgages and/or loans during the year please supply the following information:

YES	N/A
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- Mortgage and/or Loan Statements
- Mortgagee or Lender
- Principal Sum
- Security
- Term and Repayment Date
- Current Interest Rate
- Purpose of Mortgage/Loan

YES	N/A
YES	N/A
YES	N/A
YES	N/A
YES	N/A
YES	N/A
YES	N/A

**6 INVESTMENTS**

If you held any investments (e.g. shares, unit trusts, overseas superannuation funds) at any time during the year, please provide the following information:

YES	N/A
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- list of all investments held at any point in the financial year (including quantities and country)
- market value of each investment at the start of the financial year
- market value of each investment at the end of the financial year
- details of any movements during the year (e.g. reinvestment income, purchases or sales statements)

**7 INTEREST & DIVIDENDS RECEIVED**

Supply interest and dividend advice notices for all interest and dividends or other receipts received from New Zealand and overseas companies. These should also include advice notices where shares have been received in lieu of dividends as well as bonus issue details.

YES	N/A
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**Note:**

- It is important that we see the actual advice notices so that we pick up the correct tax credits that may have been deducted.
- Where joint investments are held, please provide details of these also.

YES	N/A
YES	N/A

**8 BUSINESS MOTOR VEHICLE(S) - PRIVATE USAGE**

YES	N/A
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For business use of privately owned vehicles, a claim for motor vehicle running costs is limited to business use ascertained from a daily log book.

With a daily log please provide:

Business kms for year

\_\_\_\_\_

Total kms for year

\_\_\_\_\_

Please provide details of all motor vehicle expenses e.g. petrol, insurance, servicing, and detail of any sale or purchase of motor vehicle during the year

**9 USE OF HOME FOR BUSINESS PURPOSES**

This may include the use of an area as an office or storage room, and other use of your home for business purposes.

Expenditure incurred on dwelling: (If paid from business account these should be clearly identified). Please supply the following detail:

YES	N/A
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- Rates \$ \_\_\_\_\_
- Water Rates \$ \_\_\_\_\_
- Interest on Mortgage \$ \_\_\_\_\_
- Electricity and Heating \$ \_\_\_\_\_
- Business Toll Calls \$ \_\_\_\_\_
- Telephone Rental \$ \_\_\_\_\_
- Insurance \$ \_\_\_\_\_
- Repairs - General \$ \_\_\_\_\_
- Repairs - Office \$ \_\_\_\_\_
- Rent \$ \_\_\_\_\_
- Others \$ \_\_\_\_\_

Address: \_\_\_\_\_

What is the percentage of your home used for business purposes? \_\_\_\_\_ %

Total Area of House: \_\_\_\_\_

Total Area of Home Office: \_\_\_\_\_

**9 SOLICITORS STATEMENTS**

Please supply us with all invoices for legal fees paid and settlement statements

YES	N/A
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**10 GENERAL**

- Please advise if there are any contingent liabilities you are aware of that existed at balance date. These are possible liabilities as a result of past events that depend on the happening of some future event

YES	N/A
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- Please advise of any matter or circumstance since the end of the financial year, not otherwise dealt with in the information supplied, that has significantly affected, or may significantly affect, the operations of your business, the results of those operations or the state of affairs of your business.

YES	N/A
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- Please advise of any capital commitments which existed at balance date.

YES	N/A
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*If you own a rental property, please complete the next section*

# Rental Property Questionnaire

If you require any assistance, please call or email us

Phone: +64 9 309-6011

Email: [admin.akl@markhams.co.nz](mailto:admin.akl@markhams.co.nz)

1. **Property Purchases: (please attach a separate list for additional properties)**

	Date	Description	Purchase Price
Property 1			
Property 2			
Property 3			
Property 4			
Property 5			

Please provide the following:

- copy of Solicitor's Settlement statement for all purchases
- **A copy of latest rateable valuation**
- **A list of chattels and their value for properties bought during the year**

Yes / NA
Yes / NA
Yes / NA

2. **Fixed Asset / Property Disposals (excluding trade-ins included above):**

<i>Date</i>	<i>Description</i>	<i>Selling Price Including GST</i>
		\$
		\$
		\$

Please provide copy of Solicitor's Settlement statement for all sales.

Yes / NA
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3. **Bank Statements:**

Forward all bank statements for all bank accounts operated by the Rental business.

**Check that none are missing** (please order any missing statements from your bank).

Rental income and expenses should be clearly marked on the statement.

Yes / NA
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4. **Loan Details:**

Please provide copies of any Bank Loan Statements. This should detail the principal, outstanding and total repayments during the year, split between interest and principal.

Please provide copies of the loan agreements for all new loans relating to the rental property(s).

Where not clearly stated, please confirm the currency of the loan

Yes / NA
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5. If a property was not rented for a full 12 months, please provide details of why it was vacant.

6. **Private Use of Rental Properties:**

Please provide details of any private use of rental properties by you, your family or associated people.

Yes / N/A
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7. **Repairs & Maintenance:**

Please provide details (invoices and receipts) of any significant repairs and maintenance, alterations and modifications carried out during the year.

Yes / N/A
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8. **Travel Costs:**

Listing of any travel expenses relating to rental properties.

Yes / N/A
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9. **GST:**

If you complete your own GST returns please forward copies of calculation worksheets and returns for the whole period.

Yes / N/A
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10. **Interest Received:**

Provide copies of all New Zealand interest certificates for interest received during the period.

Yes / N/A
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**NOTE – we can only claim the tax credit for withholding tax paid if we have the physical interest certificate.**

11. **Bank Account Details:**

Enter details if you want Inland Revenue to direct credit income tax refunds. Provide copy of deposit slip for each bank account.

Yes / N/A
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Account Name:

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Account Number:

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Bank:

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Branch:

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12. **Contact For Questions:**

If we have any queries while processing your work, what are your preferred contact details?

Contact Name:

\_\_\_\_\_

Telephone – Day:

\_\_\_\_\_

Mobile:

\_\_\_\_\_

Email:

\_\_\_\_\_

**Please read and sign the acceptance clause on Page 1 and return the whole document to us with your records.**