

Super transfer balance account report

Who should complete this report?

Super providers and life insurance companies should complete this report when:

- there is a transfer balance account reporting requirement
- further information is required to calculate a member's total super balance
- further information is required to determine a member's concessional contributions amount
- incorrect information has previously been reported to us.

The obligation to report is on:

- the trustee of the fund for a super fund, including self-managed super funds (SMSFs) or an approved deposit fund (ADF)
- the retirement savings account (RSA) provider for an RSA
- a director of the life insurance company for a life insurance company.

Instructions

Follow the Super transfer balance account report instructions for assistance when completing this report.

You must complete and lodge separate reports for each member. If you have more than four events to report for a member you must lodge separate reports. However, if you are reporting a child death benefit income stream or a child reversionary income stream you can only report one event per report.

To cancel or update information already reported to us, you must cancel the original report. Ensure the "Yes" box in Section B is clearly marked and lodge the report exactly the same as the original event. A new report can then be lodged with the correct information.

Completing this report

- Print clearly, using a BLACK pen only.
- Use BLOCK LETTERS and print one character per box.

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■ Place X in ALL applicable boxes.



Section A: Member details	
1 Tax file number (TFN)	
You don't have to provide the TFN to us. However, if you do, it will help us identify the men and process your report quickly. For more information on privacy, refer to ato.gov.au/priva	
2 Name	
Title: Mr Mrs Miss Ms Other Family name	
First given name Other given names	
3 Date of birth Day / Month / Year	
4 Current residential address	
Suburb/town	State/territory Postcode
Country if other than Australia	(Australia only) (Australia only)

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Se	ection D-1: Event one
0	Refer to the instructions for more information on how to complete this section. Only report one event in this section. You can report a second event in Section D-2.
11	Is the first event:
	A response to a commutation authority Go to question 12.
	An income stream that commenced prior to 1 July 2017 Go to question 13.
	An income stream that commenced on or after 1 July 2017 Go to question 13.
	A limited recourse borrowing arrangement repayment Go to question 13.
	A different transfer balance cap event Go to question 14.
	Additional information to calculate a member's total super balance or concessional contributions - Go to questions 15 and 16
Tra	ansfer balance cap event
12	Commutation authority
	An event that occurred in response to a commutation authority issued by the ATO.
	A commutation authority is a notice the Commissioner issues to a super income stream provider requiring the provider to commute an amount out of a specified super income stream.
	Event type: Commutation authority – commuted in full
	Commutation authority – commuted in part
	Commutation authority – deceased
	Commutation authority – deceased Commutation authority – defined benefit
	Go to Event details on the next page.
10	
13	Pre-existing or new income stream event or a limited recourse borrowing arrangement (LRBA) repayment A transfer balance cap event in relation to an income stream in existence just before 1 July 2017; a new income stream that commenced on or after 1 July 2017; or an LRBA repayment.
	If you select either child death benefit income stream or child reversionary income stream you must complete Section F and you can only report one event on this report. Refer to the instructions for more information.
	Event type:
	Super income stream
	Reversionary income stream
	LRBA repayment
	Child death benefit income stream
	Child reversionary income stream
4.4	Sthey transfer belongs can event
14	Other transfer balance cap event Any other transfer balance cap event.
	If your member has voluntarily requested that you commute an amount, select Member commutation event type. Do not use this event type if you are responding to a commutation authority from the ATO.
	Event type: Member commutation
	Income stream stops being in retirement phase
	Structured settlement – post 1 July 2017
	Go to Event details on the next page.

Other information 15 Total super balance Complete this question to provide information regarding the total super balance of a member. Refer to ato.gov.au/totalsuperbalance for more information on Total super balance. Do not use these event types if you are reporting about your member's transfer balance cap. Retirement phase value is used to calculate your member's total super balance and is only required from 30 June 2018. Event type: Retirement phase value (30 June 2018 only) Accumulation phase value 16 Concessional contributions Information regarding the notional taxed contributions of a member. Donly use this event type if you are reporting information for your member's notional taxed contributions. Event type: Uncapped notional taxed contributions (from 2017–18 financial year onwards) **Event details** You must complete Q17 and Q18 for each event reported with the exception of Commutation authority (deceased) and commutation authority - defined benefit. Refer to the instructions for more information on how to complete this section. **Effective date** 18 Value Use the special value for a capped defined benefit income stream \$ 19 If you are responding to a commutation authority, was the commutation paid directly to the member? (ie, paid out of the super system) Only complete this question if the Reporting event type is Commutation authority – commuted in full or Commutation authority - commuted in part. If unknown leave this question blank. No Yes Section E-1: Member account details Only certain event types require you to answer question 20. Refer to the instructions for more information on how to complete this question. 20 Member account type Account-based income stream Capped defined benefit income stream just before 1 July 2017 Market-linked capped defined benefit income stream just before 1 July 2017 Capped defined benefit income stream on or after 1 July 2017 21 Is the account closed? Yes No 22 Unique superannuation identifier (USI) If you don't have a USI leave this question blank Member account number Member client identifier (number) If you don't have a member client identifier leave this question blank

Se	ection D-2: Event two										
•	Refer to the instructions for more information on how to complete this section. Only report one event in this section. You can report a third event in Section D-3.										
11	Is the second event:										
	A response to a commutation authority Go to question 12.										
	An income stream that commenced prior to 1 July 2017 Go to question 13.										
	An income stream that commenced on or after 1 July 2017 Go to question 13.										
	A limited recourse borrowing arrangement repayment Go to question 13.										
	A different transfer balance cap event Go to question 14.										
	Additional information to calculate a member's total super balance or concessional contributions - Go to questions 15 and 16.										
Tra	ansfer balance cap event										
12	•										
	An event that occurred in response to a commutation authority issued by the ATO.										
	A commutation authority is a notice the Commissioner issues to a super income stream provider requiring the provider to commute an amount out of a specified super income stream.										
	Event type:										
	Commutation authority – commuted in full										
	Commutation authority – commuted in part										
	Commutation authority – deceased										
	Commutation authority – defined benefit										
	Go to Event details on the next page.										
13	Pre-existing or new income stream event or a limited recourse borrowing arrangement (LRBA) repayment										
	A transfer balance cap event in relation to an income stream in existence just before 1 July 2017; a new income stream that commenced on or after 1 July 2017; or an LRBA repayment.										
	Event type:										
	Super income stream										
	Reversionary income stream										
	LRBA repayment										
	Go to Event details on the next page.										
14	Other transfer balance cap event Any other transfer balance cap event.										
	If your member has voluntarily requested that you commute an amount, select Member commutation event type. Do not use this event type if you are responding to a commutation authority from the ATO.										
	Event type:										
	Member commutation										
	Income stream stops being in retirement phase										
	Structured settlement – post 1 July 2017										
	Go to Event details on the next page.										

Other information 15 Total super balance Complete this question to provide information regarding the total super balance of a member. Refer to ato.gov.au/totalsuperbalance for more information on Total super balance. Do not use these event types if you are reporting about your member's transfer balance cap. Retirement phase value is used to calculate your member's total super balance and is only required from 30 June 2018. Event type: Retirement phase value (30 June 2018 only) Accumulation phase value 16 Concessional contributions Information regarding the notional taxed contributions of a member. Donly use this event type if you are reporting information for your member's notional taxed contributions. Event type: Uncapped notional taxed contributions (from 2017–18 financial year onwards) **Event details** You must complete Q17 and Q18 for each event reported with the exception of Commutation authority (deceased) and commutation authority - defined benefit. Refer to the instructions for more information on how to complete this section. **Effective date** 18 Value Use the special value for a capped defined benefit income stream \$ 19 If you are responding to a commutation authority, was the commutation paid directly to the member? (ie, paid out of the super system) Only complete this question if the Reporting event type is Commutation authority – commuted in full or Commutation authority - commuted in part. If unknown leave this question blank. No Yes Section E-2: Member account details Only certain event types require you to answer question 20. Refer to the instructions for more information on how to complete this question. 20 Member account type Account-based income stream Capped defined benefit income stream just before 1 July 2017 Market-linked capped defined benefit income stream just before 1 July 2017 Capped defined benefit income stream on or after 1 July 2017 21 Is the account closed? Yes No 22 Unique superannuation identifier (USI) If you don't have a USI leave this question blank Member account number Member client identifier (number) If you don't have a member client identifier leave this question blank

Se	ection D-3: Event three
0	Refer to the instructions for more information on how to complete this section. Only report one event in this section. You can report a fourth event in Section D-4.
11	Is the third event:
	A response to a commutation authority Go to question 12.
	An income stream that commenced prior to 1 July 2017 Go to question 13.
	An income stream that commenced on or after 1 July 2017 Go to question 13.
	A limited recourse borrowing arrangement repayment Go to question 13.
	A different transfer balance cap event Go to question 14.
	Additional information to calculate a member's total super balance or concessional contributions - Go to questions 15 and 16
Tra	ansfer balance cap event
12	Commutation authority An event that occurred in response to a commutation authority issued by the ATO.
	A commutation authority is a notice the Commissioner issues to a super income stream provider requiring the provider to commute an amount out of a specified super income stream.
	Event type:
	Commutation authority – commuted in full
	Commutation authority – commuted in part
	Commutation authority – deceased
	Commutation authority – defined benefit
	Of to Event details on the next page.
13	Pre-existing or new income stream event or a limited recourse borrowing arrangement (LRBA) repayment A transfer balance cap event in relation to an income stream in existence just before 1 July 2017; a new income stream that commenced on or after 1 July 2017; or an LRBA repayment.
	Event type:
	Super income stream
	Reversionary income stream
	LRBA repayment
14	Other transfer balance cap event Other transfer balance cap event
	Any other transfer balance cap event.
	If your member has voluntarily requested that you commute an amount, select Member commutation event type. Do not use this event type if you are responding to a commutation authority from the ATO.
	Event type: Member commutation
	Income stream stops being in retirement phase
	Structured settlement – post 1 July 2017
	So to Event details on the next page.

Other information 15 Total super balance Complete this question to provide information regarding the total super balance of a member. Refer to ato.gov.au/totalsuperbalance for more information on Total super balance. Do not use these event types if you are reporting about your member's transfer balance cap. Retirement phase value is used to calculate your member's total super balance and is only required from 30 June 2018. Event type: Accumulation phase value Retirement phase value (30 June 2018 only) 16 Concessional contributions Information regarding the notional taxed contributions of a member. Donly use this event type if you are reporting information for your member's notional taxed contributions. Event type: Uncapped notional taxed contributions (from 2017–18 financial year onwards) **Event details** You must complete Q17 and Q18 for each event reported with the exception of Commutation authority (deceased) and commutation authority - defined benefit. Refer to the instructions for more information on how to complete this section. **Effective date** 18 Value Use the special value for a capped defined benefit income stream \$ 19 If you are responding to a commutation authority, was the commutation paid directly to the member? (ie, paid out of the super system) Only complete this question if the Reporting event type is Commutation authority – commuted in full or Commutation authority - commuted in part. If unknown leave this question blank. No Yes Section E-3: Member account details Only certain event types require you to answer question 20. Refer to the instructions for more information on how to complete this question. 20 Member account type Account-based income stream Capped defined benefit income stream just before 1 July 2017 Market-linked capped defined benefit income stream just before 1 July 2017 Capped defined benefit income stream on or after 1 July 2017 21 Is the account closed? No Yes 22 Unique superannuation identifier (USI) If you don't have a USI leave this question blank Member account number Member client identifier (number) If you don't have a member client identifier leave this question blank

Se	ection D-4: Event four
0	Refer to the instructions for more information on how to complete this section. Only report one event in this section.
	In the describe accords
11	A response to a commutation authority Go to question 12.
	An income stream that commenced prior to 1 July 2017 Go to question 13.
	An income stream that commenced on or after 1 July 2017 Go to question 13.
	- <u> </u>
	A different transfer balance cap event Go to question 14.
	Additional information to calculate a member's total super balance or concessional contributions - Go to questions 15 and 16
Tra	ansfer balance cap event
12	Commutation authority
	An event that occurred in response to a commutation authority issued by the ATO.
	A commutation authority is a notice the Commissioner issues to a super income stream provider requiring the provider to commute an amount out of a specified super income stream.
	Event type:
	Commutation authority – commuted in full
	Commutation authority – commuted in part
	Commutation authority – deceased
	Commutation authority – defined benefit
	Go to Event details on the next page.
13	Pre-existing or new income stream event or a limited recourse borrowing arrangement (LRBA) repayment A transfer balance cap event in relation to an income stream in existence just before 1 July 2017; a new income stream that commenced on or after 1 July 2017; or an LRBA repayment.
	Event type:
	Super income stream
	Reversionary income stream
	LRBA repayment
	So to Event details on the next page.
14	Other transfer balance cap event Any other transfer balance cap event.
	If your member has voluntarily requested that you commute an amount, select Member commutation event type. Do not use this event type if you are responding to a commutation authority from the ATO.
	Event type:
	Member commutation
	Income stream stops being in retirement phase
	Structured settlement – post 1 July 2017
	On to Event details on the next page.

Ot	her information										
15	Total super balance										
	Complete this question to provide information regarding the total super balance of a member. Refer to ato.gov.au/totalsuperbalance for more information on Total super balance.										
	① Do not use these event types if you are reporting about your member's transfer balance cap. Retirement phase value is used to calculate your member's total super balance and is only required from 30 June 2018.										
	Event type: Accumulation phase value Retirement phase value (30 June 2018 only)										
16	Concessional contributions Information regarding the notional taxed contributions of a member.										
	① Only use this event type if you are reporting information for your member's notional taxed contributions.										
	Event type: Uncapped notional taxed contributions (from 2017–18 financial year onwards)										
Ev	ent details										
0	You must complete Q17 and Q18 for each event reported with the exception of Commutation authority (deceased) and commutation authority – defined benefit. Refer to the instructions for more information on how to complete this section.										
17	Effective date Day Month Year Year										
18	Value										
	Use the special value for a capped defined benefit income stream \$										
19	If you are responding to a commutation authority, was the commutation paid directly to the member? (ie, paid out of the super system)										
	Only complete this question if the Reporting event type is Commutation authority – commuted in full or Commutation authority – commuted in part.										
	If unknown leave this question blank.										
	No Yes										
Se	ection E-4: Member account details										
0	Only certain event types require you to answer question 20. Refer to the instructions for more information on how to complete this question.										
20	Member account type										
	Account-based income stream										
	Capped defined benefit income stream just before 1 July 2017										
	Market-linked capped defined benefit income stream just before 1 July 2017										
04	Capped defined benefit income stream on or after 1 July 2017										
21	Is the account closed?										
22	No Yes Unique superannuation identifier (USI)										
	If you don't have a USI leave this question blank										
23	Member account number										
24	Member client identifier (number) If you don't have a member client identifier leave this question blank										
	a year as it that a mornisor of or it last failed located it is question blank										

Secti	OHF. Third party details
0	You only need to complete Section F if the <i>Reporting event type</i> is Child death benefit income stream or Child reversionary income stream . Otherwise leave Section F blank. You must complete this section with the deceased person's details.
25 Tax	c file number (TFN)
0	You don't have to provide the TFN to us. However, if you do, it will help us identify the third party correctly and process your report quickly. For more information on privacy, refer to ato.gov.au/privacy
26 Na Family nar	
First given	name Other given names
27 Da	te of birth Day / Month / Year

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Section G: Declarations
Complete the declaration that applies to you. Print your full name then sign and date the declaration.
Before you sign the declaration, check that you have provided true and correct information. Penalties may be imposed for giving false or misleading information.
Trustee, director or authorised officer declaration Complete this declaration if you are the trustee, director or authorised officer of the super provider. I declare that the information contained in the statement is true and correct. Name
Business hours phone number (include area code)
Trustee, director or authorised officer signature
Date Day Month Year
OR
Authorised representative declaration Complete this declaration if you are an authorised representative of the super provider or life insurance company. I declare that: I have prepared the statement with the information supplied by the super provider or life insurance company I have received a declaration made by the super provider or life insurance company that the information provided to me for the preparation of this statement is true and correct I am authorised by the super provider or life insurance company to give the information in the statement to the ATO.
Name Control Control
Business hours phone number (include area code)

Lodging this report

Authorised representative signature

Do not remove any pages when lodging your report, all pages must be returned for the form to be accepted.

You can lodge this form via:

- Tax Agent Portal as a PDF
- Business Portal as a PDF if you are a Business Portal User
- Post

Lodging through the Tax Agent Portal or Business Portal means you will receive an instant receipt.

If you are lodging by post, use the postal address below:

Australian Taxation Office PO BOX 3578 ALBURY NSW 2640