Atlantis Fee Calculation Troubleshooting

FIATECH

Fee Calc Failure Reason	Steps to Resolution	Owner
Agreement issues		
No Agreement Found No agreement was found based on the combination of matching criteria: • Trade Date • Clearing Account • Clearing Broker • Executing Broker	Determine if there is an agreement that trades should be matching against based on the parties to the trade. If an agreement exists, • Check agreement effective dates to ensure that the trade occurred within the effective period of the agreement. • Check if the clearing account on the trade appears on the agreement. If the clearing account is missing from the agreement, **In Docs,** • Clearing Broker can add the Clearing Account to the agreement. **In Atlantis,** • Clearing Broker or Executing Broker can associate the Clearing Account to an agreement. If there is no agreement available in Docs, work with all parties to the trade to raise a give-up agreement.	Clearing Broker / Executing Broker / Client
Trade Date Outside Clearing Account Effective Dates • Agreement found in Docs • Clearing account found on agreement • BUT Trade Date is outside the bounds of the Clearing Account's Effective Date range on the agreement	**In Docs,** • Amend the effective date and expiration date of a clearing account on an agreement • Clearing broker can do so on an executed agreement without initiating a new agreement version on standard agreements. • Ensure that the clearing account(s) effective dates cover the trade date in order for the agreement to match and price on Atlantis	Clearing Broker

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Rate schedule issues		
Agreement Missing Rate Schedule With Waiver (or Rate Schedule Contains No Rate Lines) • Agreement found in Docs • Clearing account found on agreement • BUT does not contain a rate schedule / contains PDF rate schedule, and was executed on or after April 4, 2016 (deadline for mandatory eRates in Docs) **Agreement Missing Rate Schedule Without Waiver** • Agreement found in Docs • Clearing account found on agreement • BUT does not contain a rate schedule / contains PDF rate schedule, and was executed before April 4, 2016 (deadline for mandatory eRates in Docs)	**In Docs,** If agreement does not have a rate schedule, • Work with all parties to the trade to raise a following version of agreement with an eRates schedule attached. • Ensure that the new agreement's effective dates cover the trade date in order for the new agreement to match and price If agreement has only a PDF rate schedule, • Work with all parties to the trade to raise a following version of agreement with an eRates schedule attached. • Ensure that the new agreement's effective dates cover the trade date in order for the new agreement to match and price **In Atlantis,** • Amend the Adjusted Fee Amount/Rate/Agreement ID and affirm the trade.	Executing Broker
Rate Schedule Missing Exchange Rate Lines • Agreement found in Docs • Clearing account found on agreement • Rate schedule found • BUT rate schedule contains no rate lines matching the exchange on the trade	**In Docs,** Amend or version agreement to update rate schedule and create exchange product / product group rate lines. • Ensure that the new agreement's effective dates cover the trade date in order for the new agreement to match and price.	Executing Broker

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Rate Schedule Missing Product Rate Lines • Agreement found in Docs • Clearing account found on agreement • Rate schedule found • Rate lines for exchange found • BUT rate schedule contains no rate lines matching the product on trade	**In Docs,** Amend or version agreement to update rate schedule and create exchange product / product group rate lines. • Ensure that the new agreement's effective dates cover the trade date in order for the new agreement to match and price. **In Atlantis,** If the product or product group appears on the rate schedule, inform FIA Tech of breaking Product and/or Product Group mappings.	Executing Broker
Rate line issues		
Multiple Agreements Found With Different Rates • Multiple agreements found • Clearing account found on multiple agreements • Multiple rate schedules found • BUT matched rate lines generate different fee amounts	**In Docs,** Add Executing Account to agreement(s) where possible to create match on both executing and clearing accounts on the trade. **In Atlantis,** Amend the Adjusted Agreement Column with the correct Agreement ID.	Executing Broker
Rate Type Not Supported • Agreement found • Clearing account found on agreement • Rate schedule found • Rate lines found • BUT matched with a rate type that is not supported by Atlantis: Click here to learn more about supported rate types in Atlantis	**In Atlantis,** • Amend the Adjusted Fee Amount with the proper fee amount based on desired rate type and then reference the calculation method in the Receiver Comment column.	Executing Broker
Participant reference data issues		
Clearing Participant Not Linked To Agreement Party Clearing Broker participant was found, but does not have any linked Docs party	**In Atlantis,** FIA Tech to resolve by linking Docs Party to Atlantis Participant, based on Clearing Broker input.	FIA Tech / Clearing Broker / Executing Broker

Atlantis Fee Calculation Troubleshooting

Fee Calc Failure Reason	Steps to Resolution	Owner
Executing Participant Not Linked To Agreement Party Executing Broker participant was found, but does not have any linked Docs parties	**In Atlantis,** FIA Tech to resolve by linking Docs Party to Atlantis Participant, based on Executing Broker input.	FIA Tech / Clearing Broker / Executing Broker
Multiple Payer Participants Linked To Agreement Party Calculated a fee, but Payer, based on Bill To Customer/Trader Party of the agreement, is linked to multiple Atlantis participants	**In Atlantis,** FIA Tech to resolve by correcting linkage of Docs Party to Atlantis Participant, based on Clearing Broker / Executing Broker input.	FIA Tech / Clearing Broker / Executing Broker

Atlantis Fee Calculation Troubleshooting

FIATECH

Fee Calc Failure Reason	Steps to Resolution	Owner
Trade fee issues		
Trade Missing Clearing Participant Trade, as received from the source, is missing Clearing Broker information	**In Atlantis,** FIA Tech to resolve with Trade Source (Exchange or Clearing Broker).	FIA Tech / Trade Source (Exchange or Clearing Broker)
Trade Missing Executing Participant Trade, as received from the source, is missing Executing Broker information	**In Atlantis,** FIA Tech to resolve with Trade Source (Exchange or Clearing Broker).	FIA Tech / Trade Source (Exchange or Clearing Broker)
Trade Missing Clearing Account Trade, as received from the source, is missing Clearing Account information	**In Atlantis,** FIA Tech to resolve with Trade Source (Exchange or Clearing Broker).	FIA Tech / Trade Source (Exchange or Clearing Broker)