

**Dealer Relations** 

# **Electronic Processing Agreement (EPA) Transaction Guide**

### **The Benefits of EPA**

#### Being EPA eligible minimizes processing time and reduces errors



No Settlement Documents A number of common transactions can be completed without providing settlement documents



**Electronic Trade Submission** Trades can be submitted electronically for eligible client name accounts



**Document Required Indicator** 

Indicator has been added on order responses to immediately notify if documents are required

## **Document-Free Transactions**

Below you will find a list of transactions which **DO NOT** require settlement docments. Note: Applicable to mutual funds and HISA products only.



## Redemptions

#### Eligible account types:

- OPEN (including Corporate, Individual, Joint, and ITF)
- RRSP
- TFSA
- RRIF
- FHSA
- GRSP

No longer a dollar threshold, any amount is eligible



## **Purchases**

#### Eligible account types:

- OPEN (including Individual, Joint, and ITF)
- RRSP
- TFSA
- FHSA



## **Switches**

#### Eligible account types:

All account types are eligible for switches



Transfers (External, Internal, In-Cash)

#### Eligible account types:

A selected number of account types are eligible for transfers, more detailed information can be found **here** 



#### **Account Set-ups**

#### **Eligible account types:**

New account set-up for all account types **except** pension plans, RESP, RDSP



## **Error Corrections**

#### Eligible account types:

- OPEN (including Individual, Joint, and ITF)
- RRSP
- TFSA
- RRIF - FHSA
- FHSA



## Non-Financial Updates

#### Eligible account types:

All account types are eligible for non-financial updates

Please note that documents should **NOT** be submitted to manufacturers for eligible instructions. Mackenzie will not review documents submitted for eligible trades.

Additional EPA information from Fundserv: EPA product sheet, eligible EPA transactions and EPA participants can be found **here**.



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