2002

Bankruptcy Electronic Case Filing Workshop

Office of Continuing Legal Education at the University of Kentucky College of Law

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BANKRUPTCY ELECTRONIC CASE FILING WORKSHOP

C.M./E.C.F.

(CASE MANAGEMENT/ELECTRONIC CASE FILING)

In Cooperation With the U.S. Bankruptcy Court, E.D. of Kentucky
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# BANKRUPTCY ELECTRONIC CASE FILING WORKSHOP

**C.M. / E.C.F.**  
(Case Management / Electronic Case Filing)

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CM and ECF GLOSSARY

Adobe Acrobat

Application used almost universally to create and view "PDF" documents. "Adobe" created the "PDF" format.

Attachment

An additional supporting document filed electronically with a pleading. Proposed orders can be attachments to motions and applications.

Automatic E-mail Notification

A CM/ECF feature that permits any user to receive notification of the filing of a case or document via e-mail. Users can choose to receive separate notifications throughout the day or an end-of-day summary.

Browse

Navigating through directories via a mouse to select a specific file.

Browser

A browser is a software program, which provides a user-friendly interface allowing a user to access information and services available on the Internet. The browser programs interpret Hypertext Markup Language (HTML) documents delivered from WEB servers. Netscape Navigator and Internet Explorer are the two most popular WEB browsers. Only Netscape Navigator is guaranteed to work with CM/ECF.

Category

In CM/ECF, a category is a classification of similar document types. Category selections appear as hypertext links under the Bankruptcy and Adversary menu selections.

CBT

A CBT (computer-based training) is an on-line learning application accessed over a local area network (LAN) or from a CD. When a CBT is accessed over the Web, it is referred to as web-based training or a WBT.
Check Box

A control object a user can click to include choices from a list. Check boxes are designed so that you can choose one or more items from a list.

CM/ECF

Case Management/Electronic Case Filing is the Administrative Office's new application that will revolutionize the way we do business, completely replacing BANCAP and NIBS with "next generation" case management capabilities. With CM/ECF, attorneys can file cases and documents electronically via the Internet.

Default

A Default is a common suggested value displayed by CM/ECF on a screen. Like BANCAP, many fields in CM/ECF have common values suggested. If correct, you may accept them; if incorrect, you type over them.

Document Type

In CM/ECF, Document Type describes a specific filing or event within a case, which behaves uniquely from other document types.

Drop Down Box

A window listing selections of data alphabetically in a text box. They are used throughout CM/ECF for making selections. When you see the selection you want to make, click to highlight it. To make multiple selections, hold your control key down when making the second (third, etc.) selection.

Hypertext (HTML) Link

A hypertext link is a URL imbedded in document. It is usually underlined. It permits the user to move from one area (or topic) to another in a Web based program.

MR

An MR, or software modification request, is the formal method used in the courts by users to ask for changes in the program. Changes can be either enhancements or the discovery of a functional program error. MRs are submitted via the Intranet at the TTSD website, http://156.132.84.151/mrdb/.

Notice of Bankruptcy Case Filing

A CM/ECF document that is generated at case opening with all the substantive
information of the case. The Entry Date appears on the local court seal displayed on this formal notice. When an attorney submits the petition, both the date and the time of filing appear. This official document can be used to enforce collection and foreclosure activities of creditors.

Notice of Electronic Filing

An electronic document produced by CM/ECF, which certifies filing of all documents and claims with the U.S. Bankruptcy Court. All parties requesting electronic notification can be sent this certification via electronic mail.

PDF Document

A "Portable Document Formatted" document is a type of imaged document created by Adobe Acrobat. To be filed in CM/ECF, all documents must be in "PDF" format with the exception of the creditor list (matrix) which must be uploaded in a text (.txt) format.

Radio Button

A round selection button used to choose items from a list. Radio buttons are designed so that you can chose only one item.

URL

URL is short for Universal Resource Locator. URLs are the naming scheme used to find Web pages. An URL is similar to a street address. The URL for the US Bankruptcy Court for the Eastern District of Kentucky is http://www.kyeb.uscourts.gov.
The creation of Portable Document Format (PDF) documents is essential for the electronic filing component of CM/ECF; it is the only format that the application accepts. The CM/ECF project team has evaluated various options for creating PDF documents; findings and guidelines are presented below.

**Background**

There are two primary methods for creating PDF documents: formatting text documents into PDF at the time of creation or scanning imaged documents from paper into PDF. The former method offers at least four significant advantages over the latter.

*Reduced Labor:* Imaging is a labor-intensive task and if documents must be imaged, either the attorney or the court will have to provide that labor. Courts should strive to limit the amount of imaging done by court staff.

*Improved System Performance:* Text documents are much smaller than imaged documents. For a typical document, its PDF text version would be only 20% of the size of its imaged version. Therefore, whenever an imaged document is stored or viewed, it puts five times more load on the network than it would as a text document. It also take five times as long to transfer. That extra transfer time is particularly noticeable when the user is working over the DCN or the Internet.

*Reduced System Storage Cost:* An imaged document consumes about five times more storage space than it would as a text file.

*Text Search Capability:* Text documents can be searched for words and phrases (as is done in Westlaw or Lexis). Imaged documents cannot be searched without first performing an extra step called optical character recognition (OCR). OCR is labor-intensive and does not yield 100% accuracy.

Creating a fully electronic case file is a worthy goal, and to do that some imaging is necessary. However, it might not be possible to convert some exhibits and other documents into an electronic format. For others, it might be possible but not economic. Courts need to develop their own policy regarding the handling of non-electronic documents, and in doing so, consider the cost versus the benefit of having court staff scan particular types of documents. For example, if a document is not likely to be viewed, or will be very seldom viewed, there may be little benefit to offset the cost of scanning it.
Creating PDF documents from a word processing package

The optimal method for creating a PDF document for filing in CM/ECF is a simple method: create it directly from a word processing application using Adobe Acrobat's PDFWriter. PDF files created in this way have two advantages: they are much smaller in size than documents that have been scanned and they are text-searchable by court users. The CM/ECF project team recommends this method for creating a PDF file from a word processing application. (Similar commercial PDF products such as "activePDF" are under review, but are not yet recommended.)

Adobe Acrobat

The price of Adobe Acrobat is approximately $250; the attorney discount has been discontinued. However, for law firms and courts that need to purchase more than 10 copies, Adobe provides a volume discount; see the http://www.adobe.com/store/openoptions/main.html web site for more information. Each court is given $500 for the purchase of Adobe Acrobat; the procurement of a judiciary-wide enterprise license is under consideration. Although the price of this package has risen somewhat, the CM/ECF team continues to recommend it as the best and most efficient way to create a PDF file.

PDFWriter

PDFWriter is part of the Adobe Acrobat package. The CM/ECF project team recommends this tool for use in creating a PDF document from a word processing application because it:

- creates a file that is smaller in size than a scanned document
- creates a file that is text searchable
- converts the document more quickly than Distiller (see below)

To ensure that the formatting and appearance of the document remain the same when viewed through the word processor and when viewed or printed through the PDF reader, the printer (File/Print menu) must be set to "Acrobat PDFWriter" before beginning to compose or edit the document. If a document is initially prepared with some other printer specified, the ultimate conversion to PDF is very likely to introduce changes in pagination, fonts, spacing, or other formatting elements, requiring further proofreading and further editing. Once the document is saved as a PDF file, always print from the PDF reader (rather than from the word processor) to be sure that the printed copy matches the court's official copy.

If Acrobat PDFWriter is set as the default printer, no other steps should be needed. If some other printer is set as the default, Acrobat PDFWriter must be selected as the current printer immediately after opening the word processing application (or immediately after choosing to
create a new document). In WordPerfect, each time the document is opened for editing before the final version is ready for filing, the printer should be set again to Acrobat PDFWriter. In Word, Acrobat PDFWriter is retained as the printer until the Word application is closed; if just the document has been closed and then reopened, the printer will still be set to Acrobat PDFWriter.

The latest version, 5.0, has been tested by the CM/ECF project team; there is no difference between this and Adobe versions 3.0 and 4.0 in either docketing the PDF documents into the application or in accessing the documents from the application. Also, documents created in the 5.0 version can be accessed by earlier versions of Adobe Reader. The CM/ECF project team also tested the integrity of 32 fonts when converted from either WordPerfect version 8 or Word 97 into PDF using Adobe Acrobat 5.0 PDFWriter. The tests showed that while characteristics of some fonts were lost in the conversion, every font conversion produced legible results. Courts may want to notify users about these fonts. The details of the tests appear in Appendix B to this document.

Distiller

This tool can also be used to create a PDF document but it is not recommended unless there is a need for embedded images in the document because there are a couple of drawbacks to using this tool:

- it creates a file significantly larger than that created by PDFWriter
- it takes significantly longer for the file to be created

Note that the default installation of Adobe Acrobat 5.0 includes the installation of Distiller but not PDFWriter. To load PDFWriter, you must choose the “custom” installation. (This procedure is different from the installations of Adobe 3.0 and 4.0, which included PDFWriter in the default installation.)

WordPerfect

Although WordPerfect versions 9 and 10 offer a feature (“Publish-to-PDF”) that allows a document to be converted directly into PDF format, it is not recommended; the file created in this way is unnecessarily large.

Testing by the CM/ECF project team shows that an eight page document converted to PDF with WordPerfect 9.0’s Publish-to-PDF feature is three times larger in size than the same document converted with Acrobat PDFWriter. When a one page document with an image embedded in it (a small agency seal) is converted, the difference in size is much greater; the PDF file created by WordPerfect is nearly 100 times larger than the file created with
PDFWriter. This difference in size can be lessened by changing the bitmap compression setting from the default of ZIP to JPEG (through the Details tab) and the quality factor from 2 (the highest quality) to 255 (the lowest quality). However, even with the quality set to 255, the file is still three times greater and with the quality set to 2, the file is 11 times greater. These tests were done with the Advanced Output setting set to the default of RGB; changing this setting to gray does not significantly change the size of the file. The quality of the seal is better at the highest quality setting (and better than the quality of the seal created through PDFWriter).

Preliminary testing of this feature in WordPerfect 10 shows that improvements have been made in the size of the file created. However, compared to the file created by PDFWriter, the WordPerfect-created PDF file is still nearly three times greater for a plain text file and eight times greater for a file with an image embedded in it. The size of the imaged file can be diminished to about four times greater by changing settings.

**Microsoft Word**

Microsoft Word 97, Word 2000, and Word 2002 do not currently provide a PDF converter and the Product Guide for Microsoft Office XP makes no reference to it. There is, however, a macro installed with Adobe Acrobat (beginning with the 3.01 version) called PDFMaker that provides enhanced features for creating PDF files from Word. It is installed by Acrobat in the Microsoft Office/Office/Startup folder and is accessed through the File/Create Adobe PDF menu item or through an Adobe icon on the toolbar. It uses Acrobat PDFWriter or Distiller and converts Word features such as headings to PDF bookmarks, URLs to PDF Weblinks, cross-references within a document to PDF links, etc. A full list of these features can be found at the www.adobe.com web site (search for PDFMaker) or for users that have already installed Adobe Acrobat, a help file can be found in the Program Files/Adobe/Acrobatx.O/Help/ENU folder. (Adobe Acrobat 4.0 users who wish to use PDFMaker with Word 2000 must upgrade [this is a free upgrade from Adobe] to Acrobat 4.05; the PDFMaker that shipped with Acrobat 4.0 does not work with Word 2000.) PDFMaker is not available for the Macintosh operating system.

The PDF files created in Word using the File/Print to Acrobat PDFWriter method and the File/Create Adobe PDF (the PDFMaker macro) method are nearly identical in size. There do not appear to be any differences in the quality of the PDF files produced, but it has not been fully tested by the CM/ECF project team. The advantage of the PDFMaker macro is the additional conversion features that it provides for Word documents. If these particular Word features are not used, the File/Print to Acrobat PDFWriter method is adequate.
Creating PDF documents from a scanning system

For those documents that must be imaged because a word-processed version does not exist, the preferred method is to scan the document directly into PDF format using Adobe Acrobat (both 4.0 and 5.0 provide this feature). (From the File menu, choose Import/Scan.) Scanning to a format other than PDF (e.g., TIFF) would add both delay and labor, requiring not only the scan but then a conversion to PDF.

Factors to consider when scanning

There are several factors to consider when determining how the scanning will be done.

- The quality of the document when scanned is determined by the level of detail recorded by the scanner. This detail is referred to as the resolution, which is measured by the dots per inch (dpi). A higher resolution:
  - is slower to scan (this is dependent also on the scanner and the number of pages that are scanned).
  - creates a document with a larger file size. This, in turn, causes the loading of the document into the case management application and the retrieval of the document from the application, to be slower.

There is a trade-off between the resolution, the speed at which the document is scanned, and the file size of the scanned document. For example, using a Ricoh IS-430 scanner (rated at 30-45 pages per minute), a 100 page document scanned at 300 dpi produces a file of 6.97 MB and takes 3 minutes and 51 seconds to scan. The same document, scanned at 150 dpi produces a file of 3.67 MB and takes 2 minutes, 15 seconds to scan.

It is therefore important to find a resolution that will provide a high quality document, with a file size that does not hamper the length of time it takes to scan, load, and retrieve the document. Of those surveyed, most courts that scan recommend a resolution between 200-300 dpi. The CM/ECF project team recommends 200 dpi resolution.

- Another factor to consider is the mode of scanning. Almost always, it should be done in black and white, so that the file size will be as small as possible. However, there are some documents (those with shaded boxes, for example) that may need grayscale instead; this, however, will produce a file that is much larger in size than the document scanned in black and white. Never scan in color, unless absolutely necessary (perhaps for exhibits originally produced in color). This, too, will produce a document with an extremely large file size, which will take longer to load into the application and longer to retrieve for viewing purposes.
Limits on size

Because of the staff time, disk space, and long retrieval time consumed by large documents, some courts (including non-CM/ECF courts) have set limits on either the number of pages that will be accepted electronically or the file size that will be accepted. These limits range from 25 to 150 pages, and from 1.5 to 3 MB; if a document exceeds the limit, the policy is either to break the document into separate, smaller documents or to file and maintain the document in paper form with the court. Often when this latter method is chosen, a one page PDF document is filed as a “placeholder” for the larger document, directing the reader to the location of the whole document (e.g., the reader must come to the courthouse to see the document). While this method leads to a mix of paper and electronic files in some cases, the practical costs of scanning voluminous documents makes a pure electronic case file impractical in these cases. The CM/ECF project team has contacted the judiciary’s records management staff regarding the long-term implications of mixed paper and electronic cases for archiving and storage purposes. Their guidance is expected soon and will be provided to the CM/ECF courts when it is published.

The CM/ECF project team is in the process of developing a new program that will allow each court to determine the maximum size for a PDF file that is loaded into the court’s application; the project team recommends 1.5 or 2 MB. When a user attempts to load a file larger than this, the court will have the option of either allowing the user to continue or forcing the user to stop. (The court will also create its own message informing the user of the action that (s)he must take.) This new program will be distributed to all current CM/ECF courts in an Emergency Modification Request (EMR) release when it is completed and will be included in the application software for new courts.

Another method for handling large scanned documents is to scan only the relevant portions. Model local rules for electronic case filing regarding the issue of scanning large documents for both district and bankruptcy courts have been developed by the Judicial Conference Committee on Court Administration and Case Management’s (CACM) Subcommittee on Electronic Filing Rules. The subcommittee’s proposal, which has been approved by CACM, but not yet by the Judicial Conference, addresses the issue in its Rule 5, Attachments and Exhibits. Adapted from the Southern District of New York bankruptcy procedures, it states in part, that “A Filing User must submit as exhibits or attachments only those excerpts of the referenced documents that are directly germane to the matter under consideration by the court.” Commentary number 2 on this rule notes that

It is often the case that only a small portion of a much larger document is relevant to the matter before the court. In such cases, scanning the entire document imposes an inappropriate burden on both the litigants and the courts. To alleviate some of this inconvenience, the Model Rule provides
that a Filing User must submit as the exhibit only the relevant excerpts of a larger document. The responding party then has a right to submit other excerpts of the same document under the principle of completeness.

OCR, Adobe Capture, and Kofax Ascent Capture

A document that has been scanned using an OCR feature will be text-searchable, unlike the pure image file. However, the drawback to creating a document through the OCR process is that it is generally only about 95% - 97% accurate. Different packages claim different accuracy rates, but no package claims 100% accuracy. Even a 3% error rate can add up to a fair number of errors, depending on the size of the document, and fixing each error can substantially increase the amount of time needed to prepare the documents for loading into the application.

Adobe has a package called Capture that allows conversion of scanned pages to PDF files that are text searchable, using an OCR process. However, as with all documents produced through OCR, correcting the errors slows the process. It does, however, create a PDF file that is substantially smaller in size than the scanned document (estimated at 1/16 the size of the scanned file).

The Washington Western bankruptcy court has developed a batch scanning system using Kofax Ascent Capture, software that scans a document into TIFF format (this package does not scan directly into PDF), automatically converts the TIFF file to PDF (or TXT if the file is a creditor matrix), and stores the file on a network (one license of this software is required for each scanner on which it is used). The court also purchased professional services (including the source code) to create a scanning turnkey solution (which includes barcode technology [the barcode is used to separate the batches] and creditor matrix viewer). For more information about this system, contact Tim AhYat at 206-553-7545.

Converting scanned documents from existing imaging system to PDF

For the ICMS and NIBS courts that are currently using an imaging system that creates documents in TIFF, there is a freeware program available called c42pdf.exe that will convert these files into PDF. (After the conversion, the new PDF file is virtually the same size as the original TIFF file.) This program has been successfully used by the California Southern bankruptcy court to convert its imaged documents (contact Russ Reynolds at 619-557-6213 for more information about how it is used). The program can be downloaded from the www.pdfzone.com or www.activepdf.com web sites, along with the source code and instructions. The converted files can then be loaded into the CM/ECF application when the data in the legacy applications is converted to CM/ECF.

Adobe Capture can also be used to convert TIFF files to PDF files.
Webinator

In order to be able to search for particular words in the PDF documents that were created to be text-searchable, CM/ECF uses a program called Webinator, which is installed on the local server. It is typically placed on the Utilities menu and available only to court users. (It is available only to court users because it runs directly on the inside/DCN-accessible server, to which the attorneys do not have access.)

Border Manager (and other proxy servers)

Border Manager is a Novell package that allows courts to manage user access to both an Intranet and the Internet. While investigating a reported problem with performance that was thought initially to be related to imaging practices, it was discovered that a proxy server had dramatically slowed the system performance. The problem was eliminated by creating a script to route the local CM/ECF traffic so that it bypasses the proxy server. (There is no benefit in routing CM/ECF traffic through the proxy server.) This script is enabled in Netscape through the “Automatic proxy configuration” setting in Preferences/Advanced/Proxies or in Internet Explorer, through the “Automatic configuration script” setting. It can be found on the CM/ECF Application Product Pages maintained by the Systems Deployment and Support Division in San Antonio.
Appendix A

The following is a list of scanners that are currently being used by CM/ECF courts.

<table>
<thead>
<tr>
<th>Scanner model and speed</th>
<th>Court</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Clerk's office:</strong> Fujitsu 3097, 40 pages/minute (PPM) ($4635); Fujitsu 4097 ($4,728)</td>
<td>OH-N District</td>
</tr>
<tr>
<td><strong>Chambers:</strong> HP ScanJet 6350, a few pages/minute ($499)</td>
<td></td>
</tr>
<tr>
<td><strong>Clerk's office:</strong> Fujitsu 3097, 40 PPM ($4635); Fujitsu 4097 ($4,728)</td>
<td>DC District</td>
</tr>
<tr>
<td><strong>Chambers:</strong> HP ScanJet 6350, a few pages/minute ($499)</td>
<td></td>
</tr>
<tr>
<td>Fujitsu M4097D, 50 PPM simplex and 90 PPM duplex</td>
<td>MI-W District</td>
</tr>
<tr>
<td>Large format scanner: Bell&amp;Howell 8125D, 125 PPM duplex</td>
<td>NY-E District</td>
</tr>
<tr>
<td>Medium format scanner: Kodak 1500/2500, 60 PPM</td>
<td></td>
</tr>
<tr>
<td>Smaller scanners: Visioneer Strobe Pro, 2 PPM</td>
<td></td>
</tr>
<tr>
<td>HP Network ScanJet5, 15-20 PPM</td>
<td>OR District</td>
</tr>
<tr>
<td>Ricoh, model IS-430 with SCSI interface and ADF, 30-45 PPM</td>
<td>VA-E Bankruptcy</td>
</tr>
<tr>
<td>Fujitsu 93GX, 25 PPM</td>
<td>CA-S Bankruptcy</td>
</tr>
<tr>
<td>Desktop: 3091D with 30 page ADF, 15 PPM (government price is approximately $700)</td>
<td>VT Bankruptcy</td>
</tr>
<tr>
<td>High capacity scanners: Ricoh IS420, 33 PPM and Ricoh IS450D, 66 PPM; both with 100 page ADF</td>
<td></td>
</tr>
<tr>
<td>Fujitsu 4097D, M4097G, M3097DG, 25-50 PPM</td>
<td>NC-W Bankruptcy</td>
</tr>
<tr>
<td>Canon DR-5020</td>
<td>DE Bankruptcy</td>
</tr>
<tr>
<td>Large scanning jobs: three Ricoh IS450DE, with multi-page feeders, 57 PPM</td>
<td>AZ Bankruptcy</td>
</tr>
<tr>
<td>Intake clerks and case administrators: Visioneer Paperport</td>
<td></td>
</tr>
<tr>
<td>Strobe Pro, single-sheet feeder, 15 PPM</td>
<td></td>
</tr>
<tr>
<td>Ricoh 420, 38 PPM and Ricoh 450DE, 57 PPM</td>
<td>GA-N Bankruptcy</td>
</tr>
<tr>
<td>Panasonic KV-SS55EX, 40 PM; Panasonic S2055, 50 PPM; flatbed HP Scanjets for miscellaneous documents</td>
<td>NY-S Bankruptcy</td>
</tr>
</tbody>
</table>

CM/ECF - Creating PDF Documents  Page 9  August 21, 2001
<table>
<thead>
<tr>
<th>Device Description</th>
<th>Model/PPM</th>
</tr>
</thead>
<tbody>
<tr>
<td>Visioneer One Touch 8650 desktop</td>
<td>4 PPM</td>
</tr>
<tr>
<td>HP Scanjet V Si group network</td>
<td>15 PPM</td>
</tr>
<tr>
<td>HP 9100C Digital Sender network</td>
<td>15 PPM</td>
</tr>
<tr>
<td>Fujitsu 3750 workstation</td>
<td>37 PPM</td>
</tr>
<tr>
<td>Savin 9945 multi-use copier network</td>
<td>80 PPM</td>
</tr>
<tr>
<td>Canon DR5020, 80-90 PPM, 500 page paper tray ($5600)</td>
<td>WA-W Bankruptcy</td>
</tr>
</tbody>
</table>

TX-W Bankruptcy
Appendix B

Adobe Acrobat 5.0 was tested for its ability to maintain font integrity through conversions to PDF of documents created in WordPerfect version 8 and Microsoft Word 97. All of the 32 fonts tested were done with a 12 point size. The results show that while characteristics of some fonts were lost in the conversion (e.g., appeared smaller), every font conversion produced legible results and none produced a problem with either character spacing or character overlap (superimposition).

### Fonts that maintained integrity in the conversion from WordPerfect 8 to PDF

<table>
<thead>
<tr>
<th>Font Name</th>
<th>Font Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Albertus Extra Bold</td>
<td>Courier New</td>
</tr>
<tr>
<td>Albertus Medium Bold</td>
<td>Haettenschweiler</td>
</tr>
<tr>
<td>Antique Olive</td>
<td>Impact</td>
</tr>
<tr>
<td>Arial</td>
<td>Letter Gothic</td>
</tr>
<tr>
<td>Arial Black</td>
<td>Letter Gothic MT</td>
</tr>
<tr>
<td>Arial NarrowBook Antiqua</td>
<td>Line Printer</td>
</tr>
<tr>
<td>Bookman Old Style</td>
<td>Marigold</td>
</tr>
<tr>
<td>Century Gothic</td>
<td>Modern</td>
</tr>
<tr>
<td>Century Schoolbook</td>
<td>Symbol (2 styles)</td>
</tr>
<tr>
<td>CG Omega</td>
<td>Tahoma</td>
</tr>
<tr>
<td>CG Times</td>
<td>Times New Roman</td>
</tr>
<tr>
<td>Clarendon Condensed Bold</td>
<td>Times New Roman (bold)</td>
</tr>
<tr>
<td>Comic Sans MS</td>
<td>Univers</td>
</tr>
<tr>
<td>Coronet</td>
<td>Univers Condensed Regular</td>
</tr>
<tr>
<td>Courier</td>
<td>Verdana</td>
</tr>
</tbody>
</table>

### Fonts that were altered in the conversion from WordPerfect 8 to PDF

<table>
<thead>
<tr>
<th>Font Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Coronet</td>
<td>appears much larger and in a different font, an Adobe default font</td>
</tr>
<tr>
<td>Line Printer</td>
<td>appears much larger and in a different font, an Adobe default font</td>
</tr>
<tr>
<td>Marigold</td>
<td>appears much larger and in a different font, an Adobe default font</td>
</tr>
</tbody>
</table>
## Fonts that maintained integrity in the conversion from Word 97 to PDF

<table>
<thead>
<tr>
<th>Font</th>
<th>Font</th>
</tr>
</thead>
<tbody>
<tr>
<td>Arial</td>
<td>Garamond</td>
</tr>
<tr>
<td>Arial Black</td>
<td>Haettenschweiler</td>
</tr>
<tr>
<td>Arial NarrowBook Antiqua</td>
<td>Impact</td>
</tr>
<tr>
<td>Bookman Old Style</td>
<td>Letter Gothic</td>
</tr>
<tr>
<td>Century Gothic</td>
<td>Symbol (2 styles)</td>
</tr>
<tr>
<td>Century Schoolbook</td>
<td>Times New Roman</td>
</tr>
<tr>
<td>CG Times</td>
<td>Tahoma</td>
</tr>
<tr>
<td>Comic Sans MS</td>
<td>Univers</td>
</tr>
<tr>
<td>Courier</td>
<td>Univers Condensed Regular</td>
</tr>
<tr>
<td>Courier New</td>
<td>Verdana</td>
</tr>
</tbody>
</table>

## Fonts that were altered in the conversion from Word 97 to PDF

<table>
<thead>
<tr>
<th>Font</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Albertus Extra Bold</td>
<td>bold characteristic lost, appears in a different font, an Adobe default font</td>
</tr>
<tr>
<td>Albertus Medium Bold</td>
<td>appears in a different font, an Adobe default font</td>
</tr>
<tr>
<td>Antique Olive</td>
<td>appears much smaller and in a different font, an Adobe default font</td>
</tr>
<tr>
<td>CG Omega</td>
<td>appears much smaller and in a different font, an Adobe default font</td>
</tr>
<tr>
<td>Clarendon Condensed Bold</td>
<td>appears much smaller and in a different font, an Adobe default font</td>
</tr>
<tr>
<td>Coronet</td>
<td>appears much larger and in a different font, an Adobe default font</td>
</tr>
<tr>
<td>Line Printer</td>
<td>appears much larger and in a different font, an Adobe default font</td>
</tr>
<tr>
<td>Marigold</td>
<td>appears much larger and in a different font, an Adobe default font</td>
</tr>
<tr>
<td>Modern</td>
<td>appears in a different font, an Adobe default font</td>
</tr>
<tr>
<td>Times New Roman (bold)</td>
<td>appears in a different font, an Adobe default font</td>
</tr>
</tbody>
</table>
CONVERTING A CREDITOR MATRIX TO A .txt FILE

A creditor matrix contains each creditor's name and mailing address. This information is used for noticing and also for claims information when applicable. The creditor matrix must be in an ASCII file format with an appropriate text extension such as .txt before it can be successfully uploaded into the CM/ECF system. The following instructions will guide you to correctly format a creditor matrix and save it as a .txt file.

Suggested Creditor Matrix Specifications

✦ The name and address of each creditor must be four (4) lines or less.

✦ Each line may contain no more than 40 characters including blanks.

✦ Names and addresses should be left justified (flush against the left margin, no leading blanks.)

✦ Account numbers or “Attention” lines should be placed on the second line of the name/address.

✦ City, state and ZIP code must be on the last line.

✦ Nine digit ZIP codes must be typed with a hyphen separating the two groups of digits.

✦ All states must be two-letter abbreviations.

✦ Each creditor must be separated by at least one blank line.

✦ Do not include page numbers, headers, footers, etc.
**STEP 1** After creating the creditor list in WordPerfect or Microsoft Word, open the file. Click on **File** in the WordPerfect or Microsoft Word toolbar to display the drop down list. (See Figure 1.)

![Figure 1](image1.png)

**STEP 2** Click **Save As** in the drop down list. (See Figure 2.)

![Figure 2](image2.png)

**If in WordPerfect:**

**STEP 3** Click the drop down menu arrow in the **File Type** box. (See Figure 3.)

![Figure 3](image3.png)

- Select the file type **ASCII DOS Text**.
STEP 4 If in Microsoft Word:

- Click on the drop down box arrow in the Save As Type box. (See Figure 4.)

![Figure 4](image.png)

- Select the file type of Text Files(*.txt) or Text Only(*.txt).

STEP 5 Enter the file name in the File Name: box. (The system provides the same file name with a .txt extension so it is fine to accept this default.)

STEP 6 Click the [Save] button.
Registered users will be given a login and password by the court. To access to the CM/ECF system, use the Netscape Navigator 4.7 web browser. Court and external users will have different levels of access to screens and functionality as determined by their needs.

STEP 1  
To access the court website, open Netscape Navigator and enter the URL (address) of the court’s computer in the browser’s Location field – http://www.kyeb.uscourts.gov.

NOTE:  
Familiarity with browser navigation and functionality is recommended for successful and efficient use of this system.

STEP 2  
The CM/ECF CERTIFICATE NAME CHECK screen displays next. You may see a series of security screens similar to these.

- Click [Continue] and read the security information until the [Finish] button appears.
STEP 3

The CM/ECF LOG-IN screen will then display.

ECF Login

Notice
This is a Restricted Web Site for Official Court Business only. Unauthorized entry is prohibited subject to prosecution under Title 18 of the U.S. Code. All activities and access attempts are logged.

- Enter your **Login** and **Password**. These fields **are** case sensitive. A login of thomask should **not** be entered as ThomasK or THOMASK.
- If an error is made before submitting the screen, clicking on the [Clear] button will delete the data and allow you to reenter information.
- Click [Login].

STEP 4

The CM/ECF MAIN MENU screen displays.
The Main Menu Bar at the top of the screen provides access to the various modules. Each selection is a hyperlink to another set of options or hyperlinks allowing one to file documents, query, view or print a docket sheet, generate reports or maintain the system.

This menu is also used to exit the system. The preferred method to exit CM/ECF is to click the **Logout** hypertext link on the CM/ECF Main Menu Bar.
Bankruptcy case information on CM/ECF is available to the public through participating court internet sites. It can be accessed by typing the court's URL, www.kyeb.uscourts.gov in the Location Box of your browser.

Inquiries can be made, through Public Case Query, which provides search capabilities by case number or name.

Additionally, Public Case Information gives anyone access to the CM/ECF Cases Report. This information is current and is updated with activity. The selection screen for the Cases Report is pictured below.

When an attorney or other external filer selects a menu option from Reports, Query or the Claims Register, they will be presented with the Public Access to Electronic Records (PACER) screen. Users must already be registered with the PACER system to have a login and password. Note the information on the screen below.
An access fee of $.07 per page, as approved by the Judicial Conference of the United States at its
September 1998 session, will be assessed for access to this service. All inquiries will be charged
to your PACER login that is kept on file. If you do not need filing capabilities, enter your PACER
login and password. The Client code is provided to the PACER user as a means of tracking
transactions by client. This code can be up to thirty two alphanumeric characters long.

When a copy of the Notice of Electronic Filing is mailed to each subscriber on the
case, the following message will display at the top:

***NOTE TO PUBLIC ACCESS USERS***
You may view the filed documents once without charge. To avoid later
charges, download a copy of each document during this first viewing.

Technology Training and Support Division/OIT/AO January 20, 2001
This process shows the steps and screens required for attorneys to open a bankruptcy case on CM/ECF. The case is a chapter 7, no asset, individual consumer.

**STEP 1**
Click on the Bankruptcy hyperlink on the CM/ECF Main Menu Bar.

**STEP 2**
The BANKRUPTCY EVENTS screen displays.

**NOTE:** Because of differences between courts, your actual menu options may vary from this list.

- For further information on each of these categories, click the HELP icon on the CM/ECF Main Menu Bar (the question mark, pictured below). That will bring up a help screen.
This screen gives you more information about the menu selections.

<table>
<thead>
<tr>
<th>Bankruptcy Events</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Answer/Response</td>
<td>File an answer, response, or reply to a motion/application in a bankruptcy case.</td>
</tr>
<tr>
<td>Appeal</td>
<td>File an appeal to a case.</td>
</tr>
<tr>
<td>Batch Filings</td>
<td>File different documents to different (unrelated) cases at the same time. (See also Multi-Case Docketing).</td>
</tr>
<tr>
<td>Claim Actions</td>
<td>File documents related to claims that have already been filed.</td>
</tr>
<tr>
<td>Court Events</td>
<td>File documents or docket events (e.g., utility events) to which only court users have access.</td>
</tr>
<tr>
<td>Creditor Maintenance</td>
<td>Enter the names and addresses of creditors for a bankruptcy case, either individually or by uploading a creditor matrix. Also edit creditors' names and addresses.</td>
</tr>
<tr>
<td>File Claims</td>
<td>File a claim in a bankruptcy case.</td>
</tr>
<tr>
<td>Motions/Applications</td>
<td>File a motion or application to a bankruptcy case.</td>
</tr>
</tbody>
</table>

To see information for other options, scroll down using the arrows or scroll bar on the right.
To close this help screen, click on the x in the top right corner of the screen, or click on the Close box at the bottom of the screen. This will return you to the Bankruptcy Events screen.

**STEP 3**

At the Bankruptcy Events screen, click on the Open a BK Case hyperlink. The Open New Bankruptcy Case screen will display.

- The case number will be generated later in this process and will be displayed on the Notice of Electronic Filing.
- Select the **Office** from the pick list box, or skip it if the default is correct.
- The current date will always be displayed in the **Date Filed** field.
- Select the **Chapter** from the pick list box, or skip it if the default is correct.
- The default value for **Joint Petition** is n (no); for a Joint filing select y (yes).
- The Case Type will always be **bk**. Leave it as it is.
- If there are any required items missing from the petition, change the **Deficiencies** box from n to y. A deficiency list will then be presented on a later screen.
- When this screen is correct, click **Next** to continue.
STEP 4

The PARTY SEARCH screen displays.

◆ This screen is for you to enter the parties on the case. Before you add the debtor, or any party, you should search the database to see if that party already exists in the database from another case, to eliminate duplicate records in the system. You can search by Social Security Number, Tax Identification Number, Last Name or Business Name.

◆ You can enter the last name or the first few characters of the last name to search the database. If this is a business filing, enter the first word or significant words of the business name to search. The entire business name is stored in the Last/Business name field. Thus, for business filings, entering the first part of the name may be sufficient to find a match. The field size is 80 characters.

◆ In this lesson, we will enter the debtor’s last name and click Search.

STEP 5

If there are no matches, the system will return a No Person Found message.

◆ This screen is for you to enter the parties on the case. Before you add the debtor, or any party, you should search the database to see if that party already exists in the database from another case, to eliminate duplicate records in the system. You can search by Social Security Number, Tax Identification Number, Last Name or Business Name.

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◆ In this lesson, we will enter the debtor’s last name and click Search.

STEP 5

If there are no matches, the system will return a No Person Found message.
Once you have tried alternative searches and determined that the party is not already on the database, you can add them to the database. Click Create New Party.

**STEP 6**

The PARTY INFORMATION screen displays.

- Enter the debtor's **Name** and **Address** information in the appropriate boxes. (For this lesson, our debtor is Dale Daniels.)
- Select the debtor's **County** of residence from the pick list box.

**NOTE:** Type the first letter of the county name for a faster search.

- For this lesson, leave **ProSe** as **no**.
- Expand the **Role Type** selection pick list box by clicking on the down arrow \(\text{▼}\), and select Debtor.
- Enter further descriptive text for the debtor in the **Party text** field, if appropriate (such as A Connecticut Corporation, Guardian of the State, etc.)

\[\text{Party text} \ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldotted...
It is not necessary to add the attorney representing the debtor. Because you are an attorney, Your name will be linked to the party you are representing automatically at the end of this transaction. Your login will furnish your attorney information to the system.

If the party has an alias, click the **Alias** button.

**STEP 7** The **Alias** screen appears.

You can enter up to five alias names. **Alias Role** selections include aka, dba, fdba, and fka.

Click **Add aliases**.

**STEP 8** The **Party Information** screen reappears.
Clicking on the **Review** button at any time presents a screen summarizing the attorney and alias activity for this debtor.

Verify the information.

Be careful about clicking the **Clear** button. You could accidentally delete information.

Click **Return to Party Screen**.

**STEP 9**

The **PARTY INFORMATION** screen will return again. If you are finished adding information for this new party, click **Submit** to continue with Case Opening.

**NOTE:**

If this were a joint debtor filing, a **JOINT DEBTOR PARTY** screen would appear next and the same steps would be repeated to add the Joint Debtor.

**STEP 10**

The **STATISTICAL DATA** screen appears next.
Select the **Type of Debtor** by clicking in the appropriate box(es).

**The Fee Status** values are Paid and Installment. If the petition is accompanied by an Application to Pay Filing Fees in Installments, you would select Installment from the pick list box.

Designate the **Nature of Debt** as Consumer or Business.

The default value is for a **Voluntary** Petition. For Involuntary Petitions, select **Involuntary** from the pick list box.

Enter the correct **Origin** code from the values Original, First Reopen, Second Reopen, Third Reopen, Split or Inter-District Transfer. No action is necessary if this is the first filing; the default value of Original is correct for this exercise.

**Date Split/Transfer** is only necessary when a joint debtor splits from the original case or if this case was transferred in from another district. Otherwise leave this field blank.

Choose Yes or No for **Asset notice** designation.

Select the range of **Estimated Creditors** from the pick list box.

- 1 - 15
- 16 - 49
- 50 - 99
- 100 - 199
- 200 - 999
- 1,000 - over

Select the correct dollar range for **Estimated Assets**.

- Under $50,000
- $50,001 - 100,000
- $100,001 - 500,000
- $500,001 - 1 million
- $1,000,001 - 10 million
- $10,000,001 - 50 million
- $50,000,001 - 100 million
- More than $100 million
Select the correct dollar range for **Estimated Debts**.

- Under $50,000
- $50,001 - 100,000
- $100,001 - 500,000
- $500,001 - 1 million
- $1,000,001 - 10 million
- $10,000,001 - 50 million
- $50,000,001 - 100 million
- More than $100 million

Click **Next** to continue.

**STEP 11**

If you have selected **y** for **Deficiencies** on the **Case Data** screen, the Chapter 7 **DEFICIENCY LIST** screen appears.

**NOTE:** This list will vary by chapter.

- Check the check box for each item that is not included with this petition. For this exercise, select **Schedules A-J**.

- Click **Next** to continue.
STEP 12 The SELECT A PDF DOCUMENT screen appears.

NOTE: This screen is used for associating the imaged document with this entry. Attorneys must enter the path and name of a pdf (portable document format) document here.

- Click Browse, then click on the down arrow ▼ for the Files of type field.
- In the drop-down box, click on All Files (*.*).
- Navigate to the directory where the appropriate PDF file is located.
- Highlight the file. Then right click with your mouse and select Open to verify the contents of the document. If this is the correct file, double-click the PDF file to select it.
- Accept the default setting of No for the Attachments to Document radio buttons. Attachments will be covered in another module.
- Click Next

STEP 13 The INCOMPLETE FILINGS DEADLINES screen is presented, showing the due date for the missing schedules A-J.
The deadline for filing the missing documents is calculated and displayed. This will print on the final docket text and will exist as a schedule record for queries and reports.

The Statement of Intent deadline may appear on this screen, as shown. This varies by court. The court will monitor these deadlines for compliance and will verify deficiencies.

Click Next to continue.

**STEP 14**
The RECEIPT # screen appears.

This screen is for you to enter a receipt number, CC if payment is by credit card, or O for other type of payment. Enter CC and click Next to continue.

**STEP 15**
The MODIFY DOCKET TEXT screen appears.

You may or may not be able to add text to this entry. The court will give instructions for annotating this docket text.

Click Next to continue.
STEP 16  The FINAL TEXT EDITING screen displays.

Proof this screen carefully! This is what will print on the docket sheet.

If the docket text is incorrect, click the browser Back button at the top of the screen one or more times to find the screen to be modified, make the correction, and continue through the event.

To abort or restart the transaction, click on the Bankruptcy hyperlink on the CM/ECF Main Menu Bar. Although this can be done at any time, this is your last opportunity to change the event.

Click Next to continue. The case number will now be assigned.

STEP 17  The NOTICE OF ELECTRONIC FILING screen displays.
This **Notice of Electronic Filing** is the verification that the filing has been sent electronically to the court's database. It certifies the petition is now an official court document.

Make a note of the case number, which appears in blue. Clicking on the case number hyperlink, 01-10005, will display the docket report for this case.

Clicking on the document number hyperlink 1, will display the PDF image of the petition just filed.

**NOTE:** You **must** enter your PACER login and password to view any documents or reports or perform any queries.

**STEP 18** If you click on the **Notice of Bankruptcy Case Filing** hyperlink at the top of the Notice of Electronic Filing, the Notice of Bankruptcy Case Filing will be displayed. This notice summarizes the pertinent details and participants of this case.

---

**United States Bankruptcy Court**

**TTSD Training Database**

**Notice of Bankruptcy Case Filing**

A bankruptcy case concerning the debtor(s) listed below was filed under Chapter 7 of the United States Bankruptcy Code on 01/29/2001 at 3:07 PM.

Dale A. Daniels
15103 Sun Trail
Pleasantville, IA 54163
SSN: 301-42-6561
aka
David Daniels

The case was filed by the debtor's attorney:

Bruce Williams, Esq.
Wilkoff & Barosofsky
555 Huntington Place
Portland, ME 02115

The case was assigned case number 01-10005.

The filing of a bankruptcy case automatically stays certain actions against the debtor and the debtor's property. If you attempt to collect a debt or take other action in violation of the Bankruptcy Code, you may be penalized.

If you would like to view the bankruptcy petition and other documents filed by the debtor, they are available at our Internet home page http://156.132.84.15/ or at the Clerk's Office 7550 10 West, #1100, San Antonio, TX 78223-5818.

You may be a creditor of the debtor. If so, you will receive an additional notice from the court setting forth important deadlines.

James Jones
Clerk, U.S. Bankruptcy Court
NOTE: This certification can be used as an official notice of stay to notify creditors before the 341 Meeting Notice to stop foreclosures and other creditor actions. It may be saved or printed at the time of filing. This notice of Bankruptcy Case Filing is also available for viewing or printing through the Query Main Menu Bar Selection.

◆ To print a copy of this notice, click the browser Print button.

◆ To save a copy of this receipt, click File on the browser menu bar and select Save Frame As.

NOTE: If the court had opened this case, the time stamp would not appear on the seal. It appears only for cases opened electronically by non-court users.
CM-ECF Dictionary Report

Bankruptcy Events

Answer/Response...
Reference an Existing motion/application
Objection
Objection to Relief
Response
Other Answers
Involuntary Answer (for Court)

Appeal
Appellant Designation
Appellee Designation
Cross Appeal
Notice of Appeal
Notice of Docketing Record on Appeal
Transmittal of Record on Appeal

Batch Filings
Motion to Dismiss Case (batch)

Claim Actions
Notice of Transfer Objection
Objection to Claim
Transfer of Claim
Withdrawal of Claim

Court Events
Add Attorney
Add Party
Add Trustee
Case Association
Case Bifurcated
Case Consolidated
Close Bankruptcy Case
Convert Case
Corrective Entry
Court Reporter Accepted
Court Reporter Ordered
Disclosure Hearing Held
Document
Entry
Flags Set-Reset
Hearing Cont (Ch 11)
Hearing Cont (Ch 13,12)
Hearing Cont (Ch 7)
Hearing Held
Hearing Set (Ch 11)
Hearing Set (Ch 13,12)
Hearing Set (Ch 7)
Installment Fee Payment
Involuntary Summons Issued

VALID AS OF 1/8/02
CHECK
www.kyeb.uscourts.gov
for most current version before filing a document
Meeting of Creditors Chapter 11 & 12
Meeting of Creditors Chapter 13
Meeting of Creditors Chapter 7 Asset
Meeting of Creditors Chapter 7 No Asset
Meeting of Creditors Continued
Receipt Number and Filing Fee - Generic
Receipt of Final Installment Payment
Remark
Reopen Chapter 11 Case
Reopen Chapter 12 Case
Reopen Chapter 7/13 Case
Reopen Document
Set/Reset/Satisfy Appeal Deadlines
Set/Reset/Satisfy Discharge Review Deadline
Set/Reset/Satisfy Judge’s Deadlines
Set/Reset/Satisfy Objection Deadline
Set/Reset/Satisfy Other Deadlines
Set/Reset/Satisfy Plan or Disclosure Statement Deadline(s)
Subpoena Service Executed
Terminate Attorney
Terminate Deadline
Terminate Document
Terminate Motion
Terminate Party
Transcript

Creditor Maintenance...
Enter individual creditors
Upload a creditor matrix file
Edit creditors

Motions/Applications
Abandon
Adequate Protection
Administrative Expenses
Allow Attorney Fees
Alter or Amend
Amended Application
Amended Motion
Appear pro hac vice
Appoint Trustee
Approve
Assume/Reject
Avoid Lien
Change Venue
Compel
Compensation
Compromise Controversy
Consolidate
Contempt
Continue Hearing
Continue Meeting of Creditors
Convert Case 7 to 11
Convert Case to 12
Convert Case to 13
Convert Case to 7
Dismiss Case
Distribution
Employ
Examination
Extend Time
Extend Time to File Complaint
File Claim
Generic Application
Generic Motion Two Part
Hardship Discharge
Hold in Abeyance
Incur Additional Debt
Joint Administration
Limit Notice
Miscellaenous Relief
Pay Creditor
Pay Filing Fee in Installments
Pay into Registry
Protective Order
Reconsider
Redeem
Relief from Stay
Reopen Chapter 11 Case
Reopen Chapter 12 Case
Reopen Chapter 7/13 Case
Sanctions
Sell
Set Aside Dismissal
Shorten Time
Stay Pending Appeal
Strike Debtor
Strike Document
Substitute Attorney
Suspend Plan Payments
Vacate
Vacate Discharge
Waive Appearance
Withdraw As Attorney
Withdrawal of Reference
Withhold or Revoke Discharge

Multi-Case Docketing
Chapter 13 Trustee's Final Report and Account
Discharging Debtor
No Asset Report

Notices
Notice Appointing Successor Trustee
Notice Appointing Trustee
Notice of Bankruptcy and Stay
Notice of Dismissal
Notice of Filing
Notice of Hearing
Notice of Rescission of Reaffirmation Agreement
Notice of Voluntary Conversion to Chapter 7
Notice of Voluntary Dismissal
Orders/Opinions...
  Reference an Existing motion/application
Other Orders
  Agreed Order
  Agreed Order Dismissing Case
  Agreed Order Regarding Plan Payments
  Agreed Order Terminating Stay
  Agreed Order re Secured Status
  Amended Order
  Approving Disclosure Statement
  Approving Final Report & Account
  Approving Trustee's Report
  Approving Trustee's Resignation
  Close Case
  Confirming Chapter 11 Plan
  Confirming Chapter 12 Plan
  Confirming Chapter 13 Plan
  Confirming Sale
  Converting Case To Chapter 7
  Converting Case to Chapter 11/12/13
  Default Judgment
  Denying Confirmation of Chapter 13 Plan
  Deposit Funds into Registry
  Discharging Debtor
  Dismissing Case
  Distribution
  District Court re: Appeal
  File Final Report
  Final Decree
  Judgment
  Memorandum of Opinion
  Operating Order
  Order (Generic)
  Order and Notice of Conversion
  Order for Relief
  Pay Conversion Fee
  Pay Filing Fee
  Pay Wages
  Recusal
  Regarding Confirmation Hearing
  Setting Bar Date
  Show Cause
  Striking Debtor
  Submit Mailing Matrix
  Telephonic Pre-Trial
  To Debtor
  Transfer Case Out of District
  Transferring Claim
  Vacating Discharge
  Vacating Order

Other
  20 Largest Unsecured Creditors
Affidavit
Amended Schedules (Fee)
Amended Schedules (No Fee)
Amended Schedules I and J
Certificate of Service
Chapter 11 Final Report and Account
Corporate Resolution
Creditor Request for Notices
Disclosure of Fees by Attorney for Debtor
Document
Equity Security Holders
Exhibit A
Exhibit B
Interrogatories
Involuntary Petition (Chapter 11)
Involuntary Petition (Chapter 7)
Involuntary Summons Service Executed
Involuntary Summons Service Unexecuted
Memorandum
Notice of Appearance and Request for Notice
Notice of Change of Address
Numbered Listing of Creditors
Objection to Debtor's Claim of Exemptions
Operating Report
Opposition Brief/Memorandum
Reaffirmation Agreement
Report
Schedule A
Schedule B
Schedule C
Schedule D
Schedule E
Schedule F
Schedule G
Schedule H
Schedule I
Schedule J
Schedules
Schedules A-J
Section 304 Petition
Statement of Financial Affairs
Statement of Intention
Stipulation
Summary of Schedules
Supplemental Document
Support Brief/Memorandum
Support Document
Voluntary Petition (Chapter 11)
Voluntary Petition (Chapter 12)
Voluntary Petition (Chapter 13)
Voluntary Petition (Chapter 7)
Voluntary Petition (Chapter 9)
Withdrawal of Document

Plan
Amended Chapter 13 Plan
Amendment to Ch 13 Plan
Certificate of Service Chapter 13 Plan
Chapter 11 Plan
Chapter 12 Plan
Chapter 13 Plan
Disclosure Statement
Objection to Confirmation of Plan

Trustee/US Trustee
Application to Disburse Funds not from net
Appointment Rejection
Chapter 12 Trustee's Final Report and Account
Chapter 13 Plan Recommendation
Chapter 13 Trustee's Final Report and Account
Final Account, w/Cancelled Checks
Memorandum as to Confirmation
Memorandum of Understanding
Motion to Dismiss Case
No Asset Report
Notice of Abandonment
Notice of Distribution
Notice of Intent to Sell
Notice of Redemption of Assets
Notice of Sufficient Assets
Notice of Surplus Funds
Objection to Confirmation of Plan
Plan Completion Report
Proposed Plan Modification
Report in Converted Case
Report of Delinquent Plan Payments
Report of Sale
Report on Confirmation Hearing
US Trustee's Statement of Inability to Appoint Creditors Committee
Unclaimed Property Report
Adversary Events

Answers...
  Motion/Application
  Objection
  Objection to Relief
  Response
  Complaint, 3rd, cross, counter

Appeals
  Defer Fee

Complaint & Summons
  Amended Complaint
  Complaint
  Counterclaim
  Crossclaim
  Notice of Removal
  Registration of Foreign Judgment
  Summons Service Executed
  Summons Service Unexecuted
  Third-Party Complaint

Court Events
  Add Attorney
  Add Party
  Alias Summons Issued
  Application to Defer Filing Fee
  Case Association
  Close Adversary Case
  Close Miscellaneous Case
  Corrective Entry
  Court Reporter Accepted
  Court Reporter Ordered
  Disposition of Adversary
  Document
  Entry
  Flag Set-727 Objection to Discharge
  Flags Set-Reset
  Hearing Cont
  Hearing Held
  Hearing Set
  Jury Demand
  Minutes of Pre-Trial
  Remark
  Reopen AP Case
  Request to Defer Payment
  Set/Reset/Satisfy Adversary Deadline(s)
  Set/Reset/Satisfy Appeal Deadlines
  Set/Reset/Satisfy Judge's Deadlines
  Subpoena Service Executed
  Summons Issued
  Terminate Attorney
  Terminate Deadline
Motions

- Amended Application
- Amended Motion
- Appear pro hac vice
- Approve
- Change Venue
- Compel
- Contempt
- Continue Hearing
- Default Judgment
- Dismiss Adversary Proceeding
- Dismiss Party
- Extend Time
- Generic Motion Two Part
- Hold in Abeyance
- Intervene
- Jury Trial
- Miscellaneous Relief
- Protective Order
- Reconsider
- Reopen Case
- Sanctions
- Shorten Time
- Stay Pending Appeal
- Strike Document
- Substitute Attorney
- Summary Judgment
- Vacate
- Withdraw As Attorney
- Withdrawal of Reference

Notices

- Notice of Default
- Notice of Hearing
- Notice to Take Deposition

Orders/Opinions...

- Reference an Existing motion/application
- Other Orders
  - Agreed Order
  - Agreed Order Dismissing Case
  - Agreed Order Regarding Plan Payments
  - Agreed Order Terminating Stay
  - Agreed Order re Secured Status
  - Amended Order
  - Approving Disclosure Statement
  - Approving Final Report & Account
  - Approving Trustee's Report
  - Approving Trustee's Resignation
  - Close Case
Confirming Chapter 11 Plan
Confirming Chapter 12 Plan
Confirming Chapter 13 Plan
Confirming Sale
Converting Case To Chapter 7
Converting Case to Chapter 11/12/13
Default Judgment
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Deposit Funds into Registry
Discharging Debtor
Dismissing Case
Distribution
District Court re: Appeal
File Final Report
Final Decree
Judgment
Memorandum of Opinion
Operating Order
Order (Generic)
Order and Notice of Conversion
Order for Relief
Pay Conversion Fee
Pay Filing Fee
Pay Wages
Recusal
Regarding Confirmation Hearing
Setting Bar Date
Show Cause
Striking Debtor
Submit Mailing Matrix
Telephonic Pre-Trial
To Debtor
Transfer Case Out of District
Transferring Claim
Vacating Discharge
Vacating Order

Other
Add Attorney
Add Party
Alias Summons Issued
Application to Defer Filing Fee
Case Association
Close Adversary Case
Close Miscellaneous Case
Corrective Entry
Court Reporter Accepted
Court Reporter Ordered
Disposition of Adversary
Document
Entry
Flag Set-727 Objection to Discharge
Flags Set-Reset
Hearing Cont
Hearing Held
Hearing Set
Jury Demand
Minutes of Pre-Trial
Remark
Reopen AP Case
Request to Defer Payment
Set/Reset/Satisfy Adversary Deadline(s)
Set/Reset/Satisfy Appeal Deadlines
Set/Reset/Satisfy Judge's Deadlines
Subpoena Service Executed
Summons Issued
Terminate Attorney
Terminate Deadline
Terminate Document
Terminate Motion
Terminate Party
Transcript
UPLOADING A CREDITOR MATRIX

The creditor matrix must be in an ASCII text format, usually a .txt file, before it can be successfully uploaded. Refer to the procedure, Converting A Creditor Matrix To A .txt File. All other file types within CM/ECF will be portable document format (PDF) files. The process of uploading a list of creditors .txt file is described below.

**STEP 1**
After accessing the CM/ECF system using the Netscape Navigator web browser, click on the Bankruptcy hypertext link.

**STEP 2**
The BANKRUPTCY EVENTS screen displays.

◆ Click on the Creditor Maintenance hyperlink.

**NOTE:** Bankruptcy Events menu selections will vary according to permission levels. Attorneys will not have all the items listed above.
STEP 3

The CREDITOR MAINTENANCE screen displays.

- Click on Upload a creditor matrix file hyperlink.

STEP 4

The UPLOAD A FILE screen displays.

- Enter the case number in yy-nnnn format, including the hyphen.

NOTE: If the system prompts that you have entered an invalid case number, click the browser's Back button and enter the correct number.

- Click the Next button to continue.

STEP 5

The LOAD CREDITOR INFORMATION screen will display.
• Type in the full path of the directory and filename of the creditor matrix file. Or, alternatively,

• Use the Browse feature to navigate to the appropriate directory and file of the creditor matrix file. To do this:

  ✔ Click on the Browse button to display the FILE UPLOAD screen.
  ✔ Click in the Look In box and select the appropriate drive name.
  ✔ Change Files of types: to Text (*.txt) or All Files.
  ✔ Highlight the appropriate text file with a click of the mouse.
  ✔ For quality assurance, right-click with the mouse and select Open from the pick-list that is displayed.

  ![File Upload screen](image.png)

  ✔ Verify that this is the correct matrix file for this case. Close or minimize the Adobe Acrobat reader by clicking on x in the upper right-hand corner.

  ✔ If correct, double-click the PDF file to select it or click on the Open button to attach the matrix file to the bankruptcy case.

  ✔ Click on the Next button to continue.
STEP 6 The TOTAL CREDITORS ENTERED screen appears.

If the total number of creditors entered is not the same as the total number of creditors on the submitted matrix, click the browser's Back button and research the error.

If the total number of creditors displayed is correct, click on the Submit button.

STEP 7 The CREDITOR RECEIPT screen displays.

The information displayed confirms the number of creditors added to the case.

STEP 8 Click on the Return to Creditor Maintenance Menu hyperlink to continue and repeat steps 4 - 6 for each creditor matrix. If there are no other matrices to add, select Logout or select another option on the Main Menu Bar.
Case Upload v. Open a BK Case

For the most current version of this documentation, please view this document on our court’s website at www.kyeb.uscourts.gov

<table>
<thead>
<tr>
<th>Option 1</th>
<th>Option 2</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Case Upload</strong></td>
<td><strong>Open a BK Case</strong></td>
</tr>
<tr>
<td>1. Open BK Case.</td>
<td>1. Open BK Case.</td>
</tr>
<tr>
<td>✓ Click on Case Upload hypertext link</td>
<td>✓ Open a BK Case</td>
</tr>
<tr>
<td>✓ Browse and attach applicable files, including the Chapter 13 Plan if applicable</td>
<td>✓ Enter data on each screen</td>
</tr>
<tr>
<td>✓ Click on Submit</td>
<td>✓ Browse and attach applicable files</td>
</tr>
<tr>
<td>✓ Save/Print Notice of Electronic Filing</td>
<td>✓ Verify the docket text</td>
</tr>
<tr>
<td>2. Repeat above steps for all additional cases.</td>
<td>✓ Click on the Submit button</td>
</tr>
<tr>
<td>3. Automatically assign Judge, Trustee and 341 meeting by clicking hypertext link.</td>
<td>✓ Save/Print Notice of Electronic Filing</td>
</tr>
<tr>
<td></td>
<td>2. If installment fee payment, docket Application to Pay Fee in Installments.</td>
</tr>
<tr>
<td></td>
<td>3. Docket the Chapter 13 Plan if applicable.</td>
</tr>
<tr>
<td></td>
<td>4. Upload Creditors.</td>
</tr>
<tr>
<td></td>
<td>✓ Click on Creditor Maintenance, then click on Upload a Creditor Matrix File</td>
</tr>
<tr>
<td></td>
<td>✓ Browse and attach the applicable file</td>
</tr>
<tr>
<td></td>
<td>✓ Verify the creditors</td>
</tr>
<tr>
<td></td>
<td>✓ Click on the Submit button</td>
</tr>
<tr>
<td></td>
<td>5. Repeat above steps for all additional cases.</td>
</tr>
<tr>
<td></td>
<td>6. Automatically assign Judge, Trustee and 341 meeting by clicking hypertext link.</td>
</tr>
</tbody>
</table>

By opening all cases before assigning judge/trustee/341 meeting, some cases will be scheduled together.
Petition Preparation Software with CM/ECF Case Data Upload Functionality

Listed are the vendors and contact persons who have agreed to include in their next release file modifications to allow attorneys to automatically upload case data information from their software application to CM/ECF.

<table>
<thead>
<tr>
<th>Vendor Name</th>
<th>Contact Persons</th>
<th>Phone Number</th>
<th>Email Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>Matthew Bender, Collier Top Form</td>
<td>Martha L. Lemmond</td>
<td>212-448-2166</td>
<td><a href="mailto:Marty.Lemmond@bender.com">Marty.Lemmond@bender.com</a></td>
</tr>
<tr>
<td>West-Speciality Software, Chapter 7 &amp; 13</td>
<td>Monica Wiese, Don Milo</td>
<td>N/A</td>
<td><a href="mailto:Monica.Wiese@westgroup.com">Monica.Wiese@westgroup.com</a>, <a href="mailto:Don.Milo@westgroup.com">Don.Milo@westgroup.com</a></td>
</tr>
<tr>
<td>FresStart.com, FresStart</td>
<td>Martin L. Laurence</td>
<td>206-523-2445</td>
<td><a href="mailto:Martin@freshstart.com">Martin@freshstart.com</a></td>
</tr>
<tr>
<td>Bktools.com, bktools</td>
<td>John Beck</td>
<td></td>
<td><a href="mailto:Attyjonb@abac.com">Attyjonb@abac.com</a></td>
</tr>
<tr>
<td>Zimmerman &amp; Mohr, EZ Filing</td>
<td>Marty Mohr</td>
<td>800-998-2424</td>
<td><a href="mailto:Techsupport@ezfiling.com">Techsupport@ezfiling.com</a></td>
</tr>
<tr>
<td>Puritas Springs Software</td>
<td>Ernie Zore</td>
<td>N/A</td>
<td><a href="mailto:Ernie@puritas-springs.com">Ernie@puritas-springs.com</a></td>
</tr>
<tr>
<td>Best Case Solutions, Best Case</td>
<td>John Mancini</td>
<td>800-492-8037</td>
<td><a href="mailto:Mancini@bestcase.com">Mancini@bestcase.com</a></td>
</tr>
<tr>
<td>Cornerstone Computer, Bankruptcy Plus</td>
<td>N/A</td>
<td>N/A</td>
<td><a href="mailto:Ccgi@cornerstone-computer.com">Ccgi@cornerstone-computer.com</a></td>
</tr>
<tr>
<td>New Hope Software, Bankruptcy 2000</td>
<td>Frederick Rogovy</td>
<td>206-232-9247</td>
<td><a href="mailto:Admin@bankruptcysoftware.com">Admin@bankruptcysoftware.com</a></td>
</tr>
<tr>
<td>Multimedia Abacus, Bankruptcy Esq.</td>
<td>B. Ramsey</td>
<td>800-617-4202</td>
<td>N/A</td>
</tr>
</tbody>
</table>
Application To Pay Filing Fee in Installments

This procedure explains how to file an application to pay filing fees in installments using the electronic case filing system (CM/ECF).

STEP 1
Click the Bankruptcy hyperlink on the CM/ECF Main Menu. (See Figure 1.)

STEP 2
The BANKRUPTCY EVENTS screen displays. (See Figure 2.)

STEP 3
Click on the Motions/Applications hyperlink.

The CASE NUMBER screen displays. (See Figure 3.)
If you have already accessed a case in this session, the number of the last case accessed will be displayed. Leave this number if it is the correct case for this application, or enter the correct case number (yy-nnnnn), including the hyphen.

Click [Next].

NOTE: If the system prompts that you have entered an invalid case number, click the browser [Back] button to try again.

STEP 4 The MOTION/APPLICATION SELECTION screen displays. (See Figure 4.)

Scroll down to display the selection Pay Filing Fee in Installments.

NOTE: Local court dictionary descriptions may vary from the selection above.

Highlight that selection and Click [Next] to continue.

STEP 5 The case verification screen will appear next. If this is the correct case, click [Next] to continue. (See Figure 5.)
STEP 6  The ATTORNEY SELECTION screen will appear (See Figure 6.)

Click on the attorney who is filing the application on the attorney selection screen, then click [Next] to continue.

STEP 7  The PARTY SELECTION screen will appear (See Figure 7.)

Click on the debtor(s) for whom the application is being filed on the party selection screen, then click [Next] to continue.
STEP 8

The current date appears as the file date by default. This will be the Date Filed on the docket sheet. If this is not the correct date for the filing of this application, enter the correct date.

If you have no PDF document to associate with this petition, click [Next] to continue.

If you do not enter a PDF document, a warning message box displays. (See Figure 8b.) This is information presented only as a reminder. The system will allow you to proceed.

Click on the [OK] button.

The option to assign a document number to this entry may then be presented (See Figure 8c.). Select the appropriate radio button.
STEP 9 If there is a PDF document associated with this entry, follow these steps:

- Click [Browse], then navigate to the directory where the appropriate PDF file is located and select it with your mouse.

- To make certain you are about to associate the correct PDF file for this entry, right-click on the filename with your mouse and select Open. (See Figure 9a.)

  ![Figure 9a](image)

  This will launch the Adobe Acrobat Reader to display the contents of the PDF document. Verify that the document is correct.

  Close or minimize the Adobe application after verifying the correct file and click Open on the File Upload dialogue box. (See Figure 9b.)
Accept the default setting of No to the Attachments to Document prompt. Attachments will be covered in another module.

Click [Next].

**STEP 10**

The FINAL TEXT EDITING screen will then display. (See Figure 10.)

Select a prefix, if appropriate, for this application, and enter any other text as necessary.

**NOTE:** To abort or restart the transaction at any time up until the final docket text screen, click the Bankruptcy hyperlink on the Menu Bar.

If the text is correct, click [Next].
STEP 11  The Final Docket Text screen will be displayed (See Figure 11.)

The Final Docket Text screen will be displayed (See Figure 11.)

- File a Motion:
  00-10122 Dale A. Daniels

- Docket Text: Final Text
  Application to Pay Filing Fee in Installments Filed by Dale A. Daniels, (L.G.,)

Attention!!! Submitting this screen commits this transaction. You will have no further opportunity to modify this submission if you continue.

Figure 11

◆ If the information displayed is correct, click [Next] to continue.

STEP 12  The NOTICE OF ELECTRONIC FILING screen displays.
(See Figure 12)

The NOTICE OF ELECTRONIC FILING screen displays.

- File a Motion:
  00-10122 Dale A. Daniels

- Notice of Electronic Filing
  The following transaction was received from Bruce Williams on 8/28/2001 at 9:47 AM CDT

- Case Name: Dale A. Daniels
- Case Number: 00-10122
- Document Number: 2

- Docket Text:
  Application to Pay Filing Fee in Installments Filed by Dale A. Daniels, (L.G.,)

The following document(s) are associated with this transaction:

- Document description: Main Document
- Original filename: C:\CM/ECF\PDF Files\Motion.PDF
- Electronic document Stamp:
  [STAMP blankStamp_ID=951725245 [Date=8/28/2001] [FileNumber=3809-0] [3
  b72f64e02e8b1cc34395e2d5405b9ba-5e5d109831783a157273d533540ff]
  615ab5c1a116047cb1d4a24ef3207949f2e644ef0a4c439981bdc535]

- 00-10122 Notice will be electronically mailed to:
  Bruce Williams  bwills@email.mm.com

- 00-10122 Notice will not be electronically mailed to:
  Julian Mayfair
  Reynolds Plaza
  101 E. Ringgold Boulevard
  New Orleans, LA 43002

Figure 12
◆ Clicking on the case number hyperlink on the Notice of Electronic Filing will present the docket report for this case.

◆ Clicking on the document number hyperlink will display the PDF image of the document just filed.

◆ To print a copy of this electronic receipt click the browser [Print] icon.

◆ To save a copy of this electronic receipt, click [File] on the browser menu bar and select Save Frame As.
Application To Employ  
For Trustees and Attorneys

This lesson shows the steps of submitting an Application to Employ filed by a Chapter 7 trustee. The same process can be applied to filing other motions or application.

STEP 1  Click the Bankruptcy hyperlink on the CM/ECF Main Menu. (See Figure 1.)

Figure 1

STEP 2  The BANKRUPTCY EVENTS screen displays. (See Figure 2.) Your screen may appear different. Menu selections are assigned by user permissions and vary by court.

Figure 2

◆ Click the Motions/Applications hyperlink.

STEP 3  The CASE NUMBER screen displays. (See Figure 3.)

Figure 3
STEP 4 Enter the case number in YY-NNNNN format.

Click [Next].

The DOCUMENT SELECTION screen displays. (See Figure 4.)

![Figure 4](image)

Scroll the File a Motion box to select the Employ relief.

NOTE: To locate your event quickly, type the first letter of the entry (E for Employ) and the highlight bar will immediately select the first event beginning with E.

Click [Next].

STEP 5 The attorney JOINT FILING screen will then display. (See Figure 5.)

![Figure 5](image)

This screen is used only if another attorney is joining in a filing. If you are the only trustee/attorney filing this application, skip this screen.

If this is a joint filing and the box is checked, a listing of attorneys presently on the case will be presented for selection.
STEP 6

Click [Next].

The PARTY SELECTION screen will be presented listing all the participants presently on this case. (See Figure 6.)

![Figure 6](image)

STEP 7

Locate and select the trustee in the Party Selection window. Click [Next] to continue.

The ATTORNEY/PARTY ASSOCIATION screen may appear. (See Figure 7.)

![Figure 7](image)

This screen presents a check box to link the filer to the attorney. As a trustee, if you are not filing this application in the capacity of the attorney for the trustee, skip this screen.

If an attorney is filing this for another party she or he represents and this screen is presented, check the box to establish this relationship.
STEP 8

The PDF DOCUMENT SELECTION screen displays. 
(See Figure 8a.)

Figure 8a

- Click [Browse], then navigate to the directory where the appropriate PDF file is located or type the entire directory path.

  - To make certain you are about to associate the correct PDF file for this entry, right click on the filename with your mouse and select Open. (See Figure 8b.)

Figure 8b

- This will launch the Adobe Acrobat Reader which will display the contents of the imaged document. Verify that the document is correct.

- Close or minimize the Adobe application and if that is the correct file, click [Open] on the FILE UPLOAD dialogue box. (See Figure 8c.)
Some courts require proposed orders attached to each motion or application. To illustrate the feature of CM/ECF that allows attachments to the main document, click the Yes radio button to the right of the Attachments to Document prompt to attach the proposed order to the motion.* (Refer again to Figure 8a.)

NOTE: Please note that the PDF file for the Application to Employ is not an attachment. An attachment is another supporting document, such as affidavits or exhibits.

An attached document will be referenced in the docket text separately, and the attached image will be accessible by a separate hyperlink within the docket text.

* Many courts will have proposed orders submitted through e-mail or diskettes in a word processing format rather than PDF

Click [Next] to continue with the attachment process.
STEP 9 If you selected the yes radio button, the ATTACHMENT screen is presented next. (See Figure 9.)

![ECF Attachment Screen](image)

**ECF**

Select one or more attachments.
1. Enter the pdf document that contains attachment (for example: C:\append.pdf).
2. At your option, select a document type and/or enter a description.
3. Add the filename to the list box below. If you have more attachments, go back to Step 1. When the list of filenames is complete, click on the Next button.

**Figure 9**

◆ There are three steps to the attachment process:

1. Click [Browse], then navigate to the drive and directory where the appropriate PDF file for the proposed order is located and select it with your mouse.
   - To make certain you are about to associate the correct PDF file for this entry, right click on the filename with your mouse and select Open. This will launch the Adobe Acrobat Reader to display the contents of the imaged document.
   - Double-click the PDF file to select it.
   - Verify that the document is correct and minimize or close the Adobe application by clicking on "-" or "x" in the control box in the upper right hand corner of the PDF document.
2. Select Proposed Order as the attachment type from the drop down list.

   • You may enter a description in the Description Box. This is court-specific styling. For instance if you were using an attached exhibit, you would enter "A" to signify this is Exhibit A. This description goes into docket text.

3. You must click [Add to List]. The path and file name are added to the List box. It is possible to add multiple attachments at this time by repeating steps 1 - 3.

   ◦ Click [Next].

**STEP 10**

A DOCUMENT INFORMATION screen displays next.

(See Figure 10.)

Figure 10

The information typed in the windows displayed above will appear in docket text. Follow local court conventions for entering this data.

◆ Click [Next] to continue.

**STEP 11**

The MODIFY TEXT screen will display a supplemental text box and a prefix box to add more detail to the docket text.

(See Figure 11.)

Figure 11
STEP 12

The FINAL APPROVAL screen will appear. (See Figure 12.)

- Click the down arrow ▼ to display the prefix options. Select a descriptive prefix, if it is appropriate.
- If necessary, add detail to the final text.
- Click [Next] to continue.

Figure 12

- Verify the final docket text. Read the warning message and proceed.
- If correct, click [Next]
- If the final docket text is incorrect:
  - Click the browser [Back] button to find the errors(s) and proceed with the event.
  - To abort or restart the transaction (at any time), click the Bankruptcy hyperlink on the Menu Bar.
**STEP 13**

The NOTICE OF ELECTRONIC FILING screen displays.

(See Figure 13.)

<table>
<thead>
<tr>
<th>File a Motion: 90-10122 Dale A. Daniels</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notice of Electronic Filing</td>
</tr>
<tr>
<td>The following transaction was received from Mayfair, Julian on 9/27/2000 at 9:59 AM CDT</td>
</tr>
<tr>
<td>Case Name:               Dale A. Daniels</td>
</tr>
<tr>
<td>Case Number:            00-10122</td>
</tr>
<tr>
<td>Document Number:    1</td>
</tr>
<tr>
<td>Docket Text:</td>
</tr>
<tr>
<td>The following document(s) are associated with this transaction:</td>
</tr>
</tbody>
</table>

| Original filename: | R/TRAINING/ECF/PDFFiles/appt_emp1/PDF |
| Electronic document Stamp: | KeyFile is not available for this court |

90-10122 Notice will be electronically mailed to:

- Amy Brennan  abren@somewhere.com,  
- Ramona Haynes  racehorsehaynes@email.com,  
- Bruce Williams  bwills@email.com,  

90-10122 Notice will not be electronically mailed to:

- Cornelius Appleby  appleby.crown.harrisandquirk.com,  
- Hardy Hanson  hardy@me.com,  
- Perry Mason  perry@me.com,  
- Chris D. West  west.johnson.smithandjones.com,  
- 611 E. 21st Street  78209 |

**Figure 13**

- Clicking on the case number hyperlink on the Notice of Electronic Filing will present the docket report for this case.
- Clicking on the document number hyperlink will present the PDF image of the application just filed.
• Description of Notice of Electronic Filing:

Hyperlink to docket sheet
Date and time stamp information
Case Title
Case number hyperlink to docket sheet?
Docket text
  • Annotated text in italics
  • Text produced from docket event
  • Attachment type, description and attachment number
    which is a hyperlink to the PDF file of the attached
document.

Associated documents:

Document description: Defaults to Main Document being
docketed.
Original filename: Filer's full directory path from firm or
court's hard drive or network.
Electronic document stamp: Unique identifying name of the
document being filed for security
purposes. Key file of the court used
for encryption

Document description: First attached document's
description that was entered on the
attachment screen by the filer.
Original filename: Filer's full directory path from the firm
or court's hard drive or network.
Electronic document stamp: Unique identifying name of the
attachment for security purposes.
Key file of the court used for
encryption

Notice will be electronically mailed to:

Any party on the case who has registered their e-mail address
with the court will be listed here with their current e-mail address,
not their street address.

Notice will not be electronically mailed to:

Name and address of other parties on the case who have not
furnished their e-mail address with the court.

◆ To print a copy of this notice click the browser [Print] icon.
◆ You may also save the notice through the browser File/Save
  option.
STEP 13

Trustee and Attorneys and other external CM/ECF users will have access to the Notice of Electronic Filing when it is first generated.

When an attorney or other external filer selects a menu option from Reports, Query or the Claims Register, it must go through the Public Access to Electronic Records (PACER) program. Users must already be registered with the PACER system to have a login and password. Note the information on the screen below. (See Figure 13.)

An access fee of $0.07 per page, as approved by the Judicial Conference of the United States at its September 1998 session, will be assessed for access to this service. All inquiries will be charged to your PACER login that is kept on file. If you do not need filing capabilities, enter your PACER login and password. The Client code is provided to the PACER user as a means of tracking transactions by client. This code can be up to thirty-two alphanumeric characters long.

[Figure 13]

Password: ____________________________
Client code: __________________________

Make this my default PACER login

Login  Reset

Technology Training and Support Division/AO
March 6, 2001
OBJECTIONS TO MOTIONS FOR ATTORNEYS

This lesson explains how to docket an objection (or a response) to a motion or application. The example used is an objection to a Motion to Avoid a Lien.

**STEP 1**
Click the Bankruptcy hyperlink on the CM/ECF Main Menu.

**STEP 2**
The BANKRUPTCY EVENTS screen displays.

**STEP 3**
The ANSWER/RESPONSE TYPE screen displays.

◆ Click the Reference an existing motion/application hyperlink.
**STEP 4**  
The **CASE NUMBER** screen displays.

- Enter the correct case number, including the hyphen.
- Click **Next**.

**STEP 5**  
The **DOCUMENT TYPE SELECTION** screen displays.

- Click on the down arrow in the **Document Type** pick list.
- Your choices in the starter database are Objection, Reply or Response. Highlight **objection**.
- Click **Next**.

**STEP 6**  
The **JOINT FILING** screen displays.
This screen will only be used if another attorney is joining in this filing. No action is necessary.

Click Next.

STEP 7

The SELECT PARTY screen displays. All participating parties on the case will appear on this list.

The party for whom you are filing the objection in this example is Householders Finance.

Since the party name (Householders Finance) does not display in the Select The Party box, they need to be added to this case.

Click the Add/Create New Party hyperlink.

STEP 8

The PARTY SEARCH screen displays. You must first search the database to retrieve the party record. If the party is new to the court, a new party record must be created.
It is very important to search carefully and thoroughly before adding a new party so duplicate records for the same person or entity do not reside on the database. Additional search hints are provided below.

**Search Hints:**

- Enter one field of data for each search.
- Format Social Security Number or Tax ID with hyphens.
- Searching is case sensitive. (Smith, not smith)
- Include punctuation. (O'Bien, Garcia-Barrera)
- Try alternate search clues if your first search is not successful.
- Partial names can be entered.
- Wild cards (*) are not required at the end of search strings.
- Wild cards may be used before or within search strings. (*son, Gr?y)

Click in the **Last/Business name box** and enter the last (or partial) name or business name of the party. We have entered House for Householders Finance.

Click **Search**.

**STEP 9**

The system will search the court database and then display a list of all parties whose names match the search criteria you entered. However, in this example, no matches were made for Householders Finance.

Click the **Create new party** button.
STEP 10  The PARTY INFORMATION screen will then appear.

Complete all appropriate name fields. The entire business name should be entered in the Last Name field. Do not add address information.

Since this party is represented by an attorney, do not change the pro se default value of No.

Click to expand the Party Role list arrow ▼ and highlight Creditor (cr:cr).

Click Submit.

STEP 11  The SELECT PARTY screen displays again with the new party filer highlighted at the top of the list (Householders Finance).
Click **Next**.

**STEP 12**
The **ATTORNEY/PARTY ASSOCIATION** screen appears.

Since your party, Householders Finance, is new, this screen will establish you as counsel for them on this case. Paul Peterson is used as an example.

Check the box and click **Next**.

**STEP 13**
The **PDF DOCUMENT SELECTION** screen displays.

Click **Browse**, then navigate to the directory where the PDF file is located or type in the entire drive and directory path.

Double-click the PDF file to select it.

There will not be any Attachments to the objection in this lesson. Accept the **No** default radio button.

Click **Next**.
STEP 14 The PENDING MOTIONS screen appears.

Select the appropriate motion you wish to answer by clicking in the box next to the date. If there is more than one possibility, click on the document number hyperlink to view the imaged application or motion.

In preparation for enhancing the FINAL DOCKET TEXT screen, you can use a Windows shortcut to assist your processing.

- Using your mouse, highlight the text of the Motion to Avoid Lien.

- From the browser Edit pull down menu, select Copy or execute the keystroke [Ctrl+C]. This will store the text in the Windows clipboard until you are ready to paste it into the final docket text.

- This utility can eliminate extra typing and also make the entries of the same type on the docket sheet more standardized. This step is optional; the final docket text can still be modified by typing additional text.

- Click Next.
STEP 15  A reminder message will display to ensure the final docket text is complete and meaningful.

Click Next.

STEP 16  The MODIFY DOCKET TEXT screen appears.

These prefixes are optional. (See pop-up menu above.)

Complete the docket text with the appropriate prefix and descriptive detail. If you have copied the text from the motion in Step 11, position your cursor within the text box and click on Edit on the browser Menu bar and select Paste, or, alternatively use the keystroke [Ctrl + V] to paste.

Click Next.
STEP 17  The FINAL DOCKET TEXT screen appears.

Use caution on this screen and proof the contents of the entry carefully.

NOTE: To abort or restart the transaction at any time, click the Bankruptcy hyperlink on the main menu bar.

When you click Next, the entry is sent to the court's database.

STEP 18  The NOTICE OF ELECTRONIC FILING screen appears.

Use caution on this screen and proof the contents of the entry carefully.

NOTE: To abort or restart the transaction at any time, click the Bankruptcy hyperlink on the main menu bar.

When you click Next, the entry is sent to the court's database.
Users should scroll down to view entire notice.

Click the browser Print button to print a copy of this notice.

You may also save the notice through the browser File/Save option.
LINKING EVENTS ON CM/ECF

3 PURPOSES

TO SHOW/CONNECT ALL RELATED TRANSACTIONS ON CALENDAR REPORTS THAT THE JUDGES WILL USE DURING HEARINGS

TO TERMINATE A PENDING DOCUMENT

TO CAUSE ANY OTHER SYSTEM CHANGES BASED UPON THE EVENT TO WHICH THE DOCUMENT IS LINKED
MULTI-PART MOTIONS FOR ATTORNEYS

This procedure explains how to docket a two-part motion. The example illustrated is a Motion for Relief from Stay and Adequate Protection with an attached Proposed Order.

**STEP 1**
Click the Bankruptcy hypertext link on the CM/ECF Main Menu.

**STEP 2**
The BANKRUPTCY EVENTS screen will display similar to the one shown below. Your menu selections may vary from this screen.

- Click the Motions/Applications hyperlink.

**STEP 3**
The CASE NUMBER screen displays.
Enter the case number, including the hyphen.

Click Next.

NOTE: You may use the browser Back button at any time during this process to verify former screens until the final submission.

STEP 4 The DOCUMENT SELECTION screen displays next.

Click to highlight Adequate Protection. Keeping the [Ctrl] key depressed, scroll and highlight Relief From Stay. There are now two reliefs identified and selected for this motion.

Click Next.

STEP 5 The JOINT FILING screen displays.

This screen is only used if another attorney is joining in a filing, do not check this box.

If this is a joint filing with another attorney(s) you will be presented with a pick list of attorneys on the case to select as joint filers.

Click [Next].
STEP 6  The SELECT PARTY screen displays.

Since the party, Friendly Finance, is not listed, it must be added. Click the Add/Create New Party hyperlink.

Click Next to continue.

STEP 7  The PARTY SEARCH screen appears.

Enter the first part of the business name and click Search.
STEP 8 If there are no matches, the system will return a **No Person Found** message. Make sure your search criteria is accurate. If the party is not found on your first try, use different criteria and/or wildcards.

![ECF Party Search](image)

- Since the party is not already on the database, proceed to add the creditor, Friendly Finance. Click **Create New Party**.

STEP 9 The **PARTY INFORMATION** screen displays.

![ECF Party Information](image)

- Enter creditor **Name** information in the appropriate boxes, according to court policy.
- Leave **pro se** as no.
- Expand the **Role Type** selection pick list by clicking on the down arrow ▼ and select Creditor.
Enter further descriptive text for the creditor in the Party Text field, if appropriate. (A Connecticut Corporation, Guardian of the State, etc.)

It is not necessary to add yourself as counsel for the party. Your login will furnish your attorney information to the system.

Click Submit.

**STEP 10**

The SELECT PARTY screen appears again.

The new creditor's name, Friendly Finance, is highlighted.

Click Next to continue.

**STEP 11**

The ATTORNEY/PARTY ASSOCIATIONS screen appears.

Click the box to establish the association between you and Friendly Finance.

Click Next.
STEP 12 The PDF DOCUMENT SELECTION screen displays.

- Click Browse, then navigate to the directory where the appropriate PDF file is located.
  - To make certain you are about to associate the correct PDF file for this entry, right click on the filename with your mouse and select Open.
  - This will launch the Adobe Acrobat Reader to display the contents of the imaged document. Verify that the document is correct.
Close or minimize the Adobe application and if that is the correct file, click Open on the File Upload dialogue box.

To illustrate the attachment feature, click the Yes radio button at the right of the Attachments to Document prompt to attach the proposed order to the motion. This exercise will show the process of an attached proposed order.

Click the Yes radio button to the right of the Attachments to Document prompt to attach the proposed order.

Click Next.

**STEP 13** When you click the yes radio button, the ATTACHMENT screen displays.
Please note that the PDF file of the motion is not an attachment. An attachment is another supporting document, such as supporting affidavits, exhibits, etc. which are defined by each court.

An attached document will be referenced in the docket text separately, and the attached image will be accessible by clicking on the hyperlink within the docket text.

Click Browse, then navigate to the directory where the appropriate PDF file for the proposed order is located.

Double-click the PDF file to select it.

Highlight Proposed Order in the Type pick list.

Enter detail concerning the attachment in the Description Box. Follow your local court procedures for use of the Description Box.

Click Add to List and the path and file name are added to the List box.
Click Next.

STEP 14 The MODIFY DOCKET TEXT screen appears.

If appropriate, choose a prefix such as *Emergency* from the Prefix Text pick list.

In either or both of the text boxes, add additional text for the motions you are filing according to your court procedures.

Click Next to continue.
STEP 15 The **FINAL TEXT EDITING** screen displays.

- Carefully verify the final docket text. This is your last chance to change this entry before addition to the case.
- If correct, click **Next**
- If the final docket text is incorrect:
  - Click the browser **Back** button to find the screen to be modified.
  - To abort or restart the transaction, click the **Bankruptcy** hyperlink on the **Menu Bar**.

STEP 16 The **NOTICE OF ELECTRONIC FILING SCREEN** displays.

- The following document(s) are associated with this transaction:
• Clicking on the case number hyperlink on the Notice of Electronic Filing will present the docket report for this case.

• Clicking on the document number hyperlink will present the PDF image of the petition just filed. Attorney users will be presented with a PACER login screen to access these features.

• To print a copy of this receipt click the browser Print icon.

• To save a copy of this receipt, click File on the browser menu bar

Document description:Main Document
Original filename:R:\TRAINING\ECF\PDFfiles\m_10122_adqreq.pdf
Electronic document Stamp: KeyFile is not available for this court
Document description:Proposed Order Relief from Stay Adequate Protection
Original filename:R:\TRAINING\ECF\Docs_PDF\ECFdocketsMotion.pdf
Electronic document Stamp: KeyFile is not available for this court

00-10122 Notice will be electronically mailed to:
Amy Brennan  ebren@somewhere.com,
Ramona Haynes  racehorsehaynes@email.mss.com,
Bruce Williams  bwill@email.tnsm.com,

00-10122 Notice will not be electronically mailed to:
Cornelius Appleby
Appleby, Crowne, Harris and Quick
611 E. 21st Street
Columbia, MD 21046

Hardy Hansen
Hansen & Hansen
1234 Main St
San Antonio, TX 78209

Perry Mason
Mason & Associates
217 Woodlawn
Houston, TX 77229

Glenn D. West
West, Johnson, Smith and Jones
112 E. Chanook Street

Figure 16

and select Save Frame As.

• The Notice of Electronic Filing will also be accessible as an option from the docket sheet. However, attorneys and public users will be charged a PACER access fee.
Notice of Electronic Filing:

Hyperlink to docket sheet
Date and time stamp information
Case Title
Case number hyperlink to docket sheet?
Docket text
• Annotated text in italics
• Text produced from docket event
• Attachment type, description and attachment number which is a hyperlink to the PDF file of the attached document if there is one.

Associated (PDF) documents:

Document description: Defaults to Main Document being docketed.
Original filename: Filer's full directory path from firm or court's hard drive or network.
Electronic document stamp: Unique identifying name of the document being filed for security purposes. Key file of the court used for encryption

Document description: First attached document's description that was entered on the attachment screen by the filer.
Original filename: Filer's full directory path from the firm or court's hard drive or network.
Electronic document stamp: Unique identifying name of the attachment for security purposes. Key file of the court used for encryption

Notice will be electronically mailed to:

Any party on the case who has registered their e-mail address with the court will be listed here with their current e-mail address, not their street address.

Notice will not be electronically mailed to:

Name and address of other parties on the case who have not furnished their e-mail address with the court.
CM/ECF Trustee/Attorney

BATCH AND MULTI-CASE PROCESSING FOR TRUSTEES & ATTORNEYS

CM/ECF Batch and Multi-Case processing were developed to expedite the filing of multiple documents. Both processes file the same type of document to different cases in one operation.

The basic difference is that the Batch feature offers the association of a different PDF file for each case and Multi-Case will use the same PDF for each case. This feature can expedite case administration for attorneys, trustees and court users.

**Batch Filings**  
(See STEP 9 for the Multi-Case Process.)

Chapter 13 Trustee's Motion to Dismiss Case is a classic example of a pleading used for Batch processing. This feature allows different case numbers and names as well as standard language to appear on each pleading. Each PDF file, although the same type of entry, can be filed in volume by the Trustee's office (or the court) more efficiently. The following steps illustrate the batch process.

**STEP 1**  
Click the Bankruptcy hyperlink on the CM/ECF Main Menu. (See Figure 1.)

**STEP 2**  
The BANKRUPTCY EVENTS screen displays. (See Figure 2.)

**◆** Select Batch Filings.
STEP 3

The **CASE NUMBER** screen will appear. (See Figure 3.)

![Figure 3](image)

- Each case number should be typed in this extended window.

**NOTE:** It is suggested that one type the list of case numbers in WordPerfect (or other word processing program.)

In WordPerfect, highlight the list with your mouse, click on **Edit** on the browser menu bar and choose **Copy** (or use the keystroke `[Ctrl] + C`).

Toggle back `[Alt + Tab]` to CM/ECF and position the cursor within the Case Number box. Click on **Edit** on the menu bar and choose **Paste** (or use the keystroke `[Ctrl] + V`).

If any of the case numbers are invalid, an error message appears and the valid case numbers already entered will be lost. If that happens, one can easily go back to the WordPerfect list `[Alt + Tab]` and make the change(s) in the list without having to type in all the case numbers again.

- After successfully entering all of the target case numbers, click **Next**.
STEP 4

The DOCUMENT SELECTION screen is presented next. (See Figure 4.)

![Figure 4]

- Each case number and title will appear above the document window as a hyperlink to the docket report. This is an opportunity to verify the case before proceeding.

- Select the type of document to file from the list and click Next.

STEP 5

The PDF DOCUMENT ASSOCIATION screen displays with a Browse window for each of the target cases. (See Figure 5.)

![Figure 5]

- For each case, click Browse, then navigate to the directory where the PDF file for this filing is located or type the file path in the text box.
• For quality control purposes it is recommended that each file be opened to verify its contents before proceeding:
  - Highlight the PDF file with a right click of your mouse.
  - Select Open to bring up the document for viewing and verification. Close the file and select it, if correct.

  • Continue with each file in the list.
  • Click Next to continue.

**STEP 6**
The MODIFY DOCKET TEXT screen displays. (See Figure 6.)

  • Complete the docket text with the appropriate descriptive detail.

![Figure 6](image)

  • Click Next.

**NOTE:** Any modifications to the docket text will apply to all cases included in this filing.

**STEP 7**
The DOCKET TEXT window is presented next. (See Figure 7.)

![Figure 7](image)

  • Verify the accuracy of the docket text. This is what will print on the docket sheet.
If the docket text has a significant error, click the browser's [Back] button at the top of the screen one or more times to access the screen that caused the error, and correct it.

To abort or restart the transaction, click on the Bankruptcy Events hyperlink on the CM/ECF Main Menu Bar. Although this can be done at any time, this is your last opportunity to change the event.

If the docket text is correct, click Next to continue.
STEP 8

One NOTICE OF ELECTRONIC FILING will be generated for all the cases in this transaction. (See Figures 8a and 8b.)

Notice of Electronic Filing

The following transaction was received from Stevens, Kate on 3/5/2001 at 5:21 PM CST:

- **Case Name:** Benjamin's Tacos
  - **Case Number:** 00-01214
  - **Document Number:** 7
- **Case Name:** Milo Milanovich
  - **Case Number:** 00-61613
  - **Document Number:** 22
- **Case Name:** Sam Redwood and Alphonsus M. Capone
  - **Case Number:** 00-10029
  - **Document Number:** 24
- **Case Name:** Amalgamated Products
  - **Case Number:** 00-10006
  - **Document Number:** 8
- **Case Name:** Interactive Media, Inc.
  - **Case Number:** 00-10012
  - **Document Number:** 19

Docket Text:

Trusted's Motion to Dismiss Case. (Stevens, Kate)

The following document(s) are associated with this transaction:

- Charles Brent Massey  
  cbmassey@somewhere.com

**00-61613 Notice will not be electronically mailed to:**

- Perry Mason
  - 217 Woodlawn
  - Houston, TX 77229
- Katita Stevens
  - 4410 E. 57th Street
  - Chicago, IL 60601

**Case Number:** 0-10029
- **Document description:**
  - Original filename: R:\TRAINING\ECF\Docs_PDF\ECF\docs\Motion.PDF
  - Electronic document Stamp:
    - [STAMP blockID=981452479 [Date=3/5/2001] [FileNumber=7770-0] [of ec675ba8e8b11d51fe3ce9e4e7b4f333ada2c6300a048640b1a7400d76b485697f9eae031f6453a3902d45631e5986928ad7e80af6a+a2d6b373580c7a6b]]

**Case Number:** 0-10006
- **Document description:**
  - Original filename: R:\TRAINING\ECF\Docs_PDF\ECF\docs\Motion.PDF
  - Electronic document Stamp:
    - Figure 8a
Case Number: 0-10012
Document description:
Original filename:/TRAINING/ECF/Docs_PDF/ECF_docs/jointmotion.PDF
Electronic document Stamp:

Case Number: 0-10013
Document description:
Original filename:/TRAINING/ECF/Docs_PDF/ECF_docs/Motion.PDF
Electronic document Stamp:

Case Number: 0-10014
Document description:
Original filename:/TRAINING/ECF/Docs_PDF/ECF_docs/jointmotion.PDF
Electronic document Stamp:

Donita Thompson
1211 Maple Valley
Suite 200
San Antonio, TX 78244

Edward Hensley

Dana L. Wilson

Figure 8b
All case data will be combined on this one Notice of Electronic Filing. All case numbers, title and document numbers will be grouped together. The electronic document stamp and document description will be listed for each case. And finally, the electronic mailing information for parties on each case will be listed by case. (See Figure 8b.)

It is suggested that this notice be printed or saved to a file in a common directory on the network.

Multi-Case Filings

To expedite and streamline the exact same entry to multiple cases the Multi-Case function was created. Typical uses for this function are the Trustee's No Asset Report, as in this example.

This type of filing must contain standard "boiler plate" language which would apply to every case included in the process because the document and docket text will be identical in each case. The filer option could be used to identify each trustee by name if not already included in the docket text.

STEP 9

The Multi-Case category is a separate selection on the BANKRUPTCY EVENTS screen. (See Figure 9.)

Select Multi-Case Docketing from the Bankruptcy Events menu.
STEP 10  The CASE NUMBER screen appears. (See Figure 10.)

Figure 10

◆ Each case number should be typed in this extended window.

NOTE: If this entry will be filed in many cases, it is suggested that one type the list of case numbers in WordPerfect or other word processing program first.

In WordPerfect, highlight the list with your mouse, click on Edit on the browser menu bar and choose Copy (or use the keystroke [Ctrl] + C).

Toggle back [Alt + Tab] to CM/ECF and position the cursor within the Case Number box. Click on Edit on the menu bar and choose Paste (or use the keystroke [Ctrl + V]).

If any of the case numbers are erroneous an error message appears and the valid case numbers already entered will be lost. If that happens, one can easily go back to the WordPerfect list [Alt + Tab] and make the change(s) in the list without having to type in all the case numbers individually again.

◆ After entering all of the target case numbers, click Next.
STEP 11 The DOCUMENT SELECTION screen is presented next. (See Figure 11.)

Each case number and title will appear above the document window as a hyperlink to the docket report. This is an opportunity to verify each case before proceeding.

Select the Type of document to file from the list and click Next.

STEP 12 The PDF DOCUMENT SELECTION screen appears. (See Figure 12.)

The file date and the EOD date as well as the document number for each case will appear in a subsequent screen, the Notice of Electronic Filing.

To link a PDF file:
- Click Browse, then navigate to the directory where the PDF file is located or type in the entire drive and directory path.
• Double-click the PDF file to select it.

• Click Next.

STEP 13 The MODIFY DOCKET TEXT screen displays. (See Figure 13.)

Use the text box to further annotate the final text.

NOTE: Any modifications to the docket text will apply to all cases included in this filing.

• Click Next to continue.

STEP 14 The FINAL DOCKET TEXT window is presented next. (See Figure 14.)

To modify a previous screen click on the browser Back button to find the screen to correct the error.

• To abort this transaction, (at any time up until this last screen) click on any of the hyperlink menu selections on the CM/ECF main menu bar. This will prevent this filing from being sent to the court’s database.
STEP 15

One **NOTICE OF ELECTRONIC FILING** will be generated for all the cases in this transaction. (See Figure 15a and 15b.)
<table>
<thead>
<tr>
<th>Document Number: 1</th>
<th>Case Name: Interactive Media, Inc.</th>
<th>Document Number: 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Docket Text: Trustee’s No Asset Report (Mayfair, Julian)</td>
<td>The following document(s) are associated with this transaction:</td>
<td></td>
</tr>
</tbody>
</table>

**Document description:** Main Document

**Original filenames:** `R:\\TRAINING\ECF\Case Files\PDF Files\Document.PDF`

**Electronic document Stamp:**

```
[STAMP biceffamp_ID=978562065 [Date=11/15/2001] [FileNumber=2602-0] [0 1159057696983e199bd5965d31eda3dd59335522d21ed43bb6a091915533c10e [5ceeb5774aa64757b9e45e96a50067e1aa1728776a9303a53a5f11]]
```

**00-01134 Notice will be electronically mailed to:**

Charles Brent Massey cbmassey@somewhere.com

**00-01613 Notice will not be electronically mailed to:**

Perry Mason
Mason & Associates
217 Woodlawn
Houston, TX 77229

Katita Stevens
Laurel, Chaplin & Hardy
4410 E. 57th Street
Chicago, IL 60601
Donita Thompson
1211 Maple Valley
Suite 200
San Antonio, TX 78244

**00-10019 Notice will be electronically mailed to:**

Julia Mayfair stevensk@asotd.uscourts.gov

**00-10029 Notice will not be electronically mailed to:**

Edward Hensley

**00-10006 Notice will be electronically mailed to:**

**00-10006 Notice will not be electronically mailed to:**

**00-10006 Notice will be electronically mailed to:**

**00-10012 Notice will not be electronically mailed to:**

Julia Mayfair stevensk@asotd.uscourts.gov

**00-10012 Notice will not be electronically mailed to:**

Trustee Gloria

**Figure 15b**
- All case data will be combined on this one Notice of Electronic Filing. All case numbers, title and document numbers will be grouped together. If a PDF document is used, the same electronic document stamp and document description will be listed for each case. And finally, the electronic mailing information for parties on each case will be listed by case. (See Figure 15b.)

- It is suggested that this notice be printed or saved to a file in a common directory on the network.
Opening an Adversary proceeding involves entering the necessary information regarding the plaintiff, defendant, and basic statistical data. The complaint is incorporated into this process and will not need to be docketed separately. At this time when the filer is the attorney, he/she must also be added as a party to the case. This is the only time this process is required. (Refer to Step 7.)

**STEP 1**
Click the **Adversary** hyperlink on the CM/ECF main menu bar. (See Figure 1.)

![Figure 1](image1)

**STEP 2**
The **ADVERSARY EVENTS** screen displays. (See Figure 2.)

![Figure 2](image2)

- Click the **Open an AP/MP Case** hyperlink.

**STEP 3**
The **CASE DATA** screen displays. (See Figure 3.)

![Figure 3](image3)
The case number will be generated at the end of this process. Make sure you take note of it on the final screen.

Select the Office from the pick list by clicking on the ▼ arrow and highlighting your selection.

The current date is displayed next to Date Filed.

The Case Type values are ap for adversary proceeding and mp for miscellaneous proceeding. Miscellaneous cases are an internal court function. Always accept the default of ap.

The Complaint field signifies the lead event for this proceeding. If you are filing something other than a complaint such as a Notice of Removal, select (n) for no.

Click Next.

STEP 4 The PARTY SEARCH screen appears. (See Figure 4.)

Before adding a party, it is recommended that one search the database for the filer. One can search by Social Security Number, Tax Identification Number, Last Name or Business Name.

Enter the last name or the first few characters of the last name to search. If this is a business filing, enter the first word of the name to search the database. The entire business name is stored in the Last/Business name field. The field size is 80 characters.
Search Hints:

- Enter one field of data for each search.
- Format Social Security Number or Tax ID with hyphens.
- Searching is case sensitive. (Smith, not smith)
- Include punctuation. (O’Brien, Zeta-Jones)
- Try alternate search clues if your first search is not successful.
- Partial names can be entered.
- Wild cards (*) are not required at the end of search strings.
- Wild cards may be used before or within search strings. (*son, Gr?y)
- Do not search only by the asterisk * itself.

Enter the plaintiff’s last name or other search clue and click Search. In Figure 4 we have entered the first word or the plaintiff’s name (Financial).

NOTE: Do not use the asterisk * by itself as search criteria. If just the asterisk is used, the entire database will be searched and require unnecessary systems resources and may degrade response time.

STEP 5 The SEARCH RESULTS screen appears. (See Figure 5.)

Figure 5a
NOTE: If the designated party was already on the database, the Party Search Results screen would provide a listing of parties matching your search criteria. In that situation you would select the party by highlighting the name with your mouse and click on the Select Name From List button. (See Figure 5b.)

In Figure 5b the only party on the database matching the search criteria was Providian Financial. Since our party, Financial Services is not on the list, click the Create New Party button.

STEP 6 The PARTY INFORMATION screen appears. (See Figure 6.)

Enter the plaintiff's Name and Tax ID or SSN information in the appropriate boxes.

Expand the Role Type selection pick list by clicking on the down arrow ▼ and select Plaintiff.

The Party Text field is used for further party description, such as A California Corporation or Executor for the Estate of.... This information will appear on the caption of the docket report immediately after the party's name.
STEP 7

Click on the **Attorney** button on the **PARTY INFORMATION** screen. *(See Figure 6.)*

**For adversary openings ONLY,** you will need to add yourself as the attorney representing the plaintiff(s). Steps 7 - 9 will show how this is done.

Your attorney record already exists on the court’s database in an attorney roll that is maintained by court staff.

The **ATTORNEY SEARCH** screen allows you to retrieve your attorney record by either State Bar ID or Last Name (or partial Last Name.) *(See Figure 7.)*

![](image)

**Figure 7**

This exercise illustrates how one could search for the attorney Cornelius Appleby. The search clue entered in the Last Name field is the beginning of his last name.

Click on **Search.**
**STEP 8**

The **ATTORNEY SEARCH RESULTS** screen will display all the matches for the search clue you entered. *(See Figure 8.)*

![Figure 8](image)

When your name appears, highlight it with your mouse and click on *Select Name From List.*

**STEP 9**

The **ATTORNEY INFORMATION** screen displays the master attorney record from the court attorney roll. *(See Figure 9a.)*

![Figure 9a](image)

Your attorney record can accommodate only one address. If the address for this case is different, make the changes to this screen. This will change professional and mailing information FOR THIS CASE ONLY.
After verifying this information, click **Add Attorney** to associate this record with your plaintiff.

The main **PARTY INFORMATION** screen again appears. (See **Figure 6**.) At this time you could click on the **Review** button to verify attorney and alias information for this party. **Figure 9b** shows how this information is displayed.

Click on the **Return to Party** button.

**Click on the Return to Party button.**

**Figure 9b**

When the Party Information screen appears again, Click **Submit**.

**STEP 10**

You have added the plaintiff and if there are no more plaintiffs, the next step is to add the defendant(s). The **PARTY SEARCH** screen will appear again for that purpose. (See **Figure 10**.)

**Figure 10**

Enter party information for the defendant Dale A. Daniels. Search by last name.

Enter party information for the defendant Dale A. Daniels. Search by last name.
STEP 11 When the SEARCH RESULTS screen appears, the party will be displayed because Dale Daniels is already a debtor on the bankruptcy case. (See Figure 11.)

Figure 11

To highlight the name and click on Select name from list.

STEP 12 The SEARCH RESULTS screen appears next with this party’s data and address as it is recorded in the database from the bankruptcy case. (See Figure 12.)

Figure 12

- Add all attorneys and aliases before clicking the Submit button.
Follow your court’s procedures for addresses for defendants. You must select the Party Role by clicking on the ▼ down arrow for the **Party Role** field. Highlight Defendant and click on **Submit**. The defendant’s attorney information will be added at a later time.

The Party Search screen will reappear. Since all parties have now been entered, click on **End Party Selection**. Statistical information will be entered on the next screen.

**STEP 13**

The **ADVERSARY STATISTICAL** screen appears. (See Figure 13a).

<table>
<thead>
<tr>
<th>Open Adversary/MP Case</th>
</tr>
</thead>
<tbody>
<tr>
<td>Party code</td>
</tr>
<tr>
<td>Nature of suit</td>
</tr>
<tr>
<td>Origin</td>
</tr>
<tr>
<td>Transfer date</td>
</tr>
<tr>
<td>Rule 23 (class action)</td>
</tr>
<tr>
<td>Jury demand</td>
</tr>
<tr>
<td>Demand ($000)</td>
</tr>
</tbody>
</table>

**Figure 13a**

Unless the US is a plaintiff or defendant in your case, accept the default **US is not a Party in the Case**.

Other values are:

<table>
<thead>
<tr>
<th>3 U.S. Not a Party in the Case</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 U.S. is a Plaintiff</td>
</tr>
<tr>
<td>2 U.S. is a Defendant</td>
</tr>
</tbody>
</table>

**Figure 13b**

Select the **Nature of Suit** of the complaint from the list below. (See Figure 13c.) If there are multiple suits in an adversary, only one can be selected.
• Click on 426 (Dischargeability 523) for this exercise.

<table>
<thead>
<tr>
<th>426  (Dischargeability 523)</th>
</tr>
</thead>
<tbody>
<tr>
<td>424 (Obj/Revocation Discharge 727)</td>
</tr>
<tr>
<td>425 (Dischargeability 523)</td>
</tr>
<tr>
<td>434 (Injunctive Relief)</td>
</tr>
<tr>
<td>435 (Validity/Priority/Extent Lien)</td>
</tr>
<tr>
<td>454 (Recover Money/Property)</td>
</tr>
<tr>
<td>455 (Revoke Plan Confirmation)</td>
</tr>
<tr>
<td>456 (Declaratory Judgment)</td>
</tr>
<tr>
<td>457 (Subordinate Claim/Interest)</td>
</tr>
<tr>
<td>458 (Approval For Sale)</td>
</tr>
<tr>
<td>459 (Application For Removal)</td>
</tr>
<tr>
<td>498 (Other Action)</td>
</tr>
</tbody>
</table>

**Figure 13c**

**NOTE:** If one of the multiple suits is a 727 Objection to Discharge, it is important to enter 424 as the first NOS.

◆ The **Origin** code defaults to original proceeding. (See **Figure 13d**.)

No action is necessary to accept the default. Other values are:

<table>
<thead>
<tr>
<th>1 Original Proceeding</th>
</tr>
</thead>
<tbody>
<tr>
<td>2 Removed From State</td>
</tr>
<tr>
<td>4 Reinstated/Reopened</td>
</tr>
<tr>
<td>5 Other District Trans In</td>
</tr>
</tbody>
</table>

**Figure 13d**

◆ The default in the **Rule 23 (Class Action)** box is n. Change the default to y only if this is a Class Action suit.

◆ The default in the **Jury Demand** box is n (None). (See **Figure 13e**.)

<table>
<thead>
<tr>
<th>None</th>
<th>Both</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>1</td>
</tr>
</tbody>
</table>

**Figure 13e**

◆ Highlight the appropriate selection.
Dollar Demand. If there is a dollar demand, enter the amount in thousands to the nearest thousand. For example, if the Dollar Demand is $4550, $5,000, or $5499, you would enter 5 for $5000, leaving off the 000.

Verify the data on your screen and then click Next.

STEP 14

The RELATED CASES screen displays next. (See Figure 14.)

Enter the Lead Bankruptcy Case Number in yy-nnnnn format, including the hyphen.

**NOTE:** If the case number is invalid or if the lead case does not reside on this database, an error message, **"YY-NNNNN is not a valid case. Please enter a valid value."** is generated. You will not be able to proceed with the case opening process. Research the reason for the error.

If you do not enter any number in the Lead Case Number field the system will allow you to proceed with case opening.

Select the default of Adversary as the Association Type.

Click Next to continue.
STEP 15 The PDF DOCUMENT SELECTION screen displays. (See Figure 15a.)

To associate the imaged document with this entry, select the PDF filename of the complaint you are filing.

- Click Browse, then navigate to the directory where the appropriate PDF file is located and select it with your mouse.

- To make certain you are about to associate the correct PDF file for this entry, right click on the filename with your mouse and select Open. (See Figure 15b.)

This will launch the Adobe Acrobat Reader to display the contents of the imaged document. Verify that the document is correct.
• Close or minimize the Adobe application and if that is the correct file, click Open on the File Upload dialogue box. (See Figure 15c.)

Figure 15c

◆ There will be no attachments in this exercise. Attachments will be covered in another lesson. Therefore, leave the radio button indicating No.

◆ Click Next to continue.

STEP 16 A screen with this message may appear:

"FOR COURT USERS ONLY: If this is a 727 Objection to Discharge, Docket the Flag Set-727 Objection to Discharge Event Next."

This is for court staff only and as an attorney filer; you can disregard this notation.
STEP 17  The FILING FEE screen will display prompts for fee and receipt information. (See Figure 17.)

- You will not know what the Receipt Number is. Enter “cc” in the Receipt # field to indicate payment by Credit Card, WV.
- The Fee Amount defaults to the amount of the complaint filing fee, $150.00.
- The message “Enter Nature of Suit and Description in Docket Text.” reminds you to add further text detailing this complaint for the docket report.
- Click Next to continue.

STEP 14  The MODIFY TEXT screen displays. (See Figure 14.)
Optional prefixes are available for the final docket text. If appropriate select a prefix.

Additional description can be typed in the text window. It was suggested in STEP 8 to add the type of complaint that has been filed. (See Figure 18.)

Click Next.

**STEP 18** The **FINAL DOCKET TEXT** screen displays. (See Figure 18.)

![ECF Bankruptcy - Adversary - Query - Ruptures - Utilities - Logbook](image)

Open Adversary/MP Case

**Figure 18**

- Proof this screen carefully! No further editing in the case opening process is allowed after this screen.
- If any part of it is incorrect, click the browser Back button to return to the screen you need to correct. Then process the screens again with the respective Next or Submit buttons.

**NOTE:** When an adversary is opened, the complaint information is spread over to the main bankruptcy case. (The case number does not appear in the docket text.)

When the judgment is rendered, the ruling will also spread over to the main bankruptcy case.

**NOTE:** To abort or restart the transaction at any time up until the final docket text screen, click the Adversary hyperlink on the Menu Bar.
STEP 19  The NOTICE OF ELECTRONIC FILING screen appears. (See Figure 19a.)

Figure 19a

The Notice of Electronic Filing is the verification that the filing has been sent electronically to the court’s database. It certifies that this is now an official court document.

The case number is a hyperlink to the docket sheet and clicking on the document number hyperlink will display the image of the complaint. **The case number of both this adversary and the lead bankruptcy case appear.** This indicates that this complaint entry has spread to the bankruptcy case and will be available to anyone reviewing the Bankruptcy Docket report. The hyperlink to the imaged complaint is also accessible from the bankruptcy case.

Further access to the **Notice of Electronic Filing** is available though the electronic docket report. When this option is selected, a bullet appears next to the document number of the event on the
docket report. (See Figure 19b.) Clicking on this bullet will display a copy of this notice. Attorney users will be presented with a PACER login screen first. (See Figure 19c.)

To print a copy of this notice, click the browser Print icon.

To save a copy of this receipt, click File on the browser menu

Trustee and Attorney users will have access to the Notice of Electronic Filing at the time of their filing. Subsequent access to any Query or Report programs must go through the PACER system. (See Figure 19c.)

When a copy of the Notice of Electronic Filing is mailed to each subscriber on the case, the following message will display at the top:

***NOTE TO PUBLIC ACCESS USERS***
You may view the filed documents once without charge. To avoid later charges, download a copy of each document during this first viewing.
ANSWER TO COMPLAINT FOR ATTORNEYS

This process shows the steps and screens required for an attorney to electronically file the answer to a complaint in an adversary case. For this lesson, we'll assume that you are logged in to the CM/ECF system as the attorney Robert Louis Stevenson.

**STEP 1**
Click on the **Adversary** hyperlink on the CM/ECF Main Menu Bar. (See Figure 1.)

**STEP 2**
The **ADVERSARY EVENTS** screen displays. (See Figure 2.)

- Click on the **Answers...** hyperlink.
The next screen lists two menu selections for Answers. (See Figure 3.)

Motions/Applications, refers to documents filed in response to a motion or application, such as an objection, reply or response.

Complaint, 3rd, cross, counter refers to documents which are answers to a complaint, third-party complaint, cross-claim, or counterclaim.

For this lesson, we are docketing the answer to the original complaint, so click on Complaint, 3rd, cross, counter.

NOTE: If this answer includes a third-party complaint, cross-claim, or counterclaim, that is covered later in this event.

The CASE NUMBER screen displays. (See Figure 4). The system will display the number of the last case you accessed in this session.

If the displayed case number is the case number you want, just leave it entered. If it isn't, enter the desired case number in the format YY-NNNN.

Click Next.
STEP 5  The system will then display a screen to verify the event and case you are docketing. (See Figure 5.)

Figure 5

- If you are filing this answer jointly with another attorney, click in the check box to indicate that. This will enable you to select the other attorney(s) later in this event.
- If the information is correct, click Next.

STEP 6  The SELECT PARTY screen then displays all of the parties in the case. (See Figure 6.)

Figure 6

- Click on the defendant(s) for whom this answer is being filed, then click Next.
STEP 7

The PARTY/ATTORNEY ASSOCIATION screen displays. (See Figure 7.)

![Figure 7](image-url)

- Although you have selected the party whom you are representing, the system doesn't automatically make that association. Therefore, you must click in the check box to create this link. Click in the check box, then click Next.

STEP 8

The Complaint screen displays next. (See Figure 8.)

![Figure 8](image-url)

- This screen shows the complaint (and other related events) in the case. It allows you to link the answer to the complaint. Click in the check box to link the appropriate complaint, then click Next.

STEP 9

The PDF DOCUMENT screen will then be presented. (See Figure 9a.)

![Figure 9a](image-url)
To associate the imaged document with this entry:

- Click **Browse**, then navigate to the directory where the appropriate PDF file is located and select it with your mouse.

- To make certain you are about to associate the correct PDF file for this entry, right click on the filename with your mouse and select **Open**. (See Figure 9b.)

![Figure 9b](image)

- This will launch the Adobe Acrobat Reader to display the contents of the imaged document. Verify that the document is correct.

- Close or minimize the Adobe application and if that is the correct file, click Open on the File Upload dialogue box. (See Figure 9c.)
The system will enter the path and name of the PDF document selected into the Filename field of Figure 9a. Click Next.

**STEP 10**

The next screen provides secondary complaints to be addressed. (See Figure 10.) This screen provides the option of combining the answer with another claim.

![Image of File Upload](http://example.com/file.png)

**Figure 9c**

- Indicate whether this answer includes a third-party complaint, a cross-claim, and/or a counterclaim by checking the appropriate box(es), then click **Next** to continue.

- If this answer contains no other claims, leave the check boxes unchecked and click **Next** to continue.

**NOTE:** If you check one of the check boxes, the system will lead you through entering the information regarding the new claimant.
STEP 11 The **FINAL TEXT EDITING** screen displays. (See Figure 11.)

- Verify the accuracy of the docket text. This is what will print on the docket sheet. If the docket text has an error, click the browser's [Back] button at the top of the screen one or more times to access the screen on which the error was made, and correct the error.

- To abort or restart the transaction, click on the Adversary hyperlink on the CM/ECF Main Menu Bar. Although this can be done at any time, this is your last opportunity to change the event.

- If appropriate, select a prefix from the drop-down box and/or add text to the entry. Any text added here will appear in italics on the docket sheet. When the docket text is correct, click **Next** to continue.

STEP 12 The **FINAL DOCKET TEXT** screen displays. (See Figure 12.)

- If the event is correct, click **Next** to continue.

STEP 13 The **NOTICE OF ELECTRONIC FILING** screen displays. (See Figure 13.)
**Answer to Complaint**

**Notice of Electronic Filing**

The following transaction was received from Stevenson, Robert Louis on 1/25/2001 at 3:39 PM CST

<table>
<thead>
<tr>
<th>Case Name:</th>
<th>Financial Services, Inc. v. Daniels</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Number:</td>
<td>00-01222</td>
</tr>
<tr>
<td>Document Number:</td>
<td>2</td>
</tr>
</tbody>
</table>

**Document Text:**

Answer to Complaint Filed by Robert Louis Stevenson on behalf of Dale A. Daniels. (Stevenson, Robert)

The following document(s) are associated with this transaction:

- **Document description:** Main Document
- **Original filename:** E/TRAINING/Ecf/Class Files/PDF Files/ANSWER.pdf
- **Electronic document Stamp:**
  - [Stamp text]

- **Case Name:** Financial Services, Inc. v. Daniels
- **Case Number:** 00-01222
- **Document Number:** 2

**Transaction Details:**

- **Date:** 1/25/2001
- **Time:** 3:39 PM CST
- **File Number:** 00-01222
- **Notice of Electronic Filing**

**Address:**

- Annie Applequist
  - Nelson, Barrington & Lee
  - 12382 Lakeshore Drive
  - Chicago, IL 60612

- Robert Louis Stevenson
  - P.O. Box 2311
  - Philadelphia, PA 03112

**Figure 13**

- The Notice of Electronic Filing is the verification that the filing has been sent electronically to the court’s database. It certifies that the answer has been submitted by this defendant.
- Clicking on the case number hyperlink, 00-01222, will display the docket report for this case.
- Clicking on the document number hyperlink will display the PDF image of the document just filed.
- To print a copy of this notice, click the browser **Print** icon or button.
- To save a copy of this receipt, click **File** on the browser menu bar and select **Save Frame As**.
When a proof of claim is filed in CM/ECF, the claim will be attached to the creditor record of the claimant. One must first locate the creditor by searching the creditor database and then enter the corresponding claim.

Most often the creditor filing the claim already resides in the creditor database. If the creditor cannot be located on the case, they should first be added (by the court staff) and then the claim to the new creditor record.

In the following exercise, the creditor is already on the case. Other lessons show how to add creditors to the creditor database by uploading the matrix or adding each record separately.

*** NOT MODIFIED FOR ATTORNEYS YET ***

**STEP 1**
Click the Bankruptcy hyperlink on the CM/ECF Main Menu. (See Figure 1.)

![Figure 1](image)

**STEP 2**
The BANKRUPTCY EVENTS screen displays. (See Figure 2.)

![Figure 2](image)

- Click on the File Claims hyperlink.
STEP 3

The CREDITOR SEARCH screen will display. (See Figure 3.)

Click in the Case Number box and enter the correct case number in YY-NNNNN format.

Enter the Name of creditor filing the claim. Additional search clues are shown below.

Search Hints for Creditor Database:

1. Searching is case sensitive. (Smith not smith)
2. Include punctuation. (O'Brien or Garcia-Barrera)
3. Partial names can be entered. (Smi)
4. Significant words or names are effective. (Radio for Radio Shack and Northwest Radiology)
5. Try alternate search clues if your first search is not successful.
6. Wild cards are not required but may be used.

NOTE:

Do not change the default of Creditor in the Type of Creditor box. When a matrix is uploaded into the system, the Creditor Type field defaults to Creditor.

The Creditor Type must match the creditor information. If creditors are stored on the database as a different Creditor Type you will have to search by that Type. A creditor with a Creditor Type of Notice of Appearance will not be found unless the Creditor Type field is changed to Notice of Appearance.

Click Next to search the creditor database for this claimant.

STEP 4

The CREDITOR SELECTION screen will then display the creditor(s) who match the search criteria. (See Figure 4a.)
NOTE: If no search criteria was entered in the search Name of Creditor field, all creditors belonging to the case will be found. Click on the drop-down arrow to display all of the creditors (See Figure 4b.)

Figure 4a

Select a Creditor for Claim
Case 01-10025: Eli Johanson

Add Creditor

Next  Close

Figure 4b

Select the desired creditor by clicking on it with your mouse if using the drop-down select window.

If you are unable to find a creditor after using different search criteria, the Add Creditor hyperlink allows you to add a creditor to the case (refer to the Creditor Maintenance module for instructions on how to add a creditor).

Click Next to continue adding a Proof of Claim.
STEP 5

The **PROOF OF CLAIM INFORMATION** screen displays fields for each claim. (See Figure 5.)

![Figure 5](image)

- Enter the data in the appropriate fields for the claim. Do not enter the "$" or commas in the dollar amount fields. Values default to whole dollars. Decimals are accepted but not required.

- There is an **Amount Claimed** and **Amount Allowed** section to record. Do not enter **Amount Allowed** at this time. Both of these amounts will appear on the Claims Register.

- The **Filed By** field offers the options of attorney, creditor, debtor, or trustee.

- The optional **Status** field displays the Claim status of Allow, Amend, Expunge, Reclassify, Reduce, Withdraw. These values are controlled by the court. Certain events in your court dictionary (such as Withdrawal of Claim) can automatically update this field.

- The **Description** and **Remarks** fields will appear on the Claims Register. Both fields are 60 characters long.

- The **Total Amount Claimed** and the **Total Amount Allowed** fields total the values of Unsecured, Secured, Priority and Unknown. An aggregate total of all claims is included at the end of the Claims Register.

- When you have completed this screen, click **Next** to associate the PDF file of the claim with this filing.
STEP 6

The PDF Document screen displays. (See Figure 6a.)

- If this is an ECF court, a PDF image of the claim is required.
- Click Browse, then navigate to the directory where the appropriate PDF file is located and select it with your mouse.
  - To make certain you are about to associate the correct claim file for this entry, right click on the filename with your mouse and select Open. (See Figure 6b.)

  ![Figure 6a](image_url)

  ![Figure 6b](image_url)

  - This will launch the Adobe Acrobat Reader to display the image of the claim. Verify that it is correct.
  - Close or minimize the Adobe application after verifying the file, then click on the Open button on the File Upload dialogue box. (See Figure 6c.)
The PDF Document screen will reappear displaying the complete path of the associated PDF document that was selected. (See Figure 6d.)

PDF attachments to claims (contracts, invoices, or other supporting documents) can be linked to this claim. To attach supporting documents, click the Yes radio button to the right of the Attachments to Document prompt to attach the PDF document.

NOTE: Please note that the PDF file of this claim is not an attachment. An attachment is other supporting document or collateral information.
An **attached** document will be referenced in the docket text separately, and the **attached** image will be accessible by a separate hyperlink within the docket text.

- Click Next.

**STEP 7**

The **NOTICE OF ELECTRONIC CLAIMS FILING** is then produced and displayed. (See Figure 7.) This claim is now part of the official court record.

![Figure 7](image)

- Clicking on the case number hyperlink on the **Notice of Electronic Claims Filing** will present the case docket report.
- Clicking on the document number hyperlink displays the PDF image of the claim itself. If the claim includes imaged attachments, they will be accessible also through a separate hyperlink.
- To print a copy of this notice, click the browser Print icon.
- To save a copy of this notice, click File on the browser menu bar and select **Save Frame As**.
- To continue claims processing, click again on **Bankruptcy, File Claims**. Your prior case number will be preserved for further claim entries to the same case. For a new case, simply type in the new number and repeat the process outlined above.

**STEP 8**

**CLAIMS REGISTER**

- To run the Claims Register, click Reports on the Main Menu Bar and then **Claims Register** hyperlink. There is a separate CM/ECF Claims Register lesson.
Docket Report

For Trustees and Attorneys

This lesson describes the public Docket Report, sometimes called a Docket Sheet, and how it can be generated.

STEP 1
After you have logged in to CM/ECF, click on the Reports hyperlink on the CM/ECF Main Menu (See Figure 1).

STEP 2
The REPORTS screen displays, with a list of reports that can be generated (See Figure 2).

◆ Click on the Docket Report hyperlink.
STEP 3

The PACER LOGIN screen displays (See Figure 3).

![PACER LOGIN Screen](image)

An access fee of $0.07 per page, as approved by the Judicial Conference of the United States at its September 1998 session, will be assessed for access to this service. All inquiries will be charged to your PACER login that is kept on file. If you do not need filing capabilities, enter your PACER login and password. The Client code is provided to the PACER user as a means of tracking transactions by client. This code can be up to thirty two alphanumeric characters long.

<table>
<thead>
<tr>
<th>Authentication</th>
</tr>
</thead>
<tbody>
<tr>
<td>Login:</td>
</tr>
<tr>
<td>Password:</td>
</tr>
<tr>
<td>Client code:</td>
</tr>
</tbody>
</table>

Make this my default PACER login

Login  Reset

Figure 3

NOTE: Access to any CM/ECF queries or reports by non-court users must be through the Public Access to Court Electronic Records (PACER) program. If you have not done so already, you must register with the PACER Service Center to be given a login and password. Note the information that is provided to users on the screen above.

◆ Enter your PACER Login and Password. (These fields are case sensitive).

◆ Enter the Client Code (optional). This optional field is used for billing by PACER users. The data will be included in PACER billing reports.

NOTE: If you click in the Make this my default PACER login box, your login will automatically appear each time you attempt to access PACER. If you click on the [Reset] button, all entries will be cleared.

◆ Click on the [Login] button.
STEP 4  The DOCKET REPORT selection screen displays (See Figure 4).

Figure 4

The following fields are available for selecting/entering criteria for generating the Docket Report:

- **Case number** – The number of the last case you accessed during the current CM/ECF session appears automatically. Type another case number if you want to view the docket report for a different case. This is a required field.

- **Entered/Filed** – To limit which entries are shown by date, select either “Entered” (when the entry was recorded by the court in CM/ECF) or “Filed” (when the document was filed).

  Enter the start and stop date in the format mm/dd/yy or mm/dd/yyyy.

  You can enter a start date with no end date, which will include all entries from the date specified onward, or you can enter an end date with no start date, which will include all entries up to the specified date. If no dates are entered, all entries will be selected.

- **Documents** – To limit entries by document number, enter the beginning and ending numbers. This feature enables users to be charged only for the desired data on large cases.

- **Include terminated parties** – A check mark in this box will include any parties that have been terminated from the case. Uncheck the box to show only current parties in the case.

- **Sort by** – This selection allows you to sort the entries in the report by “Oldest date first” or “Most recent date first”. This can also affect the number of pages and PACER charges if you are interested only in the most current activity.

◆ The [Clear] button will reset all fields to their default values.

◆ After entering your criteria, click on the [Run Report] button.
**STEP 5:** The DOCKET REPORT displays (See Figure 5a):

<table>
<thead>
<tr>
<th>Docket Date</th>
<th>#</th>
<th>Docket Text</th>
</tr>
</thead>
<tbody>
<tr>
<td>01/04/2001</td>
<td>1</td>
<td>Chapter 7 Voluntary Petition, Receipt Number cc, Fee Amount $200, Filed by Dale A. Daniels (Stevens, Kate) (Entered: 01/04/2001)</td>
</tr>
<tr>
<td>01/05/2001</td>
<td></td>
<td>Order Discharging Debtor Signed on 1/5/2001. (Johnson, JD) (Entered: 01/05/2001)</td>
</tr>
<tr>
<td>01/07/2001</td>
<td></td>
<td>Meeting of Creditors. 341(a) meeting to be held on 2/5/2001, at 10:00 AM at Room 509, Federal Courthouse. Last day to oppose discharge or dischargeability is 7/8/2001. Proofs of Claims due by 5/6/2001. (Stevens, Kate) (Entered: 01/07/2001)</td>
</tr>
<tr>
<td>01/07/2001</td>
<td>2</td>
<td>Order to Appear and Show Cause Signed on 1/7/2001. Show Cause hearing to be held on 2/28/2000 at 03:00 PM at Green Valley, Courthouse 3. (Stevens, Kate) (Entered: 01/07/2001)</td>
</tr>
<tr>
<td>01/08/2001</td>
<td>3</td>
<td>Application to Pay Filing Fee in Installments, Filed by Dale A. Daniels (Fletch, William) (Entered: 01/08/2001)</td>
</tr>
<tr>
<td>01/08/2001</td>
<td></td>
<td>Trustee's Report of No Distribution. Trustee of this estate reports and certifies that the trustee has performed the duties required of a trustee under 11 U.S.C. 704 and has concluded that there are no assets to administer. () (Entered: 01/08/2001)</td>
</tr>
</tbody>
</table>

**Figure 5a**

**NOTE:** Any “Case Flags” pertaining to the status of the case will be displayed at the top-right corner of the report. This particular case has two (2) flags: Claims have been docketed to this case, and Fee Installment Payments are due.
If you click on a "blue" document number hyperlink, the following will be displayed, allowing you to view the associated PDF document for that docket entry (See Figure 5b).

![Figure 5b](image)

A Transaction Receipt will be displayed at the end of the report indicating the number of billable pages (See Figure 5c).

![Figure 5c](image)

Click on the [View Document] button to view the associated PDF document.

After viewing the PDF document, click on the [Back] icon of your internet browser's tool bar to return to the previously displayed screens.

NOTE: DO NOT exit out of your document reader by using the Close "X" button at the top-right corner of your screen. This will exit you out of CM/ECF.
CLAIMS REGISTER

The Claims Register report can be generated from the Reports hyperlink on the CM/ECF Main Menu Bar.

**STEP 1**  
Click on Reports on the CM/ECF Main Menu. (See Figure 1.)

**STEP 2**  
The REPORTS screen will then be displayed. (See Figure 2.)

**STEP 3**  
Select the Claims Register hyperlink.

**ECF/PACER Login**

Notice  
This is a Restricted Web Site for Official Court Business only. Unauthorized entry is prohibited and subject to prosecution under Title 18 of the U.S. Code. All activity and access attempts are logged.

Instructions  
Enter your ECF login and password for electronic filing capabilities. If you do not need filing capabilities, enter your PACER login and password. If you do not have a PACER login, contact the PACER Service Center to establish an account. You may register online at http://pacer.service.gov or call the PACER Service Center at (800) 676-6856 or (210) 374-4440.

An access fee of $0.57 per page, as approved by the Judicial Conference of the United States as of September 1998, will be assessed for access to this service. All queries will be charged to your PACER login that is kept on file. If you do not need filing capabilities, enter your PACER login and password. The Client code is provided to the PACER user as a means of tracking transactions by client. This code can be up to thirty-two alphanumeric characters long.

Figure 3
This screen is for you to enter your PACER login and password. If you do not have a PACER account, please refer to the PACER documentation for CM/ECF.

After you enter your PACER login and password, and a client code, if desired, click on Login.

**STEP 4**

The **Claims Register** information screen displays next. (See Figure 4.)

![Figure 4](image)

Claim Register information can be requested by and limited by:

- Case Number, (a required field)
- Divisional Office,
- Creditor Type,
- Creditor Number,
- Creditor Name,
- Claim Number or Number Range,
- Filed or Entered Date or Date Range.

To view all claims activity for a case, enter only the case number.

Claims can be sorted by

- Case Number,
- Claim Number,
- Creditor Name,
- Filed Date,
- Office,
- Terminal Digit.

You can specify both a primary sort. If claims have the same value for the primary sort, they will be sorted by the secondary sort.
After entering or selecting the desired criteria, click **Run Report** to generate the Claims Register report.

**NOTE:** Creditor numbers are assigned by the system when the records are added to the database. They are used internally and also identify creditors on BNC certificates of service.

**STEP 5**

The **Claims Register** screen is displayed. *(See Figure 5.)*

---

**Figure 5**

- Figure 5 shows the format of each claim included on the Claims Register. The case number and title provide a hyperlink to the docket sheet.
- The Claim Number is a hyperlink to the PDF file of the claim and any supporting attachments.
- Additional information about each claim is displayed in the upper right hand corner of that claim's section of the report.
  - **Last Date to File Claims**: Claims bar date set at the §341 Meeting setting or trustee’s asset notice.
  - **Last Date to File (Govt)**: Governmental claims bar date set when the petition was filed for asset cases.
  - **Filing Status**: Status of claim (expunged, disallowed, withdrawn, etc.) updated at the time of filing the claim or from the edit claims utility.
  - **Docket Status**: Status of claim updated by docketed events such as withdrawal of claim, order disallowing claim, etc.
• Late
Yes or No flag signifying when received according to the claims bar date.

This report reflects the current claim situation in the system. Internet PACER users have access to each case's Claims Register.

At the end of the report is a **Claims Register Summary**, which shows the total amounts of the claims. *(See Figure 6.)*

<table>
<thead>
<tr>
<th>Claims Register Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Case Name:</strong> Dale A. Daniels</td>
</tr>
<tr>
<td><strong>Case Number:</strong> 2000-10122</td>
</tr>
<tr>
<td><strong>Chapter:</strong> 7</td>
</tr>
<tr>
<td><strong>Date Filed:</strong> 07/17/2000</td>
</tr>
<tr>
<td><strong>Total Number Of Claims:</strong> 4</td>
</tr>
<tr>
<td><strong>Total Amount Claimed</strong></td>
</tr>
<tr>
<td>Unsecured</td>
</tr>
<tr>
<td>Secured</td>
</tr>
<tr>
<td>Priority</td>
</tr>
<tr>
<td>Unknown</td>
</tr>
<tr>
<td>Administrative</td>
</tr>
<tr>
<td><strong>Total</strong></td>
</tr>
</tbody>
</table>

**Figure 6**

**STEP 6** To print the **Claims Register** report, click on the Print icon on the browser toolbar. You can also save the Claims Register report to a file by clicking File - Save As at the menu.
Cases Report

For Trustees and Attorneys

This lesson describes the Cases Report and how it can be generated. The Cases report presents information from the court's database with a variety of selection criteria for case management and tracking.

**STEP 1**
Click on the Reports hyperlink on the CM/ECF Main Menu (See Figure 1.)

![Figure 1](image1.png)

**STEP 2**
The REPORTS screen displays with a list of reports that can be generated (See Figure 2.)

![Figure 2](image2.png)

- Click on the Cases hyperlink.
STEP 3

The PACER LOGIN screen displays (See Figure 3).

Figure 3

NOTE: The Public Access to Court Electronic Records (PACER) program provides access to CM/ECF users. Logins and passwords can be issued by registration with the PACER Service Center. Current PACER logins and passwords will be accepted by the CM/ECF system. Note the information that is provided to the user on the screen above.

- Enter your PACER assigned Login and Password (These fields are case sensitive).
- Enter the Client Code. This optional field is used for billing by PACER users. The data will be included in PACER billing reports.

NOTE: If you click in the Make this my default PACER login box, your login will automatically appear each time you attempt to access PACER. If you click on the [Reset] button, all entries will be cleared. To change the client code within a session, go to Change Client Code under the Utilities Menu.

- Click on the Login button.
STEP 4

The CASES REPORT selection screen displays. (See Figure 4.)

![Figure 4]

The following fields are available for selecting/entering criteria for generating the Cases Report:

- **Office** – Allows you to specify the divisional office activity you want cases to be included on the report. The default is all offices.

- **Case Type** – The choices are ap - Adversary Proceedings or bk - Bankruptcy. The default is all cases.

- **Chapter** – Cases can be selected by Chapter 7, 9, 11, 12, 13, or 304. The default is all chapters.

- **Date Type** – Allows you to specify which date is used when generating the report. The choices are Filed, Entered, Discharged, Dismissed, Closed, or Converted. The default is Filed Date.

- **From/to** – Enter a beginning and/or ending date. The default is the current date. For one day's activity, the dates should be the same in both fields. Enter dates by MM/DD/YY or MM/DD/YYYY.

- **Open cases** – You can restrict activity by open or closed cases. A check mark is defaulted in this box.

- **Closed cases** – The option to include or exclude closed cases is available. The default in this box is no Closed cases.
• **Party information** – Placing a check mark in this box will allow you to include additional party information along with each party(s) name (i.e., address, SSN, and TAX ID).

• **Sort by** – Allows you to select up to three sorting order sequences for the report. The choices are **Filed Date**, **Entered Date**, **Case Number**, **Case Type**, or **Office**. The default is Filed Date.

♦ The **Clear** button will reset all fields to their default values.

♦ After entering your criteria, click on the **Run Report** button.

**STEP 5**

The **CASES REPORT** displays next. *(See Figure 5a.)* All reports can be printed by clicking on the browser’s Print button.

---

<table>
<thead>
<tr>
<th>Case No.</th>
<th>Related Case Info</th>
<th>Tp</th>
<th>Ch</th>
<th>Party Info</th>
<th>Judge</th>
<th>Date(s)</th>
<th>Other Info</th>
</tr>
</thead>
<tbody>
<tr>
<td>00-01002</td>
<td>Lead BK: 00-10000</td>
<td>ap</td>
<td>7</td>
<td>Rowland Carpets v. Clifford et al</td>
<td>Bean</td>
<td>Filed: 08/17/2000</td>
<td>Office: Pleasantville</td>
</tr>
<tr>
<td>00-22222</td>
<td>Lead BK: 00-10000</td>
<td>ap</td>
<td>7</td>
<td>Malcolm's Motor Works v. Student Loan Alliance</td>
<td>Steinberg</td>
<td>Filed: 08/17/2000</td>
<td>Office: Pleasantville</td>
</tr>
<tr>
<td>00-10041</td>
<td>Lead BK: 00-10000</td>
<td>bk</td>
<td>7</td>
<td>Morgal Machine</td>
<td>Paid</td>
<td>Filed: 08/29/2000</td>
<td>Asset No: N/A</td>
</tr>
</tbody>
</table>

Figure 5a

♦ The following information will be displayed on the Cases Report:

• **Case No./Related Case Info** – Displays the assigned case number, chapter, and debtor. Clicking on the case number hyperlink will allow you to generate a Docket Report.

If the Case Type is an Adversary Proceeding (**ap**), the “Lead” case number appears beneath the adversary case number hyperlink.

• **Tp** (Type Proceeding) – Displays either **ap** or **bk**.

• **Ch** (Chapter) – Displays either **7**, **9**, **11**, **12**, **13**, or **304**.
• **Party Info** – Displays the debtor (and joint debtor) information for bankruptcy cases. Plaintiff information will also be displayed for ap cases. An additional row will be displayed for some lead bankruptcy case information.

• **Judge/Trustee** – If there is a trustee on a bankruptcy case, the name appears directly below the judge's name.

• **Dates** – Date information will include the dates the proceedings were either **Filed**, **Converted**, **Dismissed**, **Discharged**, **Closed**, or **Entered**.

• **Other Info** – Other information may include the divisional office, asset designation, and fee status.

◆ A Transaction Receipt will be displayed at the end of the report summarizing the criteria used, the number of cases that were included, and number of billable pages. *(See Figure 5b.)*

```markdown
<table>
<thead>
<tr>
<th>Total Number of Cases Reported: 199</th>
</tr>
</thead>
<tbody>
<tr>
<td>Open and Closed Cases</td>
</tr>
</tbody>
</table>
```

![PACER Service Center Transaction Receipt](Figure 5b)

◆ Clicking on any of the Case Number hyperlinks will display the **DOCKET SHEET** screen, allowing you to enter criteria for generating the Docket Report. *(See Figure 5c.)*

```markdown
<table>
<thead>
<tr>
<th>Docket Sheet</th>
<th>Query</th>
<th>Reports</th>
<th>Utilities</th>
<th>Support</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Case number: 20-00444</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Entered: [ ]</td>
<td>Filed: [x]</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Documents: [ ] to [ ]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Include terminated parties: [ ]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Sort by [ ] oldest date first</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
```

![Docket Sheet](Figure 5c)

**NOTE:** Refer to the **DOCKET REPORT** module in your CM/ECF Student Guide for more information on the Docket Report.
Set Up E-Mail Notification

The automatic mail notification function will allow the user to activate or deactivate notification of document filing via e-mail on a case by case basis.

STEP 1
The interested party will access the ECF system through the Netscape icon.
- Enter assign login and password. (See Figure 1)
- Click on the [Submit] button to continue.

STEP 2
Click on Reports located on the DCN Access bar to access the Setup Automatic Mail Notification. (See Figure 2)

STEP 3
Click on the Set Up E-Mail Notification hypertext link, located under the title Other. (See Figure 3)

Setup E-Mail Notification
March 6, 2000
Education and Training Department
STEP 4 To set up notification, you have four selections to choose from.

Selection 1 - Receive notification in all case(s) you are a party, and case(s) you are not a party, but would like to receive notice.

Selection 2 - Receive copies of Notice of Electronic filings.

Selection 3 - Receive a summary report at the end of each day.

Selection 4 - Enter the e-mail address(es) to receive notification.

**Selection 1:** Selection one has two parts. (See Figure 4)
1. Receive notification of all case(s) you are a party.
   - Click inside the box to the left of **Select this box to receive notices of activity for all cases in which you are a party.**
2. Identifies the case(s) for which you would like to receive notification of activity. **Note: You do not have to be a party in a case to receive notification.**
   - Click inside the text box to enter a list of case(s) for which you would like to receive notification of activity. Enter the case number in the format YY-#### (i.e., 97-1234).

**Step 1:** Identify the cases for which S. Estrada would like to receive notification of activity.

[ ] Select this box to receive notices of activity for all cases in which you are a participant.

In the following box enter a list of cases (you do not have to be a party in the case) for which you would like to receive notification of activity. Enter case numbers in the format YY-#### (ex. 97-1234). Place each case number on a separate line.

| 00-123 | ☑ |
| 00-2345 | ☑ |
| 00-658 | ☑ |

**Figure 4**

**Selection 2:** If you would like to receive a copy of each notice of electronic filing generated in the case(s) selected above.

- Click inside the box to the left of **Receive Copies of Notice of Electronic Filing.** (See Figure 5)

**Step 2:** Check the following box if you wish to receive a copy of each notice of electronic filing generated in the case(s) selected above.

[ ] Receive Copies of Notice of Electronic filings

**Figure 5**

**Selection 3:** At the end of each day you will receive a summary report.
listing all cases \textit{(as selected above in Figure 4)} for which filings occurred during the day. (See Figure 6)

Step 3: Check the following box if you wish to receive electronic mail at the end of each day listing (as selected above) for which filings occurred during the day.

\begin{itemize}
  \item \textbf{Summary report}
\end{itemize}

\textbf{Figure 6}

\textit{Selection 4:} To receive any type of notification it is essential for you enter your e-mail address.
\begin{itemize}
  \item Click inside text box to enter your e-mail address or addresses to which the information should be mailed. (See Figure 7)
  \item Click on the [Submit] button to continue.
\end{itemize}

\begin{tabular}{|c|c|}
  \hline
  Step 4: Identify the e-mail address or addresses to which the information should be mailed. \\
  \hline
  \hline
  \hline
\end{tabular}

\textbf{Figure 7}

\textbf{STEP 5} Verify the information that was submitted. (See Figure 8)
\begin{itemize}
  \item If you put a check mark inside any of the first three boxes the display screen will indicate that function is on. \textit{(i.e., Summary Mail = on).}
  \item If you left the box blank, the display screen would signify no response, which would indicate you are not requesting said notice. \textit{(i.e., Mail notice of electronic filing =).}
  \item If you've entered an incorrect case number, the screen will display \textit{(i.e., 98-3874 is not a valid case).}
\end{itemize}
Set Up Automatic E-mail Notification Complete

E-mail setup for Susana Estrada

Send Notification in all cases for which you represent a party = on

Case List:
00-00056-JM Junn Arthur Kubo
00-00123-PB Alonzo C. Vaughn and Corazon Vaughn
00-00152-JM Marco A. Perez

E-mail notice of electronic filings = on
Summary E-mail = off
susana_estradaece9.uscourts.gov

Formatting of notices = HTML (Internet e-mail)

Figure 8

Note: To add additional case(s) to receive notification, repeat process.

To delete a case you no longer want to receive notification.
- Access Set E-Mail Notification hypertext link.
- Process Step 1: Identify the cases for which you would like to receive notification of activity.
- Remove check mark to indicate no notification requested.
- Enter the case number you no longer want to receive notification.
- Click on the [Submit] button.

Note: You have deleted any further notification of selected cases.

End of Procedure
REPORT ON PRIVACY AND PUBLIC ACCESS TO ELECTRONIC CASE FILES

Judicial Conference Committee on
Court Administration and Case Management

Reviewed by the Committees on Court Administration and Case Management, Criminal Law, Automation and Technology, Rules of Practice and Procedure and the Administration of the Bankruptcy System and submitted to the Judicial Conference for approval

June 26, 2001
The Judicial Conference of the United States requested that its Committee on Court Administration and Case Management examine issues related to privacy and public access to electronic case files. The Committee on Court Administration and Case Management formed a special subcommittee for this purpose. This subcommittee, known as the Subcommittee on Privacy and Public Access to Electronic Case Files, consisted of four members of the Committee on Court Administration and Case Management: Judge John W. Lungstrum, District of Kansas, Chair; Judge Samuel Grayson Wilson, Western District of Virginia; Judge Jerry A. Davis, Magistrate Judge, Northern District of Mississippi; and Judge J. Rich Leonard, Bankruptcy Judge, Eastern District of North Carolina, and one member from each of four other Judicial Conference Committees (liaison Committees): Judge Emmet Sullivan, District of Columbia, liaison from the Committee on Criminal Law; Judge James Robertson, District of Columbia, liaison from the Committee on Automation and Technology; Judge Sarah S. Vance, Eastern District of Louisiana, liaison from the Committee on the Administration of the Bankruptcy System; and Gene W. Lafitte, Esq., Liskow and Lewis, New Orleans, Louisiana, liaison from the Committee on the Rules of Practice and Procedure. After a lengthy process described below, the Subcommittee on Privacy and Public Access to Electronic Case Files, drafted a report containing recommendations for a judiciary-wide privacy and access policy.

The four liaison Committees reviewed the report and provided comments on it to the full Committee on Court Administration and Case Management. After carefully considering these comments, as well as comments of its own members, the Committee on Court Administration and Case Management made several changes to the subcommittee report, and adopted the amended report as its own.

Brief History of the Committee’s Study of Privacy Issues

The Committee on Court Administration and Case Management, through its Subcommittee on Privacy and Public Access to Electronic Case Files (the Subcommittee) began its study of privacy and security concerns regarding public electronic access to case file information in June 1999. It has held numerous meetings and conference calls and received information from experts and academics in the privacy arena, as well as from court users, including judges, court clerks, and government agencies. As a result, in May 2000, the Subcommittee developed several policy options and alternatives for the creation of a judiciary-wide electronic access privacy policy which were presented to the full Committee on Court Administration and Case Management and the liaison committees at their Summer 2000 meetings. The Subcommittee used the opinions and feedback from these committees to further refine the policy options.
In November 2000, the Subcommittee produced a document entitled “Request for Comment on Privacy and Public Access to Electronic Case Files,” a copy of which is attached. This document contains the alternatives the Subcommittee perceived as viable following the committees’ feedback. The Subcommittee published this document for public comment from November 13, 2000 through January 26, 2001. A website at www.privacy.uscourts.gov was established to publicize the comment document and to collect the comments. Two hundred forty-two comments were received from a very wide range of interested persons including private citizens, privacy rights groups, journalists, private investigators, attorneys, data re-sellers and representatives of the financial services industry. Those comments, in summary and full text format, are available at that website.

On March 16, 2001, the Subcommittee held a public hearing to gain further insight into the issues surrounding privacy and access. Fifteen individuals who had submitted written comments made oral presentations to and answered the questions of Subcommittee members. Following the hearing, the Subcommittee met, considered the comments received, and reached agreement on the policy recommendations contained in this document.

Background

Federal court case files, unless sealed or otherwise subject to restricted access by statute, federal rule, or Judicial Conference policy, are presumed to be available for public inspection and copying. See Nixon v. Warner Communications, Inc., 435 U.S. 589 (1978) (holding that there is a common law right “to inspect and copy public records and documents, including judicial records and documents”). The tradition of public access to federal court case files is also rooted in constitutional principles. See Richmond Newspapers, Inc. v. Virginia, 448 U.S. 555, 575-78 (1980). However, public access rights are not absolute, and courts balance access and privacy interests in making decisions about the public disclosure and dissemination of case files. The authority to protect personal privacy and other legitimate interests in nondisclosure is based, like public access rights, in common law and constitutional principles. See Nixon, 435 U.S. at 596 (“[E]very court has supervisory power over its own records and files, and access has been denied where court files might have become a vehicle for improper purposes”).

The term “case file” (whether electronic or paper) means the collection of documents officially filed by the litigants or the court in the context of litigation, the docket entries that catalog such filings, and transcripts of judicial proceedings. The case file generally does not include several other types of information, including non-filed discovery material, trial exhibits that have not been admitted into evidence, drafts or notes by judges or court staff, and various documents that are sometimes known as “left-side” file material. Sealed material, although part of the case file, is accessible only by court order.

Certain types of cases, categories of information, and specific documents may require special protection from unlimited public access, as further specified in the sections on civil, criminal, bankruptcy and appellate case files below. See United States Department of Justice v. Reporters Committee for Freedom of the Press, 489 U.S. 749 (1989) (noting that technology may affect the balance between access rights and privacy and security interests). To a great extent, these recommendations
rely upon counsel and litigants to act to protect the interests of their clients and themselves. This may necessitate an effort by the courts to educate the bar and the public about the fact that documents filed in federal court cases may be available on the Internet.

It is also important to note that the federal courts are not required to provide electronic access to case files (assuming that a paper file is maintained), and these recommendations do not create any entitlement to such access. As a practical matter, during this time of transition when courts are implementing new practices, there may be disparity in access among courts because of varying technology. Nonetheless, the federal courts recognize that the public should share in the benefits of information technology, including more efficient access to court case files.

These recommendations propose privacy policy options which the Committee on Court Administration and Case Management (the Committee) believes can provide solutions to issues of privacy and access as those issues are now presented. To the extent that courts are currently experimenting with procedures which differ from those articulated in this document, those courts should reexamine those procedures in light of the policies outlined herein. The Committee recognizes that technology is ever changing and these recommendations may require frequent re-examination and revision.

Recommendations

The policy recommended for adoption by the Judicial Conference is as follows:

General Principles

1. There should be consistent, nationwide policies in federal courts in order to ensure that similar privacy protections and access presumptions apply regardless of which federal court is the custodian of a particular case file.

2. Notice of these nationwide policies should be given to all litigants in federal court so that they will be aware of the fact that materials which they submit in a federal court proceeding could become available on the Internet.

3. Members of the bar must be educated about the policies and the fact that they must protect their clients by carefully examining the documents that they file in federal court for sensitive, private information and by making the appropriate motions to protect documents from electronic access when necessary.

4. Except where otherwise noted, the policies apply to both paper and electronic files.

5. Electronic access to docket sheets through PACERNet and court opinions through court websites will not be affected by these policies.
6. The availability of case files at the courthouse will not be affected or limited by these policies.

7. Nothing in these recommendations is intended to create a private right of action or to limit the application of Rule 11 of the Federal Rules of Civil Procedure.

Case Types

Civil Case Files

Recommendation: That documents in civil case files should be made available electronically to the same extent that they are available at the courthouse with one exception (Social Security cases should be excluded from electronic access) and one change in policy (the requirement that certain "personal data identifiers" be modified or partially redacted by the litigants). These identifiers are Social Security numbers, dates of birth, financial account numbers and names of minor children.

The recommendation provides for liberal remote electronic access to civil case files while also adopting some means to protect individual privacy. Remote electronic access will be available only through the PACERNET system which requires registration with the PACER service center and the use of a log in and password. This creates an electronic trail which can be retraced in order to determine who accessed certain information if a problem arises. Further, this recommendation contemplates that certain personal, identifying information will not be included in its full and complete form in case documents, whether electronic or hard copy. For example, if the Social Security number of an individual must be included in a document, only the last four digits of that number will be used whether that document is to be filed electronically or at the courthouse. If the involvement of a minor child must be mentioned, only that child's initials should be used; if an individual's date of birth is necessary, only the year should be used; and, if financial account numbers are relevant, only the last four digits should be recited in the document. It is anticipated that as courts develop local rules and instructions for the use and implementation of Electronic Case Filing (ECF), such rules and instructions will include direction on the truncation by the litigants of personal identifying information. Similar rule changes would apply to courts which are imaging documents.

Providing remote electronic access equal to courthouse access will require counsel and pro se litigants to protect their interests through a careful review of whether it is essential to their case to file certain documents containing private sensitive information or by the use of motions to seal and for protective orders. It will also depend upon the discretion of judges to protect privacy and security interests as they arise in individual cases. However, it is the experience of the ECF prototype courts and courts which have been imaging documents and making them electronically available that reliance on judicial discretion has not been problematic and has not dramatically increased or altered the amount and nature of motions to seal. It is also the experience of those courts that have been making
their case file information available through PACERNet that there have been virtually no reported privacy problems as a result.

This recommended “public is public” policy is simple and can be easily and consistently applied nationwide. The recommended policy will “level the geographic playing field” in civil cases in federal court by allowing attorneys not located in geographic proximity to the courthouse easy access. Having both remote electronic access and courthouse access to the same information will also utilize more fully the technology available to the courts and will allow clerks’ offices to better and more easily serve the needs of the bar and the public. In addition, it might also discourage the possible development of a “cottage industry” headed by data re-sellers who, if remote electronic access were restricted, could go to the courthouse, copy the files, download the information to a private website, and charge for access to that website, thus profiting from the sale of public information and undermining restrictions intended to protect privacy.

Each of the other policy options articulated in the document for comment presented its own problems. The idea of defining what documents should be included in the public file was rejected because it would require the courts to restrict access at the courthouse to information that has traditionally been available from courthouse files. This would have the net effect of allowing less overall access in a technological age where greater access is easy to achieve. It would also require making the very difficult determination of what information should be included in the public file.

The Committee seriously considered and debated at length the idea of creating levels of access to electronic documents (i.e., access to certain documents for specific users would be based upon the user’s status in the case). The Committee ultimately decided that levels of access restrictions were too complicated in relation to the privacy benefits which could be derived therefrom. It would be difficult, for example, to prohibit a user with full access to all case information, such as a party to the case, from downloading and disseminating the restricted information. Also, the levels of access would only exist in relation to the remote electronic file and not in relation to the courthouse file. This would result in unequal remote and physical access to the same information and could foster a cottage industry of courthouse data collection as described above.

Seeking an amendment to the Federal Rules of Civil Procedure was not recommended for several reasons. First, any such rules amendment would take several years to effectuate, and the Committee concluded that privacy issues need immediate attention. There was some discussion about the need for a provision in Fed. R. Civ. P. 11 providing for sanctions against counsel or litigants who, as a litigation tactic, intentionally include scurrilous or embarrassing, irrelevant information in a document so that this information will be available on the Internet. The Committee ultimately determined that, at least for now, the current language of Fed. R. Civ. P. 11 and the inherent power of the court are sufficient to deter such actions and to enforce any privacy policy.

As noted above, this recommendation treats Social Security cases differently from other civil case files. It would limit remote electronic access. It does contemplate, however, the existence of a skeletal electronic file in Social Security cases which would contain documents such as the complaint,
answer and dispositive cross motions or petitions for review as applicable but not the administrative record and would be available to the court for statistical and case management purposes. This recommendation would also allow litigants to electronically file documents, except for the administrative record, in Social Security cases and would permit electronic access to these documents by litigants only.

After much debate, the consensus of the Committee was that Social Security cases warrant such treatment because they are of an inherently different nature from other civil cases. They are the continuation of an administrative proceeding, the files of which are confidential until the jurisdiction of the district court is invoked, by an individual to enforce his or her rights under a government program. Further, all Social Security disability claims, which are the majority of Social Security cases filed in district court, contain extremely detailed medical records and other personal information which an applicant must submit in an effort to establish disability. Such medical and personal information is critical to the court and is of little or no legitimate use to anyone not a party to the case. Thus, making such information available on the Internet would be of little public benefit and would present a substantial intrusion into the privacy of the claimant. Social Security files would still be available in their entirety at the courthouse.

**Criminal Case Files**

**Recommendation:** That public remote electronic access to documents in criminal cases should not be available at this time, with the understanding that the policy will be reexamined within two years of adoption by the Judicial Conference.

The Committee determined that any benefits of public remote electronic access to criminal files were outweighed by the safety and law enforcement risks such access would create. Routine public remote electronic access to documents in criminal case files would allow defendants and others easy access to information regarding the cooperation and other activities of defendants. Specifically, an individual could access documents filed in conjunction with a motion by the government for downward departure for substantial assistance and learn details of a defendant's involvement in the government's case. Such information could then be very easily used to intimidate, harass and possibly harm victims, defendants and their families.

Likewise, routine public remote electronic access to criminal files may inadvertently increase the risk of unauthorized public access to preindictment information, such as unexecuted arrest and search warrants. The public availability of this information could severely hamper and compromise investigative and law enforcement efforts and pose a significant safety risk to law enforcement officials engaged in their official duties. Sealing documents containing this and other types of sensitive information in criminal cases will not adequately address the problem, since the mere fact that a document is sealed signals probable defendant cooperation and covert law enforcement initiatives.

The benefit to the public of easier access to criminal case file information was not discounted by the Committee and, it should be noted that, opinions and orders, as determined by the court, and
criminal docket sheets will still be available through court websites and PACER and PACERNet. However, in view of the concerns described above, the Committee concluded that individual safety and the risk to law enforcement personnel significantly outweigh the need for unfettered public remote access to the content of criminal case files. This recommendation should be reconsidered if it becomes evident that the benefits of public remote electronic access significantly outweigh the dangers to victims, defendants and their families, and law enforcement personnel.

**Bankruptcy Case Files**

Recommendation: That documents in bankruptcy case files should be made generally available electronically to the same extent that they are available at the courthouse, with a similar policy change for personal identifiers as in civil cases; that § 107(b)(2) of the Bankruptcy Code should be amended to establish privacy and security concerns as a basis for the sealing of a document; and that the Bankruptcy Code and Rules should be amended as necessary to allow the court to collect a debtor's full Social Security number but display only the last four digits.

The Committee recognized the unique nature of bankruptcy case files and the particularly sensitive nature of the information, largely financial, which is contained in these files; while this recommendation does provide open remote electronic access to this information, it also accommodates the privacy concerns of individuals. This recommendation contemplates that a debtor's personal, identifying information and financial account numbers will not be included in their complete forms on any document, whether electronic or hard copy (i.e., only the last four digits of Social Security and financial account numbers will be used). As the recommendation recognizes, there may be a need to amend the Bankruptcy Code to allow only the last four digits of an individual debtor's Social Security number to be used. The bankruptcy court will collect the full Social Security number of debtors for internal use, as this number appears to provide the best way to identify multiple bankruptcy filings. The recommendation proposes a minor amendment to § 107(a) to allow the court to collect the full number, but only display the last four digits. The names of minor children will not be included in electronic or hard copies of documents.

As with civil cases, the effectiveness of this recommendation relies upon motions to seal filed by litigants and other parties in interest. To accomplish this result, an amendment of 11 U.S.C. § 107(b), which now narrowly circumscribes the ability of the bankruptcy courts to seal documents, will be needed to establish privacy and security concerns as a basis for sealing a document. Once again, the experiences of the ECF prototype and imaging courts do not indicate that this reliance will cause a large influx of motions to seal. In addition, as with all remote electronic access, the information can only be reached through the log-in and password-controlled PACERNet system.

The Committee rejected the other alternatives suggested in the comment document for various reasons. Any attempt to create levels of access in bankruptcy cases would meet with the same problems discussed with respect to the use of levels of access for civil cases. Bankruptcy cases
present even more issues with respect to levels of access because there are numerous interests which would have a legitimate need to access file information and specific access levels would need to be established for them. Further, many entities could qualify as a “party in interest” in a bankruptcy filing and would need access to case file information to determine if they in fact have an interest. It would be difficult to create an electronic access system which would allow sufficient access for that determination to be made without giving full access to that entity.

The idea of collecting less information or segregating certain information and restricting access to it was rejected because the Committee determined that there is a need for and a value in allowing the public access to this information. Further, creating two separate files, one totally open to the public and one with restricted access, would place a burden on clerks’ offices by requiring the management of two sets of files in each case.

**Appellate Case Files**

**Recommendation:** That appellate case files be treated at the appellate level the same way in which they are treated at the lower level.

This recommendation acknowledges the varying treatment of the different case types at the lower level and carries that treatment through to the appellate level. For cases appealed to the district court or the court of appeals from administrative agencies, the documents in the appeal will be treated, for the purposes of remote electronic access, in the same manner in which they were treated by the agency. For cases appealed from the district court, the case file will be treated in the manner in which it was treated by the district court with respect to remote electronic access.
Request for Comment on Privacy and Public Access to Electronic Case Files

The federal judiciary is seeking comment on the privacy and security implications of providing electronic public access to court case files. The Judicial Conference of the United States is studying these issues in order to provide policy guidance to the federal courts. This request for public comment addresses several related issues:

- the judiciary’s plans to provide electronic access to case files through the Internet;
- the privacy and security implications of public access to electronic case files;
- potential policy alternatives and the appropriate scope of judicial branch action in this area.

The judiciary is interested in comments that address any of the issues raised in this document, including whether it is appropriate for the judiciary to establish policy in this area. All comments should be received by 5:00 p.m. January 26, 2001 and must include the name, mailing address and phone number of the commentator.

All comments should also include an e-mail address and a fax number, where available, as well as an indication of whether the commentator is interested in participating in a public hearing, if one is held. The public should be advised that it may not be possible to honor all requests to speak at any such hearing.

The electronic submission of comments is highly encouraged. Electronic comments may be submitted at www.privacy.uscourts.gov or via e-mail to Privacy_Policy_Comments@ao.uscourts.gov. Comments may be submitted by regular mail to The Administrative Office of the United States Courts, Court Administration Policy Staff, Attn: Privacy Comments, Suite 4-560, One Columbus Circle, N.E. Washington, DC 20544.

Electronic Public Access to Federal Court Case Files

The federal courts are moving swiftly to create electronic case files and to provide public access to those files through the Internet. This transition from paper files to electronic files is quickly transforming the way case file documents may be used by attorneys, litigants, courts, and the public. The creation of electronic case files means that the ability to obtain documents from a court case file will no longer
depend on physical presence in the courthouse where a file is maintained. Increasingly, case files may be viewed, printed, or downloaded by anyone, at any time, through the Internet.

Electronic files are being created in two ways. Many courts are creating electronic images of all paper documents that are filed, in effect converting paper files to electronic files. Other courts are receiving court filings over the Internet directly from attorneys, so that the "original" file is no longer a paper file but rather a collection of the electronic documents filed by the attorneys and the court. Over the next few years electronic filing, as opposed to making images of paper documents, will become more common as most federal courts begin to implement a new case management system, called Case Management/Electronic Case Files (or "CM/ECF"). That system gives each court the option to create electronic case files by allowing lawyers and parties to file their documents over the Internet.

The courts plan to provide public access to electronic files, both at the courthouse and beyond the courthouse, through the Internet. The primary method to obtain access will be through Public Access to Court Electronic Records (or "PACER"), which is a web-based system that will contain both the dockets (a list of the documents filed in the case) and the actual case file documents. Individuals who seek a particular document or case file will need to open a PACER account and obtain a login and password. After obtaining these, an individual may access case files – whether those files were created by imaging paper files or through CM/ECF – over the Internet. Public access through PACER will involve a fee of $.07 per page of a case file document or docket viewed, downloaded or printed. This compares favorably to the current $.50 per page photocopy charge. Electronic case files also will be available at public computer terminals at courthouses free of charge.

**Potential Privacy and Security Implications of Electronic Case Files**

Electronic case files promise significant benefits for the courts, litigants, attorneys, and the public. There is increasing awareness, however, of the personal privacy implications of unlimited Internet access to court case files. In the court community, some have begun to suggest that case files – long presumed to be open for public inspection and copying unless sealed by court order – contain private or sensitive information that should be protected from unlimited public disclosure and dissemination in the new electronic environment. Others maintain that electronic case files should be treated the same as paper files in terms of public access and that existing court practices are adequate to protect privacy interests.

Federal court case files contain personal and sensitive information that litigants and third parties often are compelled by law to disclose for adjudicatory purposes. Bankruptcy debtors, for example, must divulge intimate details of their financial affairs for review by the case trustee, creditors, and the judge. Civil case files may contain medical records, personnel files, proprietary information, tax returns, and other sensitive information. Criminal files may contain arrest warrants, plea agreements, and other information that raise law enforcement and security concerns.

Recognizing the need to review judiciary public access policies in the context of new technology, the Judicial Conference is considering privacy and access issues in order to provide guidance to the courts.
The Judicial Conference has not reached any conclusions on these issues, and this request for public comment is intended as part of the Conference’s ongoing study.

The judiciary has a long tradition – rooted in both constitutional and common law principles – of open access to public court records. Accordingly, all case file documents, unless sealed or otherwise subject to restricted access by statute or federal rule, have traditionally been available for public inspection and copying. The Supreme Court has recognized, however, that access rights are not absolute, and that technology may affect the balance between access rights and privacy and security interests. See Nixon v. Warner Communications, Inc., 435 U.S. 589 (1978), and United States Department of Justice v. Reporters Committee for Freedom of the Press, 489 U.S. 749 (1989). These issues are discussed in more detail in an Administrative Office staff paper, "Privacy and Access to Electronic Case Files in the Federal Courts," available on the Internet at www.uscourts.gov/privacyn.pdf .

The Role of the Federal Judiciary

The judiciary recognizes that concern about privacy and access to public records is not limited to the judicial branch. There is a broader public debate about the privacy and security implications of information technology. Congress has already responded to some of these concerns by passing laws that are designed to shield sensitive personal information from unwarranted disclosure. These laws, and numerous pending legislative proposals, address information such as banking records and other personal financial information, medical records, tax returns, and Social Security numbers. The executive branch is also concerned about implications of electronic public access to private information. Most recently, the President directed the Office of Management and Budget, the Department of Justice, and the Department of Treasury to conduct a study on privacy and security issues associated with consumer bankruptcy filings.

Accordingly, the judiciary is interested in receiving comment on the appropriate scope of judicial branch action, if any, on the broad issue of access to public court records, and the corresponding need to balance access issues against competing concerns such as personal privacy and security.

Policy Alternatives on Electronic Public Access to Federal Court Case Files

Regardless of what entity addresses the issues of privacy and electronic access to case files, the effort must be made to balance access and privacy interests in making decisions about the public disclosure and dissemination of case files. The policy options outlined below are intended to promote consistent policies and practices in the federal courts and to ensure that similar protections and electronic access presumptions apply, regardless of which federal court is the custodian of a particular case file. One or more of the policy options for each type of case file may be recommended to the Judicial Conference for its consideration. Some, but not all of the options are mutually exclusive.

Civil Case Files
1. Maintain the presumption that all filed documents that are not sealed are available both at
the courthouse and electronically.

This approach would rely upon counsel and pro se litigants to protect their interests on a case-by-case
basis through motions to seal specific documents or motions to exclude specific documents from
electronic availability. It would also rely on judges’ discretion to protect privacy and security interests
on a case-by-case basis through orders to seal or to exclude certain information from remote electronic
public access.

2. Define what documents should be included in the "public file" and, thereby, available to
the public either at the courthouse or electronically.

This option would treat paper and electronic access equally and assumes that specific sensitive
information would be excluded from public review or presumptively sealed. It assumes that the entire
public file would be available electronically without restriction and would promote uniformity among
district courts as to case file content. The challenge of this alternative is to define what information
should be included in the public file and what information does not need to be in the file because it is not
necessary to an understanding of the determination of the case or because it implicates privacy and
security interests.

3. Establish "levels of access" to certain electronic case file information.

This contemplates use of software with features to restrict electronic access to certain documents either
by the identity of the individual seeking access or the nature of the document to which access is sought,
or both. Judges, court staff, parties and counsel would have unlimited remote access to all electronic
case files.

This approach assumes that the complete electronic case file would be available for public review at the
courthouse, just as the entire paper file is available for inspection in person. It is important to recognize
that this approach would not limit how case files may be copied or disseminated once obtained at the
courthouse.

4. Seek an amendment to one or more of the Federal Rules of Civil Procedure to account for privacy
and security interests.
Criminal Case Files

1. **Do not provide electronic public access to criminal case files.**

This approach advocates the position that the ECF component of the new CM/ECF system should not be expanded to include criminal case files. Due to the very different nature of criminal case files, there may be much less of a legitimate need to provide electronic access to these files. The files are usually not that extensive and do not present the type of storage problems presented by civil files. Prosecution and defense attorneys are usually located near the courthouse. Those with a true need for the information can still access it at the courthouse. Further, any legitimate need for electronic access to criminal case information is outweighed by safety and security concerns. The electronic availability of criminal information would allow co-defendants to have easy access to information regarding cooperation and other activities of defendants. This information could then be used to intimidate and harass the defendant and the defendant’s family. Additionally, the availability of certain preliminary criminal information, such as warrants and indictments, could severely hamper law enforcement and prosecution efforts.

2. **Provide limited electronic public access to criminal case files.**

This alternative would allow the general public access to some, but not all, documents routinely contained in criminal files. Access to documents such as plea agreements, unexecuted warrants, certain pre-indictment information and presentence reports would be restricted to parties, counsel, essential court employees, and the judge.

Bankruptcy Case Files

1. **Seek an amendment to section 107 of the Bankruptcy Code.**

Section 107 currently requires public access to all material filed with bankruptcy courts and gives judges limited sealing authority. Recognized issues in this area would be addressed by amending this provision as follows: 1) specifying that only "parties in interest" may obtain access to certain types of information; and (2) enhancing the 107(b) sealing provisions to clarify that judges may provide protection from disclosures based upon privacy and security concerns.

2. **Require less information on petitions or schedules and statements filed in bankruptcy cases.**

3. **Restrict use of Social Security, credit card, and other account numbers to only the last four digits to protect privacy and security interests.**
4. Segregate certain sensitive information from the public file by collecting it on separate forms that will be protected from unlimited public access and made available only to the courts, the U.S. Trustee, and to parties in interest.

**Appellate Cases**

1. Apply the same access rules to appellate courts that apply at the trial court level.

2. Treat any document that is sealed or subject to public access restrictions at the trial court level with the same protections at the appellate level unless and until a party challenges the restriction in the appellate court.
GENERAL QUESTIONS

1. What is CM/ECF?

ANSWER: CM is an acronym for Case Management and ECF is an acronym for Electronic Case Filing. It is a system that will be used nationally by the Federal Court system. CM/ECF will replace the case management system(s) currently being used by the US Bankruptcy Court for the Eastern District of Kentucky – AutoCOP and BANCAP. The new system is based on current technology and new software. In addition to providing the courts with updated tools for managing their cases, this new system will enable the courts to maintain electronic case files and offers both access to the files and electronic filing over the Internet.

2. What are the benefits of using CM/ECF to attorneys, the public, and the court?

ANSWER: Some of the benefits are as follows:

✓ Full case information, including docket sheets and the full text of the filed documents, are readily available to everyone simultaneously without having to retrieve case records from the file room. Attorneys, trustees, other government agencies, the public, and the court staff can also access this information at any time from any location with Internet access.
✓ Registered attorneys, trustees, and the US Trustee can file and retrieve court documents 24 hours per day, 7 days per week.
✓ Attorneys, trustees, and the US Trustee can receive notices electronically in ECF cases. This eliminates the costs to those parties of handling and mailing paper notices. It also greatly speeds delivery and allows easier tracking of case activity.
✓ Maintaining files in electronic form reduces physical storage space needs.
✓ Since CM/ECF uses Internet standard software, the out of pocket cost for participation is typically low; and, the amount of time needed to learn how to access and use the system is reduced for average computer users.

3. Is CM/ECF currently available?

ANSWER: The US Bankruptcy Court for the Eastern District of Kentucky will begin using the case management portion on June 3, 2002. Electronic case
filing will begin on August 1, 2002. As of December 2001, 8 Federal District Courts and 14 Federal Bankruptcy Courts were using the new system. There are 6 Federal District Courts and 40 Federal Bankruptcy Courts currently making the transition as of January 2002. There are 9 more Federal District Courts and 9 more Federal Bankruptcy Courts scheduled to begin implementation within the next 6 months. The entire Federal Court system, including Appellate Courts should be using the new system by 2005.

4. Will CM/ECF be mandatory at some point in the future?

ANSWER: Yes, the US Bankruptcy Court for the Eastern District of Kentucky will make the filing of documents electronically mandatory within a few months after the August 1, 2002 start date.

5. Can the general public view ECF cases and the documents in those cases?

ANSWER: Yes, there will be a public terminal(s) in the intake area of the US Bankruptcy Court of the Eastern District of Kentucky for viewing of cases. Also, access to view cases and documents is available from any location with Internet access to anyone with a PACER login and password.

6. Are there still fees for PACER access?

ANSWER: Yes, the Judicial Conference of the United States has set a fee of 7 cents per page for obtaining electronic court data via the Internet, except for calendar information, for which there is no charge. Parties entitled to documents as a part of the legal process receive a free electronic copy as part of the e-mail Notification of Filing. It is highly recommended that you not only save the Notice itself, but open and view the document in your e-mail and save a copy on your own office computer system or print out a paper copy at that time. Opening the same e-mail a second time and attempting to view the document will require that you enter your PACER account information for billing purposes.

7. How many users can submit documents at once?

ANSWER: There is no fixed limit. It is expected that the system will maintain good performance (with our current bandwidth) with 100+ users at one time. Enhancements to communications speed and capacity are expected to be an ongoing task to ensure that we meet the needs of users.

8. How many people at a time can view the same document image or the same report, such as a docket sheet, in a case?

ANSWER: There are no limitations for either function.
9. Will the creator of the docket entry be identified?

**ANSWER:** Yes, the name or initials of the person that logged in and submitted the entry will identify all entries.

10. Some docket reports are very long, with hundreds of entries. Can a docket report be run for only part of the docket?

**ANSWER:** Yes, like most other CM/ECF reports, docket reports have a wide variety of criteria that can be entered, such as a date range, to narrow down the data that is retrieved. Using these options also enables the report to be run faster and relieves the user from receiving extraneous information.

11. Will someone submitting a long document monopolize the system to the detriment of other users?

**ANSWER:** No, a user submitting a large file to CM/ECF will not interfere with other users' access. The system uses web-based technology, which is designed to service large numbers of users simultaneously.

12. What are some of the privacy issues?

**ANSWER:** Bankruptcy cases have always been public records viewable by anyone requesting to see the case. However, there has not been the same ease of universal access that there will now be by having access to the entire case record via the Internet. There is concern over the availability of personal information such as social security numbers and names of minor children. Also, persons may be able to determine the debtor's medical conditions based upon the doctors and medical companies who are owed money. Addresses would become available to abusive ex-partners from whom the debtor has been successfully hiding. There is also concern over the availability of financial information such as account numbers of credit cards.

13. How are privacy issues being addressed?

**ANSWER:** A subcommittee of the Judicial Conference Committee was formed to study the issues and to create a policy regarding privacy. Amendments to various statutes, rules and forms will then be necessary to comply with the policy. The Judicial Conference has created a public website – [www.privacy.uscourts.gov](http://www.privacy.uscourts.gov) - where a copy of the proposed policy is posted and where you can view the public comments that were made about the proposed policy. Based upon the recommendations contained in the policy, some changes will be made to the software, but the primary responsibility will fall upon the attorney to protect the client.
14. Will this policy be enforced retroactively?

ANSWER: No, older cases that are moved to the system would contain all the
information that they currently contain.

15. What should I do when support staff leaves my firm?

ANSWER: Contact the appropriate person at the court immediately so a new login
and password can be assigned for you. If you fill the position with a new
employee, contact the Court training specialist in the district where you
plan to have the employee trained to arrange for a specific training date
and time.

16. How do I know who is the “appropriate person at the court”?

ANSWER: A contact list designating who should be contacted for a particular
problem will be maintained at www.kyeb.uscourts.gov.

17. Will the local court staff train the attorney and his/her support personnel?

ANSWER: Yes, once the training of court personnel is complete (by mid April
2002), training will be offered to attorneys and their staff at each
divisional court location on several occasions. Numerous training
sessions will also be scheduled in the court’s training room in the
Lexington division. It is anticipated that 4 to 6 hours of training will be
provided. In the months right before and right after we go “live” on the
system, training sessions will probably be offered 2 to 3 days a week or
more and some Saturdays. The training room can accommodate 8
persons during one training session. If larger law firms have their own
larger training facilities with Internet access, special arrangements can
be made for the staff to do training at the firm. After all current filers and
their staff are trained, training will still be offered on a continual year­
round basis in the court’s training room to train new attorneys and new
staff and training can be scheduled in divisional locations as needed.

18. Will there be on-line manuals or on-line help files?

ANSWER: Yes, CM/ECF has on-line descriptions of almost every screen available
by clicking on the yellow (?) question mark. It is not necessary to try to
figure out how to search for the answer to your question because the
help box gives specific information about the screen you are currently
viewing. We also anticipate having an Attorney User Manual available
by August 1, 2002.
FILING/PROCEDURAL QUESTIONS

19. Will federal or local rules establish procedures for electronic filing?

ANSWER: The Federal Rules of Bankruptcy Procedure currently authorize individual courts to permit the electronic filing of documents by local rule. See Fed. R. Bankr. P. 5005(a)(2), 7005, and 8008(a). The service of documents electronically is also permitted with parties' consent. See Fed. R. Bankr. P. 9006(f) and 9022. The US Bankruptcy Court for the Eastern District of Kentucky is currently drafting new local rules regarding electronic filing, which will be in effect by August 1, 2002.

20. Will there be restrictions on who may file documents on CM/ECF?

ANSWER: Only those persons who have obtained a registered login and password from the court will be able to file a document electronically. Registration will be based primarily on a demonstrated ability to use the system correctly. The same federal and state statutes are still applicable, so the filing of any document that is currently considered the practice of law would still have to be filed by an attorney.

21. How will the original signatures on documents be handled for documents filed electronically?

ANSWER: The attorney's and trustee's registered login and password will be treated the same as his/her original signature, with the same weight and the same Fed. R. Bankr. P. 9011 consequences. The signatures of third parties such as debtors or affiants should be maintained as directed by the Local Rules of the US Bankruptcy Court for the Eastern District of Kentucky.

22. How is the filer identity authenticated?

ANSWER: Authentication is completed at login. Each user is required to identify him/herself by presenting a valid combination of user login and password. Only a valid combination will allow access to the system.

23. How will the payment of filing fees be handled?

ANSWER: Our financial staff in conjunction with our Clerk of Court is currently in the process of setting up the financial procedures necessary to implement payment by credit card. CM/ECF is currently being revised so that fees could actually be paid on-line by credit card in the same manner that one currently purchases a product over the Internet. We hope that this revision will be available prior our August 1, 2002 "live" ECF date, but there are still details to be worked out between the Administrative Office of the Courts and the US Treasury Department.
Please check www.kyeb.uscourts.gov in the future for further information regarding the payment of fees for electronically filed documents.

24. Is there a limit to the size of the document being filed?

**ANSWER:** Technically no, but there are practical limitations. The longer the document, the larger the pdf file will be. If a file is large, it will take longer to transmit it to the CM/ECF system and it will take a long time to open when anyone tries to view it. This means that many user's systems would "time out" so that the attempt to file or view the document would fail. Therefore, it will be necessary to refer to the court's most current local rules and CM/ECF procedures for guidance on preparing and submitting longer documents. These will be available at www.kyeb.uscourts.gov prior to August 1, 2002.

25. What will happen to paper copies after they have been electronically filed or scanned into ECF cases?

**ANSWER:** Our systems staff in conjunction with our judges are currently in the process of creating local rules and procedures regarding the retention of paper documents. Please check www.kyeb.uscourts.gov in the future for local rules or procedural guidelines on this issue.

26. How is the list of creditors handled?

**ANSWER:** The list of creditors must be converted to a .txt file and uploaded using the "Creditor Maintenance" feature of CM/ECF. Many petition preparation software packages now automatically create the matrix in the correct format or automatically convert the matrix to a .txt file.

27. When a user files a pleading with the court, does the system automatically serve the other parties or does the user still have to serve copies on other parties?

**ANSWER:** A Notice of Electronic Filing is automatically generated. This notice includes information about what was filed, a hyperlink to the document, a hyperlink to the docket sheet, the docket text describing the document filed, the unique document stamp, and a list of the case participants who received e-mail copies of the notice. It also contains a list of those participants who did not receive e-mail copies. The filer will still have to serve paper copies upon anyone to whom service is required if they did not get an e-mail notice.

28. Do the other parties just get notification of a filing or do they get the actual document?

**ANSWER:** The Notice of Electronic Filing sent to those listed as receiving e-mail notification, contains a hyperlink to the document. By clicking on the document number, the party can view the actual document that was filed.
and may save a copy to a computer drive or diskette in their office if they wish. They may also print out a paper copy of the document if they prefer.

29. To what extent will noticing be dependent upon a particular e-mail system?

**ANSWER:** The CM/ECF system is not dependent upon a particular e-mail system. It uses the standard features of Internet e-mail so that it can work with the great variety of e-mail systems that attorneys may have.

30. Does the “three day rule” apply to electronic service?

**ANSWER:** Yes, Fed. R. Bankr. P. 9006(f) has been amended to provide that service by electronic means will be treated the same way that service by mail has been treated in the past. So, parties will have an additional three days to respond.

31. Is there a limit to the number of aliases a party may have?

**ANSWER:** No.

32. Can an attorney add new attorneys to the database?

**ANSWER:** It is possible for an attorney to add a new attorney to the case and the database during case opening. However, that attorney would not have attorney level user privileges. It would be necessary for the new attorney to obtain his/her own registered login and password in order to file any documents in the case.

33. How will the US Trustee and panel trustees receive copies of the petition?

**ANSWER:** The US Trustee will be one of the parties that automatically receives e-mail notification when the Voluntary Petition is filed. The panel trustee will receive e-mail notification upon assignment. These parties will make their own decisions about whether to view the petition on-line, save an electronic copy on their own computer, or print a paper copy.

34. What should be done if the document you are filing is not listed in the “picklist” of documents?

**ANSWER:** During business hours, contact the appropriate person at the court, for help in choosing the best code to use when filing your document. After regular business hours, determine if a more generic code can be used. For example, a “Motion for Extension of Time to Complete Discovery” could be filed using the generic “Motion for Extension of Time” event. If there is not an event that appears to be useable, use “zmotion” to file a motion or “zdocument” to file other documents. Then, contact the appropriate person at the court the next morning to inform them of your solution. Court personnel can edit the docket text as needed and can
advise you if a different event should have been used. In certain circumstances, court personnel may create a new event to enable the filing of your document.

35. How will proposed orders be submitted to the court?

ANSWER: Our systems staff in conjunction with our judges are currently in the process of testing the possible methods. Please check www.kyeb.uscourts.gov in the future for local rules and procedural guidelines on submitting proposed orders.

36. What happens when an error is made (such as the wrong code used) during the electronic filing of a document?

ANSWER: Case administrators in the court will still be reading each document filed with the court and the docket entry will be reviewed as well during the quality control process. The same basic process will then be followed which is currently used when a mistake is found. This is sometimes a telephone call or letter to educate the filer on how it should have been filed or to clarify what the filer intended. At other times, a specific Order to Amend is entered specifying what the filer needs to do to correct the deficiency. Since parties are automatically noticed with the incorrect information, most courts are choosing not to edit incorrect docket entries. Instead a "corrective entry" event is docketed to the case. This allows for the distribution of the correct information to the participants who originally received the erroneous information.

37. Can a filer edit a docket entry?

ANSWER: Generally no. During the filing process, but before transmitting, some events will allow the entry of "free text". This allows the filer to type in extra details. Once the document has been sent to the court by clicking the "Submit" button, only court personnel can revise the docket entry.

38. How will Proofs of Claim and their attachments be filed?

ANSWER: Our systems staff in conjunction with our Clerk of Court is currently in the process of creating policies and procedures regarding the handling of Proofs and Claim and their attachments. Please check www.kyeb.uscourts.gov in the future for local rules or procedural guidelines on this issue.

39. Is there a special process to handle filing the same document in multiple cases (such as a trustee's Motion to Dismiss)?

ANSWER: Yes, CM/ECF has a "batch filing" feature. After selecting the appropriate event, the user will be able to enter or "paste in" multiple case numbers. Then, the application will prompt the user for the appropriate pdf
document to be attached to the event in each case. CM/ECF also has a special feature to allow batch docketing of asset and no-asset reports.

40. How will cases already in progress be handled?

ANSWER: The court is required to file older case records with the Federal Records Center. The Federal Records Center currently requires that a case record be stored in one format. So, cases currently open will be continued as paper document cases until closing.

41. How will sealed records be handled?

ANSWER: Sealed records filed in the US Bankruptcy Court for the Eastern District of Kentucky will be handled almost identically to the present system. The Motion to File a Sealed Document would be filed electronically, but the actual document being sealed would be physically filed with the court in the same manner that they are currently filed. Our court will continue to store those documents in the same manner currently being used.

42. What if I need a certified copy of a document or a certified copy of the entire case record?

ANSWER: Currently, the court will have to print the document(s) and certify them in the same manner we do now. However, certification is intended to authenticate that a document is the official document and not an altered version. So, the long-term solution is to educate persons who presently require certified documents (sheriffs, banks, other courts) to view the documents directly by accessing the court's database. This will eliminate the possibility of the presentation of fraudulent documents.

43. How does ECF affect Appeals?

ANSWER: Until the US District Court for the Eastern District of Kentucky is "live" on CM/ECF, appeals will continue to be processed almost the same way they are currently handled. The Notice of Appeal and the previously filed documents will be electronically filed, however, those documents would have to be printed and provided to the court following current procedures because a paper record will still be needed for transmission to the District Court.

44. Will ECF allow filing and docketing to closed cases?

ANSWER: Court staff will be able to file and docket in closed cases, but other users will not be able to do so.
INFORMATION TECHNOLOGY QUESTIONS

45. What technical expertise is required in order to use CM/ECF?

**ANSWER:** The basic skills needed are familiarity with using a windows-type environment and familiarity with using a web browser. In order to file documents electronically, additional expertise is necessary. To file documents and automatically create docket entries, ability to convert documents to .pdf and .txt files, and training by the court regarding the use of cm/ecf categories and events will be necessary. Ability to scan documents will also be needed for those documents that are only available in paper format.

46. What hardware and software will users need to participate in ECF?

**ANSWER:** In order to electronically file, view and retrieve documents, you will need a computer equipped with:

- Netscape browser version 4.6 or 4.7 (128 bit encryption recommended) (an Internet Explorer version is in development);
- Windows 95 or higher, Macintosh, Linux or Solaris operating system with a minimum of 8 Mg memory (32 MB recommended);
- Adobe Acrobat 3.0 (full version, not just the Reader) or higher to convert documents from a word processor format to portable document format (PDF);
- a PDF-compatible word processor like Macintosh or Windows-based versions of WordPerfect and Word;
- a modem supporting a transfer rate of 28.8 kbs or higher (56 kbs recommended);
- Internet access; and
- a scanner, if paper documents need to be imaged and sent to the court.

47. What is Adobe Acrobat?

**ANSWER:** It is a commercial software package that enables you to save your document in pdf format. Version 5.0 is available from retailers for approximately $220 - $250 (as 6/2001). The discount that Adobe previously offered to attorneys has been discontinued, but there may be volume discounts available if you are ordering multiple copies for your firm. Contact Adobe for more information.

48. Is ECF word processor specific?

**ANSWER:** No, you may use any word processor that can convert documents to pdf.
49. Is ECF browser specific?

**ANSWER:** Yes, Version 1 of CM/ECF is compatible with Netscape Version 4.6 or Netscape Version 4.7. There are problems not yet resolved when using Internet Explorer. In either case, your browser must be JavaScript-enabled.

50. How long will it take to transmit/receive lengthy documents?

**ANSWER:** The time it takes to transmit or receive a document depends primarily upon the user's Internet Service Provider (ISP), the user's modem speed, and the type of pdf file being transmitted or received. A text pdf file can be transmitted or received 15 to 20 times faster than a pdf file created by the scanning of a paper document. Occasionally an ECF user may perceive the transmission time as slow. However, when compared to the time required to create, copy and deliver paper documents (via mail or hand delivery), plus the delay while court staff reviews and docket the pleading, CM/ECF significantly reduces the time between pleading preparation and its inclusion in the case record.

51. How are electronic glitches such as the court's computer being down or the filer's computer being down handled?

**ANSWER:** Our systems staff in conjunction with our judges are currently in the process of creating policies to handle those situations. Please check www.kyeb.uscourts.gov in the future for local rules and procedural guidelines on this issue.

52. Does CM/ECF accept formats other than pdf, such as tiff?

**ANSWER:** No. CM/ECF accepts only documents in pdf (Portable Document Format). PDF was chosen because it is an open publishing standard, which preserves the author's document content and format. It allows documents filed and later retrieved, to display and print exactly as they looked to the original author. PDF can also be used with a variety of operating systems, which aren't normally compatible, such as Windows and Macintosh. It can also be used with most common word processors and spreadsheets. Both searchable text documents and imaged documents can easily be converted into pdf format.

53. What if I have a document that cannot be converted into pdf format?

**ANSWER:** Any document that can be scanned can be stored in pdf format. However, if the document has oversized pages that your office scanner technology can't handle or if the original is of such poor quality that the scanned image is unreadable, please contact the appropriate person at the court to make special filing arrangements. Even if your office scanner cannot scan the document, companies catering to e-business
such as Kinko's should be contacted first to determine if their scanner equipment could produce a readable pdf version of the document before the court is contacted. A docket entry will be entered stating that the document is not available electronically with instructions on where a person will have to go to view the physical document.

54. May I scan my documents in color?

**ANSWER:** No, electronically filed documents must be submitted only in black and white in the US Bankruptcy Court for the Eastern District of Kentucky.

55. How can the document's creator ensure that the printed draft of the document will match the pdf version that will be filed?

**ANSWER:** There are 3 helpful tips: 1) set your printer driver to Adobe PDF Writer before beginning work on the document that you expect to file electronically; 2) if revisions are being made based upon a printed copy, print the pdf version, not the word processor version; and 3) make sure you are using the font(s) required by the US Bankruptcy Court for the Eastern District of Kentucky. This will help ensure, for example, that if you refer to a particular page of the document within the text of the document, your reference will still be correct after the document has been transmitted to the court. Additionally, it would be a good habit to always scroll through the document after you have converted it to pdf format, but before you actually transmit it to the court to check things such as "Tables of Content" and pages breaks.

56. Can a full-text search be performed upon the pdf documents filed in a case?

**ANSWER:** No, reliable and accurate full-text search capability is not possible on documents scanned (even those scanned using OCR technology), so CM/ECF does not offer a full-text search feature. It is unlikely that the courts will offer this service unless the results could be relied upon as being 100% reliable.

57. Are there guidelines on the relationship between the number of pages and the pdf file size?

**ANSWER:** PDF text files average 2.5 Kb per page, with a range of 2 – 6 Kb. PDF image files average 65 Kb per page, with a range of 30 – 150 Kb. Appropriate calculations can be based on this per page average.

58. Are there guidelines on the relationship between the word processing file size and the pdf file size?

**ANSWER:** A pdf text file (using the font(s) required by our court) is approximately 5 to 10% smaller than the corresponding WordPerfect or Word file. Non-standard fonts will significantly increase the size.
59. Are there guidelines on the relationship between the pdf file size and the amount of time it takes to transmit and docket the entry at various Internet speeds?

**ANSWER:** Based upon the only study done so far, the average document size being filed in the courts currently “live” on CM/ECF is 12 – 12 ½ pages. Using this average, the transmission of a pdf text file takes less than 1 ½ minutes.

60. Are there guidelines on the relationship between the time it takes to scan a paper document, the dpi setting, and the file size?

**ANSWER:** A 100 page document that is scanned on a scanner rated at 30-45 pages per minute at a 600 dpi setting takes approximately 8 minutes and 50 seconds to scan. The pdf file size will be approximately 13.94 MB.