

UNITED STATES BANKRUPTCY COURT
DISTRICT OF CONNECTICUT

LOCAL RULES OF BANKRUPTCY PROCEDURE

APPENDIX A
Administrative Procedures for Electronic Case Filing

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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 as Appendix A to the Local Rules of Bankruptcy Procedure for the U.S. Bankruptcy Court for the District of Connecticut.

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 Section 2(a) below and does not include a Self-Represented Filer/Litigant.
- iii. CM/ECF Limited User refers to a person authorized to electronically file documents for limited use of the Court's CM/ECF system in compliance with Section 2(b) below.
- iv. Conventional Filing refers to documents filed in paper format.
- v. Notice of Electronic Filing ("NEF") - At the conclusion of an 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. 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.
- vii. Self-Represented Filer/Litigant refers to an individual who is a Debtor, creditor, or party-in-interest, including a plaintiff or defendant in an adversary proceeding, and is not represented by an attorney (self-represented parties are also referred to as *pro se*). See also, Local Bankruptcy Rule 1001-2(n).

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 a Self-Represented 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 15 of these Administrative Procedures.

2. REGISTRATION

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 as a Visiting Attorney (*pro hac vice*) as defined by Local Bankruptcy Rule 1001-2(t);
- 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.

NOTE: Attorneys who are acting as trustees and are filing documents and pleadings as a case trustee can apply for trustee-specific electronic filing privileges. The request for the trustee-specific electronic filing privileges must be submitted from the trustee's PACER account used in cases in which he/she is acting as a trustee. The request for the trustee-specific CM/ECF Filer 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, *upgraded*, 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 the appropriate registration form:

- [ECF Form No 1](#) CM/ECF Filer Registration Form
- [ECF Form No 1a](#) CM/ECF *Pro Hac Vice* (Visiting Attorney) Registration Form

The CM/ECF registration forms are local forms prescribed by the Clerk of Court and requires the CM/ECF Filer's name, address, telephone number, e-mail address and, in the case of an attorney, his/her bar number and a declaration that the attorney is admitted to practice in this Court or is seeking admission to practice before this Court.

ii. Submission of Registration Forms.

The applicable 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.

iii. 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 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. Any 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 Limited Users.

i. Eligibility to Register as CM/ECF Limited User.

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

1. High-volume filer of proofs of claim and claims-related activity,
2. claim traders, claim agents, or
3. governmental units (federal, state, or local).

The Limited-User account is intended for use by those who are not attorneys admitted to the Federal bar in the District of Connecticut but who file a high-volume of claims-related documents.

A CM/ECF Limited User is limited in the type of documents permitted to be filed in accordance with the list of permissible filing event options posted on the Court's website at: <https://www.ctb.uscourts.gov/cmecf-information>.

Prior to requesting limited electronic filing privileges as a CM/ECF Limited User, all CM/ECF Limited User applicants must first have an individual, *upgraded* 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 [ECF Form 2](#), CM/ECF Limited User Registration Form .

Persons or entities seeking to file a proof of claim are not required to obtain a CM/ECF Limited User account and instead may choose to use the Court's online portal utility called Electronic Proof of Claim (ePOC). ePOC is free to use and requires no registration or application. ePOC allows for the electronic submission of proofs of claim for all chapters, except for cases that have been assigned to a Claims and Noticing Agent. In addition to filing and amending a claim, ePOC allows a claimant to electronically file supplements to claims, including notices of mortgage payment change; notices of post-petition fees, expenses, and charges; and a response to notice of final cure payment. Access ePOC can be found on the Court's website: <https://www.ctb.uscourts.gov/epoc>.

ii. Submission of Registration Forms.

The CM/ECF Limited User Registration Form ([ECF Form 2](#)) 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.

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

Any changes to a CM/ECF Limited User’s e-mail address or 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 Limited User’s primary e-mail address can be updated through PACER. Any 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 Limited 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 Limited User and shall provide prompt notification of such action to the CM/ECF Filer or CM/ECF Limited User. In the event of suspension or revocation, the CM/ECF Filer or CM/ECF Limited 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 access to the Court’s CM/ECF system.

d. Registration Forms

When completing any of the following forms, 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](#) CM/ECF Filer Registration Form
- [ECF Form No 1a](#) CM/ECF *Pro Hac Vice* (Visiting Attorney) Registration Form
- [ECF Form No 2](#) CM/ECF Limited User Registration Form

3. LOGINS, PASSWORDS, AND SECURITY

a. Login and Password.

Once the CM/ECF Filer Registration Form, the CM/ECF *Pro Hac Vice* (Visiting Attorney) Registration Form, or the CM/ECF Limited User Registration Form are reviewed for accuracy and approved, PACER will send an e-mail message notifying the CM/ECF Filer or CM/ECF Limited 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 Limited 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 Limited 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 Limited User’s PACER login and password may have been compromised, the CM/ECF Filer or CM/ECF Limited 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 Limited Users are responsible for the entries made by any person using that CM/ECF Filer’s or CM/ECF Limited User’s PACER password and login to access the

Court's CM/ECF system. A CM/ECF Filer or CM/ECF Limited 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.

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

See Section 11(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 Local Bankruptcy Rule 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 Self-Represented Filer/Litigant, creditor, or party-in-interest.

Effective December 1, 2022, the United States Bankruptcy Court for the District of Connecticut no longer processes "Requests for Notice" filed with the Court. Requests for Notice filed by "interested" parties are not authorized by statute or rule and have become an unnecessary burden to the Court. Instead, Self-Represented Filer/Litigants, creditors, or parties-in-interest who wish to receive notice and service of documents filed in a bankruptcy case or adversary proceeding may file Local Form "Request and Consent to Electronic Notice and Service of Documents" CTB-LF9036-1A1 or CTB-LF9036-1A2, in accordance with Local Bankruptcy Rule 9036-1(a). The forms are available on the Court's website at: <https://www.ctb.uscourts.gov/local-forms>.

Requests made by a Self-Represented Filer/Litigant, creditor, or party-in-interest in accordance with Local Bankruptcy Rule 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 Self-Represented 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 an 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 an adversary proceeding on the Self-Represented 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 Self-Represented 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), Local Bankruptcy Rule 1001-1(b), and Local Bankruptcy Rule 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 Limited Users, appearing parties, and Self-Represented Filer/Litigants who have consented to and been approved to receive electronic service in accordance with Local Bankruptcy Rule 9036-1 and Section 4(b) of these Administrative Procedures For Electronic Filing. For service made by mail to a party, the certificate of service shall indicate the address of the party served.

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 Limited 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 U.S.C. § 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. Any replacement checks for a filing fee
3. Inter-district Index fee

4. 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 a 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 a 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 Limited Users as the Court Shall Direct.

Immediately upon the entry of a judgment or order in a bankruptcy case or a adversary proceeding, the Clerk's Office shall electronically transmit a NEF to all CM/ECF Filers, CM/ECF Limited Users, appearing parties, and Self-Represented 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 a 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 Limited Users, appearing parties, and Self-Represented 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. 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 a adversary proceeding, all supporting documents shall be filed individually, as “attachments” to the “main document”.

- d. Procedure for Filing Proposed Exhibits for an Evidentiary Hearing or Trial.** Unless otherwise ordered, exhibits for evidentiary hearings or trials shall be electronically filed on the docket of the bankruptcy case or a adversary proceeding in PDF format in accordance with Local Bankruptcy Rule 9070-1. Unless otherwise ordered, attorneys filing an exhibit under seal shall comply with D. Conn. L. Civ. R. 5(e) and D. Conn. L. Bankr. R. 9077-1.

When filing exhibit(s) on the docket of a bankruptcy case or a 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”.

From the CM/ECF Menu:

- Select Bankruptcy or Adversary
- Menu Category: Miscellaneous
- Select from the Menu of “Available Events” Exhibit(s)/List of Witnesses. Click Next to proceed to the next page.
- Select the Attorney filing the Exhibit(s)/List of Witnesses, Click Next to proceed to next page.
- Select the Name of the Party. Click Next to proceed to next page.

Then, please follow these additional steps:

1. At the “Attach File Screen”: Select “Browse” and locate the PDF document to be filed on your computer (your List of Exhibits). The List of Exhibits should include the case caption, a numerical list of exhibits, and signature block. The document should be titled “[Party Name] List of Exhibits”. Upload the PDF document.
2. Underneath the document selection box, you are asked whether there are attachments to the document: Select “YES.” Click Next to proceed to the next page to attach the Exhibits.
3. At the “Select Attachments Screen”: Browse for the PDF file you intend to file and attach the PDF file to be uploaded for the first exhibit. Fill in the fields below:
 - a. Category: Select Exhibit from drop down box
 - b. Description: Enter a short description including the exhibit number (i.e., “Exhibit 1 - Car Lease”)
4. Click “Add to List”
5. Repeat steps 3 through 4 for each exhibit.

NOTE: EACH EXHIBIT MUST BE FILED AS A SEPARATE PDF ATTACHMENT.

6. At the? prompt, select the filing party and then add the name of the List of Exhibits (for example, “Plaintiff’s Exhibits or List of Witnesses,” “Movant’s List of Exhibits,” etc.).
7. CM/ECF will ask you to link the exhibits you are filing to the matter scheduled for trial (i.e., the complaint, a particular motion or an objection). Select the ECF No. for the subject of the evidentiary hearing from the list CM/ECF provides.
8. The final docket text should generally appear in the following format (note that each exhibit is itemized in the docket text):
Plaintiff’s List of Exhibits Filed by John Smith on behalf of Mary Jones Plaintiff (Re:) [1] Complaint filed by Plaintiff Mary Jones.) (Attachments (1) Exhibit 1 Property Deed (2) Exhibit 2 Car Lease Contract (3) Exhibit 3 Police Report.

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.

- e. **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. UPLOADING A LIST OF CREDITORS TO CM/ECF.

In addition to filing a List of Creditors on the docket of the bankruptcy case pursuant to Fed. R. Bankr. P. 1007, when a Debtor is represented by an attorney and the attorney is a CM/ECF Filer, the attorney must either upload a List of Creditors into CM/ECF or enter each creditor into CM/ECF.

Creditor entities and their addresses are added to CM/ECF using the "Creditor Maintenance" function located in the "Bankruptcy" menu dropdown in CM/ECF. Creditor Maintenance populates the data for each entity's name and address into the database for each case. That data is transmitted to the Bankruptcy Noticing Center (BNC) whenever notice and service by mail is necessary in a bankruptcy case.

Creditor Maintenance may be done one entity at a time, by selecting the "Enter individual creditors" option, or in a batch upload using the "Upload list of creditors file" option.

Part A: Create a Properly Formatted File to Batch Upload into CM/ECF

1. Open a word processing program. (Microsoft Word, WordPerfect, or Notepad). Please note: all typed information should be justified to the left.
2. Type the case number on the first line. Click enter to add a line break after the case number. Note: A line break should be added to separate each creditor address.
3. On the next line enter the creditor name. Click enter to add a line break.
4. On the next line enter the any Attn: line information (*i.e.*, Attn: President). Click enter to add a line break.
5. On the next line enter the street address. Click enter to add a line break.
6. On the next line enter the city, state, and zip code. Add a line break before entering the next creditor's information.
 - a. NOTE: Ensure the addresses entered contain all contact information in compliance with Fed. R. Bankr. P. 1007, D. Conn. Bankr. P. 1007-1 and 2002-1 (for example, addresses for business entities shall include an attention line to an Officer, President, Director, Manager, or General Agent of the business entity, though not necessarily by individual name).

Example:

21-50022

New Car Parts
Attn: Treasurer
12 Western Blvd
Anywhere, CT 06666

New Age Flip Phone, Inc.
Attn: President
321 Main Street
Anytown, CT 06000

7. Save the file in a text only format (file type = text documents (*.txt)).

Part B: Complete the Batch Upload of the List of Creditors.

1. Log into CM/ECF. Select the Bankruptcy drop-down menu. Under Bankruptcy Events, select Creditor Maintenance.
2. Select Upload List of Creditors.
3. Enter the case number and click Next.
4. Select ChooseFile and search for the file location where the List of Creditors text file was saved. Select the saved List of Creditors. Click Open to add the file.
5. The directory path will appear next to the “Choose File” button. If the correct file is selected, the click “Next.”
6. Review the “Total Creditors Entered” to ensure the number to be added is accurate. **NOTE:** After this screen, you will have no further opportunity to modify this submission of creditors. Please confirm you are about to upload the correct file to the correct case. If all information is correct, click “Submit.”
7. The Creditor Receipt will appear confirming the entry of creditors into the database for that case.

A step-by-step guide for a batch uploading the List of Creditors is available on the Court’s website at: <https://www.ctb.uscourts.gov/cmecf-information>.

9. FILING OF DOCUMENTS UNDER SEAL

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

10. 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 Limited Users. The documents containing the original signature must be retained by the CM/ECF Filer or CM/ECF Limited 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 Self-Represented 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 Limited Users, appearing parties, and Self-Represented 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 Limited User to sanctions.

11. SIGNATURES

- a. Electronic Filing Constitutes Signature.** Except as provided in Section 10 and subject to subsection (c) below, the transmission by a CM/ECF Filer or CM/ECF Limited User through the Court’s CM/ECF system of any document constitutes any required signature of that CM/ECF Filer or CM/ECF Limited User on such document. The CM/ECF Filer or CM/ECF Limited 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 Limited User of any document constitutes certification by the CM/ECF Filer or CM/ECF Limited 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 Limited 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 Limited 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 Limited 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
email@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 Limited Users, such as appearing parties or Self-Represented 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 10(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.

12. TECHNICAL FAILURE

A CM/ECF Filer or CM/ECF Limited 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 Limited 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.

13. 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, except for Federal holidays and Closures. Please check the Court's website at www.ctb.uscourts.gov for closure information. 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 Limited 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 Limited User fees are charged for accessing certain detailed case information. Information regarding subscribing to PACER is available on the Court's website 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.

14. PRIVACY

CM/ECF Filers, CM/ECF Limited Users, appearing parties, and Self-Represented 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 Local Bankruptcy Rule 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.

15. 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. Self-Represented (*Pro se*) Filer/Litigant.

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

b. Other-circumstances exemption.

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.

c. 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.

d. 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:

March 16, 2026 – Local Rules Revisions effective March 16, 2026

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

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

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

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

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