



**UNITED STATES BANKRUPTCY COURT
DISTRICT OF CONNECTICUT**

CLERK'S ANNOUNCEMENT 2020-08

NOTICE OF (1) ADMINISTRATIVE PROCEDURE, INSTRUCTIONS, AND CONNECTICUT LOCAL FORMS FOR PRO SE FILER/LITIGANTS TO CONSENT TO ELECTRONIC SERVICE AND ELECTRONIC RECEIPT OF DOCUMENTS FILED IN A BANKRUPTCY CASE OR ADVERSARY PROCEEDING and (2) AMENDMENTS TO "ADMINISTRATIVE PROCEDURES FOR ELECTRONIC CASE FILING" (APPENDIX A TO THE LOCAL RULES).

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

1. ADMINISTRATIVE PROCEDURE, INSTRUCTIONS, AND CONNECTICUT LOCAL FORMS FOR PRO SE FILERS/LITIGANTS TO CONSENT TO ELECTRONIC SERVICE AND ELECTRONIC RECEIPT OF DOCUMENTS FILED IN A BANKRUPTCY CASE OR ADVERSARY PROCEEDING

Effective December 7, 2020, a *Pro Se* Filer/Litigant (a Filer/Litigant without an attorney) in a bankruptcy case or adversary proceeding before this Court may consent to receive service of all Judgments, Orders, and Notices entered by the Court and service of all documents filed on the docket of a bankruptcy case or adversary proceeding via e-mail instead of by U.S. Mail. A valid and active e-mail address is required to participate in this procedure. This procedure does not apply to the service of a Summons and Complaint which must be served in accordance of Federal Rule of Bankruptcy Procedure 7004 or service of a Subpoena, which must be served in accordance with Federal Rule of Civil Procedure 45 and Federal Rule of Bankruptcy Procedure 9016.

Electronic receipt of Orders and Notices issued by the Court and/or of service of documents filed by CM/ECF Filers and Users will be e-mailed to the *Pro Se* Filer/Litigant's e-mail address with a hyperlink to a PDF document. The hyperlink allows access to view, download, and save the documents filed in the bankruptcy case or adversary proceeding.

A PACER account is required to view a document that is received via e-mail. PACER accounts may be obtained at the PACER website: www.pacer.psc.uscourts.gov. In addition, Adobe Acrobat Reader or other pdf reader is required to be installed on a computer or mobile device.

NOTE: ONLY THE FIRST VIEWING OF THE DOCUMENT LINKED TO THE

HYPERLINK RECEIVED VIA E-MAIL IS FREE OF CHARGE. Additional access to the same document will charge an access fee. Please visit the PACER website for fee information.

To consent to electronic receipt of documents, change or update an e-mail address, or to withdraw the consent to electronic receipt of documents, a *Pro Se* Filer/Litigant must complete and e-mail the applicable form to the Court at E_Service_Request@ctb.uscourts.gov.

The new forms related to this new procedure are:

- Pro Se Filer/Litigant **Consent** and **Request** Form Regarding Electronic Receipt of Documents
- Pro Se Filer/Litigant **Change** of E-Mail Address Request Form Regarding Electronic Receipt of Documents
- Pro Se Filer/Litigant Request Form **Withdrawing Consent** Regarding Electronic Receipt of Documents

The forms are available immediately under “Local Forms” on our website and are attached to this notice.

2. AMENDMENTS TO APPENDIX A OF THE LOCAL RULES OF THE UNITED STATES BANKRUPTCY COURT FOR DISTRICT OF CONNECTICUT.

The “Administrative Procedures for Electronic Filing” (“Appendix A”), which is Appendix A to the Local Rules of the United States Bankruptcy Court for the District of Connecticut, will be revised with updates or changes to most sections. The revisions shall take effect on December 7, 2020.

Of note, Section 4 of Appendix A received significant revisions in connection with the Court’s new procedures to permit a *Pro Se* Filer/Litigant to receive electronic service and receipt of documents filed in a bankruptcy case or adversary proceeding.

Updates to Sections 4(c) clarify that a certificate of service is required with all documents, including electronically filed documents that will generate a Notice of Electronic Filing (“NEF”). The NEF alone does not constitute a certificate of service.

Updates to Section 10 clarify that a signature is required on all electronically filed documents in the form required by Section 10(c). Although transmission of a document through CM/ECF constitutes a signature, the Court will require that the signature block on electronically filed documents conforms with the Form of Electronic Signature requirements in Section 10(c) of Appendix A. The revised appendix is attached to this announcement.

December 4, 2020


Pietro Cicolini, Clerk of Court

4. I understand that this form must be completed, signed, e-mailed to the Court, and approved through order before my consent to electronic service of documents in a bankruptcy case or adversary proceeding will be effective.

5. I understand that if I need to change my e-mail address I must complete, sign, and e-mail a *Pro Se Filer/Litigant Change of E-Mail Address Form Regarding Electronic Receipt of Documents* form to the Court before my e-mail address will be changed for purposes of electronic receipt of documents.

6. I understand my request regarding electronic service using e-mail will not be effective until the Court processes this request and a Court order is issued to approve the request.

7. I understand that if I want to withdraw my consent to electronic service of documents in a bankruptcy case or adversary proceeding, I must complete, sign, and e-mail a *Pro Se Filer/Litigant Withdrawal of Consent to Electronic Receipt of Documents* form to the Court before my consent for purposes of electronic receipt of documents will be terminated and effective upon court order.

8. If a joint debtor exists in a bankruptcy case in which I am a debtor, or in an adversary proceeding in which I am Plaintiff or Defendant, I understand that any joint debtor(s) must submit their own form to consent to and request for electronic (e-mail) receipt of documents in a bankruptcy case or adversary proceeding.

9. I understand that electronic (e-mail) receipt of documents may arrive in my e-mail spam or junk folders and I should regularly check those folders for electronic receipt of documents. I also understand that my consent to electronic service of documents may be deactivated by the Court if an e-mail is returned undelivered or "bounces back," and the Court will then instead serve orders and court-generated notices delivered by United States mail to my most recent mailing address on file.

10. I understand only the first viewing of the electronic (e-mail) receipts of documents served is free of charge. Additional access to the same document will require me to pay an access fee.

Date: _____

Name (type or print your name)

Signature (sign your name)

Once you have completed this form, signed it, and dated it, please **e-mail** it to the Court at:

E_Service_Request@ctb.uscourts.gov

Note: The e-mail address from which you submit this form to the Court, **MUST** be the same e-mail address you are requesting to use to receive electronic service of documents.

**PRO SE FILER/LITIGANT CHANGE OF E-MAIL ADDRESS REQUEST FORM
REGARDING ELECTRONIC RECEIPT OF DOCUMENTS**

In accordance with the Court's 'Administrative Procedures for Electronic Case Filing' (which appear in Appendix A to the Local Rules of Bankruptcy Procedure of the United States Bankruptcy Court for the District of Connecticut), this form is to be used by a *Pro Se* Filer/Litigant who wishes to change their e-mail address and who *previously* consented to the electronic receipt of Notices and Orders issued by the Court and consented to the electronic receipt of documents filed by CM/ECF Filers, including attorneys. This form may be filed in a bankruptcy case or an adversary proceeding. A separate form must be filed in each bankruptcy case and each adversary proceeding for which a change of e-mail address for electronic receipt of documents is requested.

**INFORMATION ABOUT THE CASE FOR WHICH YOU WISH TO CHANGE THE
E-MAIL ADDRESS FOR RECEIVING ELECTRONIC NOTICES:**

Pro Se Filer's/Litigant's Name: _____

Name/Title of Bankruptcy Case (Debtor(s)): _____

Bankruptcy Case Number: _____

Adversary Proceeding Number: _____

Name of Adversary Proceeding Plaintiff: _____

Name of Adversary Proceeding Defendant: _____

INFORMATION ABOUT YOUR MAILING ADDRESS

Fill in your mailing address as it appears on the petition or pleading in the bankruptcy case or adversary proceeding:

[Street address, Street Name, Apt. No.]

[City State Zip Code]

Home Phone Number or Cell Phone: _____

the Court will then instead serve orders and court-generated notices delivered by United States mail to my most recent mailing address on file.

7. I understand only the first viewing of the electronic (e-mail) receipts of documents served is free of charge. Additional access to the same document will require me to pay an access fee.

8. I understand that if I want to withdraw my consent to electronic service of documents in a bankruptcy case or adversary proceeding, I must complete, sign, and e-mail a separate form to the Court.

Date: _____

Name (type or print your name)

Signature (sign your name)

Once you have completed this form, signed it, and dated it, please **e-mail** it to the

Court at:

E_Service_Request@ctb.uscourts.gov

Note: The e-mail address from which you submit this form to the Court, **MUST** be the same e-mail address currently on file with the Clerk. The Clerk will also conduct a test of the new e-mail address.

**PRO SE FILER/LITIGANT REQUEST FORM WITHDRAWING CONSENT
REGARDING ELECTRONIC RECEIPT OF DOCUMENTS**

In accordance with the Court's 'Administrative Procedures for Electronic Case Filing' (which appear in Appendix A to the Local Rules of Bankruptcy Procedure of the United States Bankruptcy Court for the District of Connecticut), this form is to be used by a *Pro Se* Filer/Litigant who wishes to *withdraw* their prior consent to the electronic receipt of Notices and Orders issued by the Court and/or to the electronic receipt of documents filed by CM/ECF Filers, including attorneys. This form may be filed in a bankruptcy case or an adversary proceeding. A separate form must be filed in each bankruptcy case and each adversary proceeding for which receipt of documents is requested to no longer be through e-mail.

**INFORMATION ABOUT THE CASE FOR WHICH YOU WISH TO WITHDRAW
CONSENT TO RECEIVE ELECTRONIC NOTICES:**

Pro Se Filer's/Litigant's Name: _____

Name/Title of Bankruptcy Case (Debtor(s)): _____

Bankruptcy Case Number: _____

Adversary Proceeding Number: _____

Name of Adversary Proceeding Plaintiff: _____

Name of Adversary Proceeding Defendant: _____

INFORMATION ABOUT YOUR MAILING ADDRESS

Fill in your mailing address as it appears on the petition or pleading in the bankruptcy case or adversary proceeding:

[Street address, Street Name, Apt. No.]

[City State Zip Code]

Home Phone Number or Cell Phone: _____

I. WITHDRAWAL OF CONSENT TO ELECTRONIC SERVICE

[Complete Section I if you are *withdrawing your consent* to electronic receipt of documents filed in the bankruptcy case and/or adversary proceeding listed above.]

I, _____, hereby withdraw my prior consent to the electronic receipt of all documents filed in the bankruptcy case and/or adversary proceeding listed above and request to discontinue electronic receipt of such documents. Once the Court approves this change and becomes effective, I understand that future documents filed in the bankruptcy case and/or adversary proceeding listed above will be sent to me via United States Mail.

NOTE: A separate form must be filed for each bankruptcy case and each adversary proceeding for which you are withdrawing your consent to electronic receipt of documents.

NOTE: A Summons and Complaint and a Subpoena must be served in accordance with Federal Rule of Civil Procedure 45 and Federal Rule of Bankruptcy Procedure 7004 and not via electronic means.

By signing this form, I agree to the following:

1. I understand that this form must be completed, signed, and e-mailed to the Court before my withdrawal of my consent to electronic service of documents in a bankruptcy case or adversary proceeding will be effective.
2. I understand my request to withdraw my consent to electronic service using e-mail will not be effective until the Court processes this request and a Court order is issued to approve the request.
3. If a joint debtor exists in a bankruptcy case in which I am a debtor, or in an adversary proceeding in which I am Plaintiff or Defendant, I understand that any joint debtor(s) must submit their own request form to withdraw consent to electronic (e-mail) receipt of documents in a bankruptcy case or adversary proceeding.

Date: _____

Name (type or print your name)

Signature (sign your name) _____

Once you have completed this form, signed it, and dated it, please **e-mail** it to the

Court at:

E_Service_Request@ctb.uscourts.gov

Note: The e-mail address from which you submit this form to the Court, **MUST** be the same e-mail address you are requesting to withdraw consent to use to receive electronic service of documents.

UNITED STATES BANKRUPTCY COURT
DISTRICT OF CONNECTICUT

LOCAL RULES OF BANKRUPTCY PROCEDURE

APPENDIX A

Administrative Procedures for Electronic Case Filing

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 any entity with an approved CM/ECF login and password and does not include a *Pro se* Filer/Litigant.
- iii. CM/ECF User refers to a person or entity with an approved CM/ECF login and password, registered for limited use of the 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.

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 15 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 or entities are eligible to register as CM/ECF Filers in 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. In order to register as a CM/ECF Filer, a party must complete a Filer Registration form ([ECF Form 1](#)) or *Pro Hac Vice* Registration form ([ECF Form 1a](#)). Registration will be made in a form prescribed by the Clerk of Court and requires the Filing CM/ECF User'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. Members of a CM/ECF Filer's staff are encouraged to participate in the on-line CM/ECF training tutorial.

ii. Training for CM/ECF Filers.

CM/ECF Filers will be required to complete training as required by the Clerk of Court. CM/ECF Filers may train through the Court's on-line CM/ECF Training Tutorial. All CM/ECF Filers will be required to successfully complete the Court's On-line Test for CM/ECF Filers in order to be assigned a CM/ECF Filer login and password, unless the CM/ECF Filer specifies that they have a current login and password from another CM/ECF court. On-line training may be accessed at any time. If the on-line test is not satisfactorily completed, the Clerk of Court may require the CM/ECF Filer to participate in further online training.

CM/ECF Filers with a current and valid CM/ECF registration and login issued by another United States Bankruptcy Court will be issued a United States Bankruptcy Court for the District of Connecticut login and password 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 on-line test, if applicable, may be submitted either via e-mail at [CTB ECF HELP@ctb.uscourts.gov](mailto:CTB_ECF_HELP@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

Attorneys who are acting as trustees must separately register as a trustee and will receive a different login and password for use as a trustee.

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

CM/ECF Filers shall immediately notify the Court of any changes in the CM/ECF Filer's e-mail address or their contact information by sending an e-mail to CTB_ECF_HELP@ctb.uscourts.gov. 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 or entities are eligible to register as CM/ECF Users in the Court's CM/ECF system:

Any 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.

In order to register as a CM/ECF User, an entity must complete a Limited CM/ECF User Registration Form ([ECF Form 2](#)). CM/ECF Users shall consult the Court's CM/ECF on-line training found at www.ctb.uscourts.gov for instructional material on how to file proofs of claim, requests for notice, and other events available to CM/ECF Users.

ii. Training for CM/ECF Users.

CM/ECF Users will be required to complete the Court's On-line CM/ECF training tutorial and successfully complete the on-line test for CM/ECF Users in order to be assigned a CM/ECF User login and password.

The signed User registration form ([ECF Form 2](#)) and a completed on-line test, should be either e-mailed to CTB_ECF_HELP@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.

CM/ECF Users shall immediately notify the Court of any changes in the CM/ECF User's e-mail address by sending an e-mail to CTB_ECF_HELP@ctb.uscourts.gov. CM/ECF Users with a current and valid CM/ECF registration and login issued by another United States Bankruptcy Court will be issued a login and password upon completion of the first two pages of the registration form.

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 access 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 take the online training in order to restore their access to the Court's CM/ECF system.

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 on-line test are reviewed for accuracy, the Court will send an e-mail message notifying the CM/ECF Filer or CM/ECF User of the assigned login and password. The e-mail message ensures that the CM/ECF Filer or CM/ECF User has a properly functioning e-mail address which will be used by the Court's CM/ECF system.

b. Login and Password Security.

Every CM/ECF Filer or CM/ECF User is required to protect the security of the assigned login and password. If there is any reason to believe the security of the assigned login and password may have been compromised, the CM/ECF Filer or CM/ECF User must immediately notify the Court's Information Technology Department by e-mail to CTB_ECF_HELP@ctb.uscourts.gov. 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 either on-site or on-line CM/ECF training, but will not receive a separate login and password. 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 password and login.

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, and Fed. R. Bankr. P. 9036.

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.

Requests made by a *Pro Se* Filer/Litigant to receive service of all documents filed in a bankruptcy case or adversary proceeding via the Court's CM/ECF system through e-mail address provided by a *Pro Se* Filer/Litigant 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 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 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 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 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 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 will be 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 entry and the electronic CM/ECF Filer or CM/ECF User 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.

- 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](mailto: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 am to 4:00 pm, 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.

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. **REGISTRATION FORMS**

When completing any of the following forms and accompanying test, please return them via e-mail at CTB_ECF_HELP@ctb.uscourts.gov. We will contact you regarding your registration and password after review of the submitted information.

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

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. *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:

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

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