



**UNITED STATES BANKRUPTCY COURT
DISTRICT OF CONNECTICUT**

CLERK'S ANNOUNCEMENT 21-07

**NOTICE TO THE BAR AND THE PUBLIC REGARDING 1.) REVISION TO
"ADMINISTRATIVE PROCEDURES FOR ELECTRONIC CASE FILING"
(APPENDIX A TO THE LOCAL RULES); and 2.) CHANGE TO THE
JUDGE-TRUSTEE ASSIGNMENT UTILITY IN CM/ECF**

To the Public and Bar, Please Be Advised and Take Notice:

1. REVISION TO APPENDIX A OF THE LOCAL RULES OF THE UNITED STATES BANKRUPTCY COURT FOR DISTRICT OF CONNECTICUT.

The "Administrative Procedures for Electronic Case Filing," which is Appendix A to the Local Rules of Bankruptcy Procedure for the District of Connecticut, has been revised with an effective date of October 12, 2021.

The Court upgraded its CM/ECF system to NextGen on October 12, 2021. The upgrade brings a fundamental change to the login process for CM/ECF Filers and Users. NextGen's primary new feature is Central Sign-On ("CSO"), which moves onto PACER the identity confirmation and the CM/ECF login process. CM/ECF Filers and Users must now navigate through PACER to access the Court's CM/ECF system. To benefit from CSO, all CM/ECF Filers and Users that had CM/ECF accounts prior to October 12, 2021, must "link" their CM/ECF and PACER accounts through a one-time procedure explained here: [linking instructions](#).

In addition, all future account updates, such as a change of address or a change of primary e-mail address, now occur through PACER's "Manage My Account" portal, available here: <https://pacer.uscourts.gov/my-account-billing/manage-my-account-login>.

The NextGen upgrade also brought change to the procedure to request electronic filing privileges to the Court's CM/ECF system. Our webpage has been updated to explain the new process for requesting electronic filing privileges: <https://www.ctb.uscourts.gov/how-obtain-electronic-filing-privileges-cmecf>.

Due to the changes to the Court's CM/ECF account request and maintenance procedures explained above, Appendix A has been revised accordingly, primarily in Sections 2, 3, and 4. Attached to this Announcement are a copy of Appendix A, as revised and effective October 12, 2021, and a short guide on updating your CM/ECF account information.

2. JUDGE-TRUSTEE ASSIGNMENT UTILITY.

Other than signing into CM/ECF through PACER, external users should not notice much difference in the CM/ECF functionality or appearance. One utility no longer available to external users, however, is the Judge-Trustee Assignment utility (“JTA”). Due to configuration requirements within NextGen, the JTA utility may only be run by court staff. CM/ECF Filers should not be concerned about not seeing the utility when filing a new petition or complaint. Court staff will review new filings and run JTA accordingly.

Lastly, confirm that your office has updated any bankruptcy filing software to the latest version and ensure compatibility between it and CM/ECF-NextGen, version 1.6.2. This is to avoid any issues experienced in docketing within CM/ECF while using your bankruptcy filing software.

Please report any technical issues related to CM/ECF to our ECF HelpDesk at: CTB_ECF_HELP@ctb.uscourts.gov.

October 13, 2021
Date

/s/ Pietro Cicolini
Clerk of Court

ATTACHMENT 1 - Appendix A to the Local Rules
of Bankruptcy Procedure, revised October 12, 2021

UNITED STATES BANKRUPTCY COURT
DISTRICT OF CONNECTICUT

LOCAL RULES OF BANKRUPTCY PROCEDURE

APPENDIX A
Administrative Procedures for Electronic Case Filing

TABLE OF CONTENTS

	Page:
1. SCOPE OF ELECTRONIC FILING.....	1
2. REGISTRATION AND TRAINING	2
3. LOGINS, PASSWORDS, AND SECURITY	5
4. ELECTRONIC NOTICE AND SERVICE	6
5. CONSEQUENCES OF ELECTRONIC FILING.....	7
6. JUDGMENTS AND ORDERS.....	8
7. FILING FORMAT REQUIREMENTS	9
8. FILING OF DOCUMENTS UNDER SEAL	10
9. RETENTION REQUIREMENTS.....	10
10. SIGNATURES.....	10
11. TECHNICAL FAILURE	11
12. PUBLIC ACCESS.....	11
13. PRIVACY	12
14. MOTION FOR EXEMPTION FROM ELECTRONIC FILING OVERVIEW AND PROCEDURES.....	12

1. SCOPE OF ELECTRONIC FILING

a. Short Title.

The Administrative Procedures for Electronic Case Filing may be abbreviated and referred to as the "Administrative Procedures" or if addressed individually, as "CM/ECF Procedure # " and are available in their current version on the Court's website: www.ctb.uscourts.gov.

b. Definitions.

- i. Case Management/Electronic Case Files ("CM/ECF")** is the Court's electronic case management system that allows case documents, such as pleadings, motions, and petitions, to be electronically filed with the Court online.
- ii. CM/ECF Filer** refers to a person authorized to electronically file documents with the Court's CM/ECF system in compliance with CM/ECF Procedure Number 2(a) below and does not include a *Pro se* Filer/Litigant.

- iii. CM/ECF User refers to a person authorized to electronically file documents for limited use of the Court's CM/ECF system in compliance with CM/ECF Procedure number 2(b) below.
- iv. Conventional Filing refers to documents filed in paper format.
- v. Notice of Electronic Filing ("NEF") - At the conclusion of a electronic filing transaction, CM/ECF generates a NEF. The NEF provides a record of service of an electronically filed document by parties, or of service of electronically filed notices, judgments and orders of the Court, upon attorneys in the case and the Court. The NEF displays the recipient's names, primary e-mail addresses, and secondary e-mail addresses (if any).
- vi. Pro se Filer/Litigant refers to a natural person who is a case participant and is not represented by an attorney.
- vii. Public Access to Court Electronic Records ("PACER") refers to the public access portion of the Court's CM/ECF system, which may be accessed by anyone with a PACER user ID and password for the purpose of viewing case dockets and electronically filed documents in cases before the Court. PACER also serves as the portal to access the Court's CM/ECF system for electronic filing.

c. Electronic Case Filing through CM/ECF.

The Court will only accept documents filed in electronic format in compliance with these Administrative Procedures, unless otherwise authorized by order of the Court, and as excepted in paragraph (d) below. Failure to file electronically, except as authorized in subsections (d) and (e) below, will result in the issuance of a deficiency notice and the document not being processed. Failure to comply with the deficiency notice may result with the dismissal or striking of the non-compliant document. Persistent non-compliance with these procedures may result in referral for disciplinary action.

d. Conventional Filing Authorized.

The following documents may be filed conventionally:

- i. documents filed by *Pro se* Filer/Litigant;
- ii. proofs of claim;
- iii. other limited documents or filings, as ordered by the Court.

e. Exemption from Electronic Filing.

Exemption from electronic filing is available only upon motion granted for cause shown in exceptional circumstances, and attorneys seeking an exemption must follow the instructions in Section 14 of these Administrative Procedures.

2. REGISTRATION AND TRAINING

a. Required Registration Procedure for CM/ECF Filers.

i. Eligibility for Registration as a CM/ECF Filer.

The following persons are eligible to request electronic filing privileges as a CM/ECF Filer to the Court's CM/ECF system: (a) attorneys admitted to practice in the United States Bankruptcy Court for the District of Connecticut, including those admitted *pro hac vice*; (b) case trustees; (c) United States Trustees and Assistant United States Trustees; (d) United States Attorneys and Assistant United States Attorneys; and (e) other parties the Court determines appropriate.

Attorneys who are acting as trustees must separately apply for electronic filing privileges from his/her PACER account he/she uses for cases in which he/she is acting as a trustee. The request for CM/ECF Trustee electronic filing privileges will be processed separately from any request for electronic filing privileges as an attorney.

In order to request electronic filing privileges to the Court's CM/ECF system as a CM/ECF Filer, a person must first have an individual PACER account. Once a PACER account is obtained, he/she then requests electronic filing privileges to the Court's CM/ECF system through their PACER account. Additionally, the applicant must then complete and submit a Filer Registration form ([ECF Form 1](#)) or *Pro Hac Vice* Registration form ([ECF Form 1a](#)). The registration form is a local form prescribed by the Clerk of Court and requires the CM/ECF Filer's name, bar number, address, telephone number, e-mail address and, in the case of an attorney, a declaration that the attorney is admitted to practice in this Court or is seeking admission to practice before this Court. The registration form and any supporting documentation shall be e-mailed directly to the Clerk's Office at this e-mail address: ctb_ecf_registrations@ctb.uscourts.gov.

ii. Training for CM/ECF Filers.

Prior to approving an application for electronic filing privileges as CM/ECF Filer, all CM/ECF Filer applicants must successfully complete the Court's test for CM/ECF Filers, unless the CM/ECF Filer applicant specifies that he/she has electronic filing privileges with another court's CM/ECF system. The test is attached to the registration form. CM/ECF Filer applicants may train through PACER's on-line CM/ECF training modules and may request access to the Court's CM/ECF "TRAIN" environment.

If the test is not satisfactorily completed, the Clerk of Court may require the CM/ECF Filer applicant to participate in further training.

CM/ECF Filer applicants with approved CM/ECF filing privileges with a United States Circuit Court of Appeals, United States District Court, or another United States Bankruptcy Court will be approved CM/ECF Filer privileges to the Court's CM/ECF system upon completion of the first two pages of the registration form.

iii. Submission of Registration Forms.

The signed Filer Registration Form or *Pro Hac Vice* Registration Form and test, if applicable, may be submitted either via e-mail at ctb_ecf_registrations@ctb.uscourts.gov or by regular mail to:

United States Bankruptcy Court
450 Main Street, 7th Floor
Hartford, CT 06103
ATTN: CM/ECF Registration Desk

iv. Changes to a CM/ECF Filer's E-mail address and Other Contact Information.

Any changes to a CM/ECF Filer's email address or his/her contact information must be made through PACER under "Manage My Account" at <https://pacer.uscourts.gov/my-account-billing/manage-my-account-login>.

Only a CM/ECF Filer's primary email address can be updated through PACER. His/her secondary email addresses must be added or updated in the Court's CM/ECF system under Utilities > Maintain My ECF Account> Email Information.

Failure to provide immediate notice of a change of a CM/ECF Filer's e-mail address may result in a finding that service upon the e-mail address of record is sufficient.

b. Required Registration Procedure for CM/ECF Users.

i. Eligibility to Register as CM/ECF User.

Except as provided in CM/ECF Procedure 1(d) ("Conventional Filing Authorized"), the following persons are eligible to request limited electronic filing privileges to the Court's CM/ECF system as a CM/ECF User:

Any person or entity, including entities who file proofs of claim and/or requests for notice, but is not appearing as a party-in-interest in a case.

Prior to requesting limited electronic filing privileges as a CM/ECF User, all CM/ECF User applicants must first have an individual PACER account. Once a PACER account is obtained, he/she then requests limited electronic filing privileges to the Court's CM/ECF system through his/her PACER account. Additionally, the applicant must then complete a Limited CM/ECF User Registration Form ([ECF Form 2](#)).

ii. Training for CM/ECF Users.

Prior to approving a request for limited electronic filing privileges to the Court's CM/ECF system as a CM/ECF User, all CM/ECF User applicants must successfully complete the Court's test for CM/ECF Users, unless the CM/ECF User applicant specifies that he/she has electronic filing privileges with another court's CM/ECF system. The test is attached to the registration form. CM/ECF User applicants may train through PACER's on-line CM/ECF training modules and may request access to the Court's CM/ECF "TRAIN" training environment. If the test is not satisfactorily completed, the Clerk of Court may require the CM/ECF User applicant to participate in further training.

CM/ECF Users with approved electronic filing privileges with a United States Circuit Court of Appeals, United States District Court, or another United States Bankruptcy Court will be approved limited electronic filing privileges as a CM/ECF User upon completion of the first two pages of the registration form.

The signed CM/ECF User registration form ([ECF Form 2](#)) and a completed test, if applicable, should be either e-mailed to ctb_ecf_registrations@ctb.uscourts.gov or sent via first-class mail to:

United States Bankruptcy Court
450 Main Street, 7th Floor
Hartford, CT 06103
ATTN: CM/ECF Registration Desk

iii. Changes to a CM/ECF User's E-mail address and Other Contact Information.

Any changes to a CM/ECF User's e-mail address or their contact information must be made through PACER under "Manage My Account" at <https://pacer.uscourts.gov/my-account-billing/manage-my-account-login>.

Only a CM/ECF User's primary e-mail address can be updated through PACER. His/her secondary e-mail addresses must be added or updated in the Court's CM/ECF system under Utilities > Maintain My ECF Account> Email Information.

c. Suspension or Revocation of Use.

The Court may, for cause, enter an order suspending or revoking a CM/ECF Filer's or CM/ECF User's electronic filing privileges to the Court's CM/ECF system. Further, the Clerk of Court, upon information received, which indicates potential risk or harm to the Court's CM/ECF system may, without prior notice, temporarily suspend participation in the Court's CM/ECF system by any CM/ECF Filer or CM/ECF User, and shall provide prompt notification of such action to the CM/ECF Filer or CM/ECF User. In the event of suspension or revocation, the CM/ECF Filer or CM/ECF User will be required to correct any condition that led to the suspension or revocation, and may be required to complete training in order to restore their access to the Court's CM/ECF system.

d. Registration Forms

When completing any of the following forms and accompanying test, please return them via e-mail at ctb_ecf_registrations@ctb.uscourts.gov. The Clerk's Office or PACER will send you additional information regarding the status of your application for electronic filing privileges.

- [ECF Form No 1](#) Filer Registration Form
- [ECF Form No 1a](#) Pro Hac Vice Registration Form
- [ECF Form No 2](#) User Registration Form

3. LOGINS, PASSWORDS, AND SECURITY

a. Login and Password.

Once the Filer Registration Form, the *Pro Hac Vice* Registration Form, or the Limited User Registration Form and test are reviewed for accuracy and approved, PACER will send an e-mail message notifying the CM/ECF Filer or CM/ECF User that his/her request for electronic filing privileges to the Court's CM/ECF system has been approved. The CM/ECF Filer or CM/ECF User will then use his/her PACER login and password to access the Court's CM/ECF system to electronically file documents in cases and proceedings before the Court.

b. Login and Password Security.

Every CM/ECF Filer or CM/ECF User is required to protect the security of his/her PACER login and password. If there is any reason to believe the security of a CM/ECF Filer or CM/ECF User's PACER login and password may have been compromised, the CM/ECF Filer or CM/ECF User must immediately notify PACER and the Court's Information Technology Department by e-mail to CTB_ECF_HELP@ctb.uscourts.gov.

CM/ECF Filers or CM/ECF Users are responsible for the entries made by any person using that CM/ECF Filer's or CM/ECF User's PACER password and login to access the Court's CM/ECF system. A CM/ECF Filer or CM/ECF User may be subject to court sanctions or other consequences for failure to take required action in connection with the security of the assigned password.

Members of a CM/ECF Filer's or CM/ECF User's staff are encouraged to participate in on-line CM/ECF training, but do not require a separate login and password to use the Court's CM/ECF "TRAIN" training environment.

CM/ECF Filer and CM/ECF User PACER accounts shall not be shared with other CM/ECF Filers and CM/ECF Users. A filer of document must use his/her own PACER account to electronically file his/her filing in the Court's CM/ECF system.

See Section 10(b) below regarding the applicability of Fed. R. Bankr. P. 9011 to documents filed electronically by an attorney.

4. ELECTRONIC NOTICE AND SERVICE

a. Request, waiver, and consent.

Registration as a CM/ECF Filer constitutes waiver of the right to personal service or first-class mail service, except for service of a Summons and Complaint in accordance with Fed. R. Civ. P. 4 and Fed. R. Bankr. P. 7004 and service of Subpoena in accordance with Fed. R. Civ. P. 45 and Fed. R. Bank. P. 9016. Nothing in these Administrative Procedures for Electronic Filing relieves any party of any applicable requirement of personal service in Fed. R. Civ. P. 4, Fed. R. Bankr. P. 7004, Fed. R. Bankr. P. 9014, Fed. R. Bankr. P. 9036, and D. Conn. Bankr. L. R. 9036-1.

Registration as a CM/ECF Filer also constitutes a written request for, and consent to, electronic service via receipt of a NEF from the Court's CM/ECF system of all documents filed on the docket of a bankruptcy case or adversary proceeding, including, but not limited to, Notices, Motions, Judgments, and Orders.

In accordance with the Federal Rules of Civil Procedure, the Federal Rules of Bankruptcy Procedure, Local Rules of Civil Procedure of the United States District Court for the District of Connecticut, and the Local Rules of Bankruptcy Procedure of the United States Bankruptcy Court for the District of Connecticut, the NEF that is automatically generated by the Court's CM/ECF system constitutes service on CM/ECF Filers of the document filed on the docket of a bankruptcy case or adversary proceeding.

Parties who are not CM/ECF Filers must be provided service of any pleading or other document electronically filed in accordance with the Federal Rules of Civil Procedure, Federal Rules of Bankruptcy Procedure, the Local Rules of Civil Procedure of the United States District Court for the District of Connecticut, and the Local Rules of Bankruptcy Procedure of the United States Bankruptcy Court for the District of Connecticut.

b. Request, waiver, and consent to electronic service of all documents filed in a bankruptcy case or adversary proceeding by a *Pro Se* Filer/Litigant, creditor, or party-in-interest.

Requests made by a *Pro Se* Filer/Litigant, creditor, or party-in-interest in accordance with D. Conn. Bankr. L. R. 9036-1 to receive notice and service of all documents filed in a bankruptcy case or adversary proceeding via the Court's CM/ECF system through an e-mail address provided by a *Pro Se* Filer/Litigant, creditor, or party-in-interest, constitutes waiver of the right to receive service of all documents by first-class mail except as provided in the **Note** below.

Requests also constitute a written request for, and consent to, electronic notice and service of all documents filed on the docket of a bankruptcy case or adversary proceeding, including, but not limited to, Notices, Motions, Judgments, and Orders via receipt of a NEF from the Court's CM/ECF system.

Except as provided in the **Note** below, the NEF that is automatically generated by the Court's CM/ECF system constitutes service of the document filed on the docket of the bankruptcy case or

adversary proceeding on the *Pro Se* Filer/Litigant, creditor, or party-in-interest in accordance with the Federal Rules of Civil Procedure, the Federal Rules of Bankruptcy Procedure, the Local Rules of Civil Procedure of the United States District Court for the District of Connecticut, and the Local Rules of Bankruptcy Procedure of the United States Bankruptcy Court for the District of Connecticut.

NOTE: Nothing in these Administrative Procedures relieves any party of the burden of personal service required by Fed. R. Civ. P. 4, Fed. R. Bankr. P. 7004, and Fed. R. Bankr. P. 9014. Service of a Summons and Complaint must be made in accordance with Federal Rule of Bankruptcy Procedure 7004 and service of a Subpoena must be made in accordance with Federal Rule of Civil Procedure 45, made applicable to all cases under the Bankruptcy Code by Federal Rule of Bankruptcy Procedure 9016. Such service is not waived because a *Pro Se* Filer/Litigant, creditor, or party-in-interest receives electronic service via e-mail of any other documents filed in a bankruptcy case or adversary proceeding.

c. Certificates of Service.

Except as provided in D. Conn. L. Civ. R. 5(c), D. Conn. Bankr. L. R. 1001-1(b), and D. Conn. Bankr. L. R. 7005-1, the Federal Rules of Civil Procedure and the Federal Rules of Bankruptcy Procedure continue to govern the filing and content of a certificate of service. A certificate of service must be included with all documents filed electronically. The party serving a document filed electronically must specify how service was made on each party, which may include electronic service through a NEF generated by the Court's CM/ECF system served on CM/ECF Filers, CM/ECF Users, appearing parties, and *Pro Se* Filer/Litigants who have consented to and been approved to receive electronic service in accordance with D. Conn. Bankr. L. R. 9036-1 and Section 4(b) of these Administrative Procedures For Electronic Filing.

d. Federal Rule of Bankruptcy Procedure 9006(f) - Additional Time After Service by Mail or Under Fed. R. Civ. P. 5(b)(2)(D) or (F).

When there is a right or requirement to do some act or undertake some proceeding within a prescribed period after service, the additional three days provided by Fed. R. Bankr. P. 9006(f) shall apply.

5. CONSEQUENCES OF ELECTRONIC FILING

a. Filing and Entry on the Docket.

In accordance with these Administrative Procedures for Electronic Filing, once a document is filed electronically on the Court's CM/ECF system, the document shall be considered filed for all purposes as required by the Federal Rules of Civil Procedure, the Federal Rules of Bankruptcy Procedure, and the Local Rules of Bankruptcy Procedure of this Court and entered on the docket of the bankruptcy case or adversary proceeding in accordance with Fed. R. Bankr. P. 5003.

b. Official Record.

When a document is filed through the Court's CM/ECF system, the official record is the electronically submitted document as it appears on the docket of the bankruptcy case or adversary proceeding, and the filing party is bound by the document as filed. A document filed through the Court's CM/ECF system is deemed filed on the date and at the time stated on the NEF.

Documents filed pursuant to these procedures as a conventional paper filing will be time stamped and converted to electronic format and stored in the Court's CM/ECF system and the electronic version will become the official record.

c. Deadline for Filing a Document--Filing Date and Time.

Filing a document electronically does not alter any filing deadline for that document. To be considered timely filed on a specific day, a filing must be completed before midnight of prevailing local time for the United States Bankruptcy Court for the District of Connecticut, unless otherwise ordered.

d. Appropriate Use of CM/ECF Events for Electronically Filing Documents.

A CM/ECF Filer or CM/ECF User shall use the appropriate CM/ECF event to electronically file documents by selecting among the categories/events provided through the Court's CM/ECF system.

e. Corrections to Docket Entries.

In the event a docket entry in a bankruptcy case or adversary proceeding must be corrected, the Clerk's Office will correct the docket entry and CM/ECF Filers entered in that case will receive notification of the corrected docket entry via a NEF.

f. Payments of Required Fees.

i. Fees to be paid when electronically filing a document.

All fees required to be paid in accordance with 28 USC § 1930, Bankruptcy Fees, with the exception of those listed in section below, must be paid simultaneously with the electronically filed document using www.Pay.gov.

ii. Fees to be paid by mail or at the Clerk's Office.

The following fees must be paid by mail, or in person at the Clerk's Office:

1. Sanctions
2. Treasury (small dividends)
3. Treasury (registry funds)
4. Any replacement check for a filing fee
5. Inter-district Index fee
6. All fees required to be paid simultaneously with a conventionally filed document, such as the required filing fee for a conventionally filed petition to commence a bankruptcy case.

6. JUDGMENTS AND ORDERS

a. Entry of Judgments and Orders.

The Clerk of Court shall enter all judgments and orders in the Court's CM/ECF system, which shall constitute entry on the docket of the bankruptcy case or adversary proceeding in accordance with Fed. R. Bankr. P. 5003 and 9021. The electronic signature of the Court on a judgment or order entered on the docket of a bankruptcy case or adversary proceeding shall have the same force and effect as if it was manually signed and docketed.

b. Filing Proposed Orders.

Unless otherwise ordered by the Court, a proposed order shall be filed with all motions or applications which shall be docketed as one event and one document. The submission requirements may change from time to time, and CM/ECF Filers should consult these procedures and the Court's website for any amendments: www.ctb.uscourts.gov.

c. Notice of Judgments or Orders to CM/ECF Filers and to CM/ECF Users as the Court Shall Direct.

Immediately upon the entry of a judgment or order in a bankruptcy case or adversary proceeding, the Clerk's Office shall electronically transmit a NEF to all CM/ECF Filers, CM/ECF Users, appearing parties, and *Pro Se* Filer/Litigants who have consented to and been approved to receive electronic service in accordance with Section 4(b) of these Administrative Procedures for Electronic Filing. Electronic transmission of the NEF of a judgment or order constitutes the notice required by Fed. R. Bankr. P. 9022 and service shall be deemed complete upon transmission.

d. Notice of Judgments or Orders to Others.

Immediately upon the entry of a judgment or order in a bankruptcy case or adversary proceeding, the Clerk's Office or such others as the Court shall direct, shall give notice to parties in interest required to be served with such judgment or order who are not CM/ECF Filers, CM/ECF Users, appearing parties, and *Pro Se* Filer/Litigants who have consented to and been approved to receive electronic service in accordance with Section 4(b) of these Administrative Procedures for Electronic Filing.

7. FILING FORMAT REQUIREMENTS

- a. **Definitions.** "Electronically Generated Text" is electronic text generated by converting or printing to Portable Document Format (PDF) from the original word processing file, so that the text of the document may be electronically searched and copied. "Scanned Material" is an electronic image of text or other material in PDF format produced by a scanning or imaging process.
- b. **PDF Requirements.** All primary documents transmitted via the CM/ECF system shall be in Electronically Generated text, so that the text of the document may be searched and copied, except as provided in subsection (c) below. Primary documents include, but are not limited to: motions, complaints, memoranda of law, objections, responses, and legal briefs.
- c. **Supporting Documents or Exhibits.** All supporting documents and exhibits not available as Electronically Generated Text (i.e., those that must be scanned) shall be uploaded to the CM/ECF system as scanned material in PDF format. Unless otherwise ordered, all exhibits for evidentiary hearings shall be electronically filed on the docket of the bankruptcy case or adversary proceeding in PDF format in accordance with D. Conn. Bankr. L. R. 9070-1.

When filing multiple supporting documents and exhibits, do not file them in one omnibus file.

When filing supporting document(s) to an entry on the docket of a bankruptcy case or adversary proceeding, all supporting documents shall be filed individually, as "attachments" to the "main document".

When filing exhibit(s) on the docket of a bankruptcy case or adversary proceeding, an exhibit list index shall be the "main document" and all exhibit(s) shall be filed individually as "attachments" to the "main document".

Any exhibit or evidence that cannot be scanned or placed in PDF format (i.e., tangible object like hardware or sample product), shall be photographed or imaged. The photograph or image shall be converted to PDF and electronically filed on the docket of the case. The original object shall be made available to the Court or filed with the Clerk's Office, as appropriate or as ordered by the Court.

- d. **Size Limitations Per Transmission.** Each transmission to the CM/ECF system shall not exceed twenty (20) megabytes total file size. Files which exceed twenty (20) megabytes shall be broken into smaller files and transmitted to the CM/ECF system as attachments to the main document.

8. FILING OF DOCUMENTS UNDER SEAL

CM/ECF Filers and CM/ECF Users shall comply with D. Conn. L. Civ. R. 5(e) and D. Conn. L. Bankr. R. 9077-1 in proceedings before this Court.

9. RETENTION REQUIREMENTS

- a. **Retention of Original Signatures.** Petitions, lists, schedules, statements, amendments, pleadings, affidavits, and other documents that must contain original signatures or that require verification under Fed. R. Bankr. P. 1008 or an unsworn declaration as provided in 28 U.S.C. § 1746, shall be filed electronically by CM/ECF Filers and CM/ECF Users. The documents containing the original signature must be retained by the CM/ECF Filer or CM/ECF User who files such a pleading, document, or other matter for five (5) years after the closing of the case or proceeding. This retention does not affect or replace any other retention period required by other applicable laws or rules. Paper documents containing original signatures or verification received by the Court from a *Pro se* Filer/Litigant, or as otherwise ordered by the Court, will be retained and/or disposed of by the Court pursuant to procedures as established by the Director of the Administrative Office of the United States Courts.
- b. **Production of Original Documents.** CM/ECF Filers, CM/ECF Users, appearing parties, and *Pro Se* Filer/Litigants who have consented to and been approved to receive electronic service in accordance with Section 4(b) of these Administrative Procedures For Electronic Filing must provide original documents for review at the direction of the Court or upon an order of the Court granting a motion by a party in interest.
- c. **Sanctions.** Failure to maintain original documents for the period specified in this Section shall subject the CM/ECF Filer or CM/ECF User to sanctions.

10. SIGNATURES

- a. **Electronic Filing Constitutes Signature.** Except as provided in Section 9 and subject to subsection (c) below, the transmission by a CM/ECF Filer or CM/ECF User through the Court's CM/ECF system of any document constitutes any required signature of that CM/ECF Filer or CM/ECF User on such document. The CM/ECF Filer or CM/ECF User need not manually sign a transmitted document, but must sign in the form set forth in subsection (c) below. The transmission is the equivalent of a signed paper for all purposes, including, without limitation, the Federal Rules of Bankruptcy Procedure, including Fed. R. Bankr. P. 9011, the Bankruptcy Code, and the Local Bankruptcy Rules of this Court.
- b. **Electronic Filing Constitutes Certification.** The transmission by a CM/ECF Filer or CM/ECF User of any document constitutes certification by the CM/ECF Filer or CM/ECF User that all persons indicated on such document have signed the document and have executed an original prior to electronic filing with the Court.
- c. **Form of Electronic Signatures.**
 - i. **Required Information for CM/ECF Filers and CM/ECF Users.** A document transmitted via the Court's CM/ECF system shall include a signature block setting forth: (a) the name of the CM/ECF Filer or CM/ECF User; (b) a complete mailing address; (c) telephone number; (d) e-mail address; (e) the CM/ECF Filer's Connecticut's Federal Court bar registration number and firm affiliation, if applicable; and (f) a signature line on which is typed "/s/ Name" where the CM/ECF Filer's or CM/ECF User's signature would otherwise appear in a signed document.

An example of a signature block in compliance with this subsection is:

/S/ Roger Sherman
Roger Sherman
Founding Fathers Law, LLC
123 Main Street
Anywhere, ZZ 12345
(000) 000-0000
e-mail@emailaddress.com
Federal Bar No.: ct00000 (Connecticut)

- ii. **Required Information for Other Entities.** A document transmitted via the Court's CM/ECF system requiring or containing signatures of entities who are not CM/ECF Filers or CM/ECF Users, such as appearing parties or *Pro Se* Filer/Litigants who have consented to and been approved to receive electronic service in accordance with Section 4(b) of these Administrative Procedures For Electronic Filing, shall either (a) show an image of such signature as it appears in the original signed document, or (b) bear the name of the signatory preceded by "/s/ Name" typed in the space where the signature would otherwise appear in a signed document, accompanied by the signature block information recited in Subsection (c)(i) above. When an original signature is required, or has been executed, it must be maintained in accordance with Section 9(a) above.
- iii. **Multiple Attorney/Party Signatures.** A document requiring or containing signatures of more than one entity or counsel shall contain the signature information recited in Subsections (c)(i) and/or (c)(ii) above.

11. TECHNICAL FAILURE

A CM/ECF Filer or CM/ECF User whose electronic filing of a document is untimely as a result of technical failure may through motion seek appropriate redress from the Court. CM/ECF Filers and CM/ECF Users are responsible for consulting the Court's website to determine any scheduled system unavailability due to maintenance. Technical difficulties should be reported to the Court's CM/ECF Help desk immediately at CTB_ECF_HELP@ctb.uscourts.gov. Conventional filings may be authorized by the Clerk's Office in the event of recurrent or persistent CM/ECF system failure or other technical failure, if time is of the essence.

12. PUBLIC ACCESS

- a. **Public Access at the Court.** The public may view all documents in the Court's CM/ECF System at no charge at any divisional office of the Court during the Clerk's Office's regular business hours of 9:00 a.m. to 4:00 p.m., Monday through Friday. The Clerk's Office divisional offices are located in Hartford, New Haven, and Bridgeport.
- b. **Internet Access.** Internet access to the Court's CM/ECF system is limited to Public Access to Court Electronic Records ("PACER") system subscribers. CM/ECF Filers and CM/ECF Users may take advantage of the "one free look" provided with the NEF to download documents referenced in each Notice of Electronic Filing. In accordance with the Bankruptcy Fees established by 28 U.S.C. § 1930, CM/ECF User fees are charged for accessing certain detailed case information. Information regarding subscribing to PACER is available on the Court's web site at www.ctb.uscourts.gov and at the Clerk's Offices. The one free look is available for fifteen (15) days from the date the document was entered on the docket.
- c. **Copies and Certified Copies.** Copies and certified copies of electronically filed documents may be purchased at the Clerk's Office. The fee for copying and certification will be in accordance

with 28 U.S.C. § 1930 and Judicial Conference Policy. Current fees are posted on the Court's website at : www.ctb.uscourts.gov.

13. PRIVACY

CM/ECF Filers, CM/ECF Users, appearing parties, and *Pro Se* Filer/Litigants who have consented to and been approved to receive electronic service in accordance with Section 4(b) of these Administrative Procedures for Electronic Filing shall comply with Fed. R. Bankr. P. 9037 and D. Conn. L. Bankr. R. 1007-1 (b) in proceedings before the Court.

NOTE: In compliance with the E-Government Act of 2002, a party wishing to file a document containing personal data identifiers may file an un-redacted document under seal, in accordance with D. Conn. L. Civ. R. 5(e) and D. Conn. Bankr. L. R. 9077-1. The sealed document shall be retained by the Court as part of the record. The Court may, however, still require the party to file a redacted copy for the public file. The responsibility for redacting personal identifiers rests solely with counsel and the parties. The Clerk will not review documents for compliance with this procedure.

14. MOTION FOR EXEMPTION FROM ELECTRONIC FILING OVERVIEW AND PROCEDURES

OVERVIEW

All documents filed in a bankruptcy case or adversary proceeding must be filed electronically, unless otherwise ordered by the Court upon motion granted for cause shown. The Court will not refuse any document for filing, but attorneys who file documents conventionally without obtaining an exemption order risk dismissal or striking of the document and may be subject to sanctions.

No blanket exemptions will be granted to attorneys. Exemption from Electronic Filing must be sought on a case by case basis. A Motion for Exemption should be submitted to the Court. The motion should be submitted in paper with the first paper document submitted for filing. Documents submitted without a motion will not be refused for filing but may result in the striking or dismissal of the document.

a. *Pro Se* Filer/Litigant.

Parties who are not attorneys are not subject to mandatory electronic filing in a bankruptcy case or adversary proceeding.

b. Not-yet-trained exemption.

An attorney must take the necessary online courses to become familiar on how to file documents electronically through the Court's CM/ECF system and certify that he/she has done so the motion for exemption.

c. Trained-but-no-login exemption.

An attorney who has completed CM/ECF training but who has not yet obtained a login and password may be granted an exemption for 15 days to complete their preparation for CM/ECF filing.

d. Other-circumstances exemption.

In addition to the exemptions listed above, the Court may grant exemptions from mandatory electronic filing if exceptional circumstances justify such relief. The exceptional circumstances in support of the motion for exemption from electronic filing should be described in detail in the motion. Exemptions for exceptional circumstances will be made on a case-by-case basis, and orders granting the exemption will apply only in the particular bankruptcy case or adversary proceeding in which the order was entered.

e. Out-of-district attorneys.

The Court's mandatory electronic filing requirements and the exemptions thereto apply to all attorneys, whether or not located in the district, and whether or not admitted to practice in the District.

f. Sanctions.

Any attorney who files documents in paper form, who fails to submit a motion for exemption, or who continues to file documents in paper form after a motion for exemption has been denied or after an exemption has expired, may risk the striking of the document without notice or a hearing, or dismissal of the case, and ultimately be subject to disciplinary action.

Revisions:

October 12, 2021 – See Clerk's Announcement 2021-07

August 2, 2021 – Local Rules revisions effective August 2, 2021

August 1, 2020 – See Clerk's Announcement 2020-05

December 7, 2020 – See Clerk's Announcement 2020-08

January 20, 2021 – See Clerk's Announcement 2021-01

ATTACHMENT 2 - Guide regarding
Account updates in NextGen

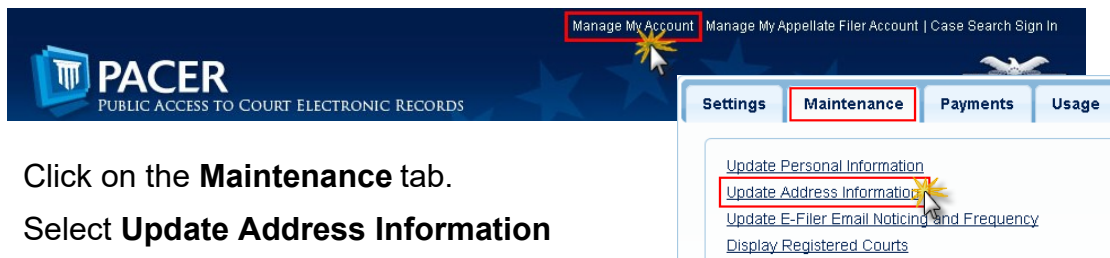
Account Updates with NextGen

All account information, other than secondary email addresses, is held in your individual Pacer account. **It is the Filer or User's responsibility to keep account information up to date.**

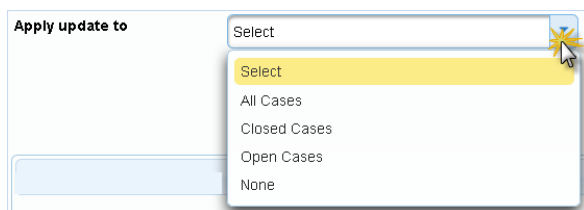
<p style="text-align: center;">CONTENTS:</p> <p style="text-align: center;">Updating Address Information</p> <p style="text-align: center;">Updating Primary Email Address</p> <p style="text-align: center;">Updating Secondary Email Address</p>
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Updating Address Information

1. Navigate to www.pacer.gov. Note that this can also be accessed through CM/ECF by clicking on **Utilities>Manage your PACER Account**
2. Click on **Manage My Account**



3. Click on the **Maintenance** tab.
4. Select **Update Address Information**
5. Use the text fields to **update the necessary information**. ****Please list a reason for the update.****
6. Select to which cases you would like to apply the updated information.



7. Check the boxes noting to which records/courts you would like to apply the updates. Ensure all of the information is correct, and click **Submit**. A **confirmation screen** will appear noting your submission was successful.

Apply Updates to Selected Courts

PACER Billing

123 Anywhere Street
Minneapolis, MN 55415
Phone: 612-664-5000

U.S. District Courts

Minnesota District Court - NextGen

123 Anywhere Street
Minneapolis, MN 55415
Phone: 612-664-5000

Submit **Reset** **Cancel**

Updating Primary Email Address

The primary email address is added and updated through PACER. Secondary email addresses are only added and updated through CM/ECF. Email addresses are used for Notices of Electronic Filing (NEF's). It is recommended that all accounts include a primary email address and at least one secondary email address for the purpose of receiving NEF's.

Updating Primary Email

1. Navigate to www.pacer.gov. Note that this can also be accessed through CM/ECF by clicking on Utilities>Manage your PACER Account
2. Click on Manage My Account



3. Click on the **Maintenance** tab.
4. Select **Update E-Filer Noticing and Frequency**

Settings **Maintenance** **Payments** **Usage**

[Update Personal Information](#) [Attorney Admissions / E-File Registration](#)

[Update Address Information](#) [Non-Attorney E-File Registration](#)

[Update E-Filer Email Noticing and Frequency](#) [Check E-File Status](#)


[Display Registered Courts](#) [E-File Registration/Maintenance History](#)

5. **Check the box** to apply your changes to the Connecticut Bankruptcy Court.
6. Enter and confirm the **Primary Email Address**, select frequency and format preferences and click **Submit**.

Apply Updates to Selected Courts

U.S. District Courts

Minnesota District Court (Test) - NextGen

 Click to apply changes to this court

[Click here to load this courts E-Filer email noticing and frequency information below](#)

Email testuser@testuser.com

Email Frequency Each Transaction

Email Format HTML

Additional email addresses for district and bankruptcy e-filers must be added through the CM/ECF Maintain Your Account utility.

*** Required Information**

Primary Email *


Confirm Primary Email *

Email Frequency *

Email Format *

7. The following confirmation screen will appear. Click **Close**.

Update Delivery Method and Formatting Options

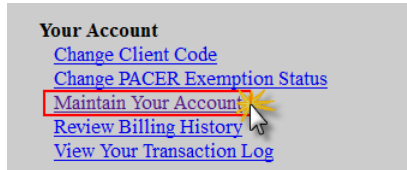
 Your email/noticing change(s) have been sent to the selected courts for review and processing. Please note that this process may take some time, and there is a possibility that the court may not accept your change.

Updating/Adding Secondary Email Address

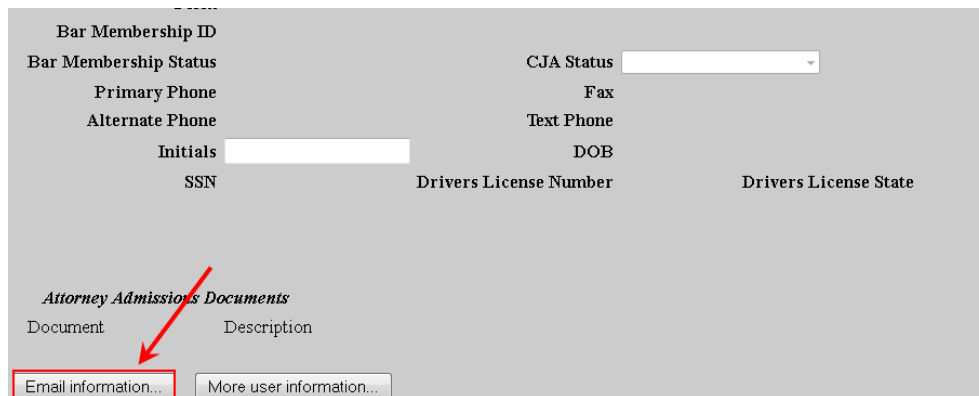
1. Select the **Utilities** menu in ECF



2. Click on **Maintain Your Account**



3. Click **Email information** at the bottom of the screen.

The image shows a form for user information. It includes fields for 'Bar Membership ID', 'Bar Membership Status', 'Primary Phone', 'Alternate Phone', 'Initials', 'SSN', 'CJA Status', 'Fax', 'Text Phone', 'DOB', 'Drivers License Number', and 'Drivers License State'. Below these fields is a section titled 'Attorney Admissions Documents' with a table for 'Document' and 'Description'. At the bottom of the form, there are two buttons: 'Email information...' and 'More user information...'. The 'Email information...' button is highlighted with a red rectangular box, and a red arrow points to it from the left.

4. If a primary email address is listed, skip to step 5. If no primary email address is listed, click **add new e-mail address**. **Note that although primary email addresses are maintained through PACER, there must be one listed in CM/ECF in order to add secondary addresses.** Enter the account's PRIMARY email address. Once an address is entered, the secondary email address options will appear on the left.
5. Click **add new e-mail address** under **Secondary e-mail addresses**.

The image shows a section titled 'Registered e-mail addresses'. It lists a 'Primary e-mail address:' as 'testuser@testuser.com'. Below this, it lists 'Secondary e-mail addresses:' and includes a button labeled 'add new e-mail address'. The 'add new e-mail address' button is highlighted with a red rectangular box. At the bottom of the section, there are two buttons: 'Return to Person Information Screen' and 'Clear'.

6. Enter the **secondary email address** and change the configuration options if desired.

Configuration Options:

Option	Description
Should this e-mail address receive notices?	For the primary email address, the default is Yes. If set to No, the primary email address will not receive notices of electronic filing (NEFs)—this is not recommended.
How should notices be sent to this e-mail address?	<u>Per Filing</u> : Email sent for each individual filing <u>Summary Report</u> : One daily email listing all transactions for that day, sent on the following day NOTE: If the Summary Report is selected, an additional prompt appears, “Should this e-mail address receive a ‘no activity’ notice when no summary noticing occurs?” Yes : an email will be sent with the message, “no transactions found for this time period” when no activity occurs in the cases for which the user is configured to receive summary notices No : no email will be sent unless there were filings
In what format should notices be sent to this e-mail address?	Controls the format of the emails—HTML is generally preferred.
Should this e-mail address receive general announcement notices from this court?	The court prefers that users select Yes so that they will receive email notifications regarding important ECF system information such as down-time and upgrades.

7. To **remove a secondary email address**, click on the address on the left and delete it in the text box on the right.

Registered e-mail addresses

Primary e-mail address:
testuser@testuser.com

Secondary e-mail address:
attorneystaff@test.com
[add new e-mail address](#)

Configuration options

attorneystaff@test.com

Should this e-mail address receive notices? Yes No

Should this e-mail address receive notice for all cases in this court? Yes No

How should notices be sent to this e-mail address? Per Filing Summary Report

8. After all changes have been made, click **Return to Person Information Screen**. **DO NOT use the Back button in your browser- information will not be saved if you click Back.**

Registered e-mail addresses	Configuration options
<p>Primary e-mail address: testuser@testuser.com</p> <p>Secondary e-mail addresses: attorneystaff@test.com add new e-mail address</p> <p>Return to Person Information Screen <input type="button" value="Clear"/></p>	<p><input type="text" value="attorneystaff@test.com"/></p> <p>Should this e-mail address receive notices? <input checked="" type="radio"/> Yes <input type="radio"/> No</p> <p>Should this e-mail address receive notice for all cases in</p> <p>How should notices be sent to this e-mail address? <input checked="" type="radio"/> Personal <input type="radio"/> Business</p>

9. You will return to the main account maintenance screen. Click **Submit** to save changes. A confirmation screen will appear.

Office	Test Firm
Unit	
Address 1	
Address 2	
Address 3	
City	State
Country	County
Firm	
Bar Membership ID	
Bar Membership Status	CJA Status <input type="text"/>
Primary Phone	Fax
Alternate Phone	Text Phone
Initials <input type="text"/>	DOB
SSN	Drivers License Number
Attorney Admissions Documents	
Document	Description
<input type="button" value="Email information..."/>	<input type="button" value="More user information..."/>
<input type="button" value="Submit"/>	