# Kentucky Western

Case Management

# CM / ECF

Electronic Case Files

## Training and Desktop Reference Guide for creditors

# ECF Training Manual
# Table of Contents
# For Creditors

# SECTION 1:

# INTRODUCTION

# ELECTRONIC CASE FILES SYSTEM
# USER'S GUIDE

## Getting Started

### Introduction

This manual provides instructions on how to use the Electronic Filing System to file documents with the Bankruptcy Court, or to view and retrieve docket sheets and documents for all cases assigned to this system. It assumes a working knowledge of Netscape, Internet Explorer and Adobe Acrobat. Please refer to Netscape, Internet Explorer and Adobe Acrobat instruction manuals for specific questions regarding those applications.

### Help Desk

Telephone the Court's **Help Desk** at 502-627-5700 between the hours 8:30 A.M. and 5:00 P.M., Monday through Friday, if you need assistance.

### Court's Website:

To access information, materials relating to CM/ECF, the Training database, and Live database log on to the Court's website at:
www.kywb.uscourts.gov

## Capabilities of the System

The electronic filing system allows registered participants with Internet access, Netscape and Internet Explorer to perform the following functions:

- Access the Court’s Web page
- Download the most recent version of the User’s Guide
- Access the training system comparable to the official “Live” system to acquaint yourself with how the system operates.
- Electronically file pleadings and documents in actual “Live” cases
- View official docket sheets and documents associated with cases.
- View various reports.

## Requirements

### Hardware and Software Requirements

The hardware and software needed to electronically file, view and retrieve electronic case documents are the following:

- A personal computer running a Windows based petition or word processing software
- Internet access from methods such as modem, DSL or cable
- Netscape Navigator version 4.6x or 4.7x or Internet Explorer 5.x
- Adobe Acrobat version 3.0 or higher for converting documents from a word processor or other software to portable document format (PDF)
- Adobe Acrobat Reader 5.05 to view, print and download documents from the Court's electronic case file. The Adobe Acrobat Reader is available as a free download at www.adobe.com

### PACER

All users require a valid PACER login and password. PACER login permits access to all nationally supported systems. See http://pacer.psc.uscourts.gov for a complete list. Other information:

- PACER login can be permanently linked to CM/ECF login, so that it does not have to be re-entered
- PACER users can log in at one court and access another without having to log in again
- Hyperlink to filed document provided to parties receiving a notice of filing. Access to the linked document is **FREE** the first time it is accessed for users receiving electronic notices.
  All users should be advised to print or save the document to a local computer in order to avoid future charges.
- The CM/ECF application links the filing account with an

appropriate PACER account for billing purposes.

## How to Register for Access

Participants must complete a registration form. The form is available from the Court's web page or contact the Court at:

- **Help Desk** **502-627-5700**

or

- John Brubaker, Chief Deputy 502-627-5779
- Susan Craven, Training Specialist 502-627-5714

A training version of the system is provided on the Internet at http://ecf-train.kywb.uscourts.gov for practice purposes. It is strongly recommended that participants take advantage of filing documents in the training database before filing a document in the "Live" data base.

**NOTE: A different set of logins and passwords are issued for the "Training" and "Live" systems.**

## User Interactions

### Documents filed in Error

A document incorrectly filed in a case may be the result of posting the wrong PDF file to a docket entry, or selecting the wrong document type from the menu, or simply entering the wrong case number and not catching the error before the transaction is completed. **Do not attempt to refile the document.**

To request a correction , telephone:

**Help Desk** **502-627-5700**

as soon as possible after an error is discovered. Be sure to have the case number and document number for which the correction is being requested. If appropriate, the Court will make and entry indicating that the document was filed in error. You will be advised *if* you need to refile the document. The system will not permit you to make changes to the document(s) or docket entry filed in error once the transaction has been accepted.

### Emergency Filings

Contact the Court **immediately** upon filing an emergency pleading.

### Viewing Transaction Log

This feature, selected from the **Reports Menu**, allows you to review all transactions processed with your login and password. If you believe or suspect someone is using your login and password without permission, refer to the User Maintenance section of this guide on how to change your password.

### User's Guide

The most recent version of the User's Guide for the system is always available at: http://ecf.kywb.uscourts.gov .

## Troubleshooting

### Cannot login to the System

If you are using Netscape Navigator or Internet Explorer, and your password and login have both been correctly typed, and you still cannot login to the system, please call the Court's **Help Desk** at 502-627-5700.

To ensure the documents transmitted have arrived in their entirety, it is important to read the document after it is received by the Court. This can be done by viewing the docket sheet from the case and selecting the transmitted document. The number of the transmitted document appears on your electronic filing receipt.

### Experiencing a Problem with the System when Filing a Document

During normal business hours of 8:30 a.m. to 5:00 p.m., please contact the Help Desk at 502-627-5700. Please be advised, however, that the site is not supported 24 hours a day, and that when filing documents after normal business hours, support will not be available. When filing documents that must be filed on a certain day, it is our recommendation that you file these before 5:00 p.m.

# SECTION 2:

# ACCESSING CM/ECF

# Accessing
# CM/ECF

The CM/ECF system is a web based software program. CM/ECF court users process cases through the federal courts' restricted intranet while attorneys and other public users will submit pleadings and view case data from the internet. Both court and external users have different levels of access to screens via menu selections and functionality as determined by their needs.

**STEP 1** To access the court web site, open Netscape Navigator or Internet Explorer and enter the URL (address) of the court's computer in the browser's Location field. **www.kywb.uscourts.gov (See Figure 1.)** Familiarity with browser navigation and functionality is recommended for successful and efficient use of this system.


**Figure 1**

**NOTE:** For quick access to this site in the future, set a bookmark or create a button on your navigation bar, **(See Figure 1.)**

The Back button  on your Netscape navigation bar can be used to back up in case processing or queries at any time. You will find that the Back button and the Forward button  will allow you added flexibility in case processing.

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

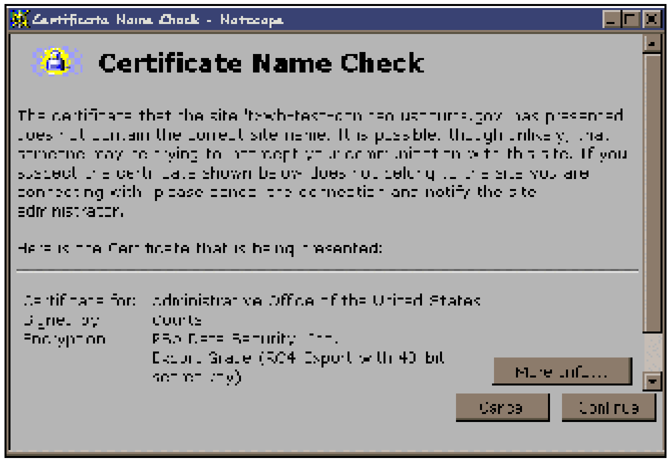



**Figure 2**

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

**STEP 3** **Logins and Passwords**

Internet users (attorneys, trustees and, in some courts, certain creditors) will use two sets of logins and passwords; one for CM/ECF filing and the other for Public Access to Electronic Records (PACER) access for queries and reports. Registered Internet users will see a login screen as pictured below in **Figure 3a.**

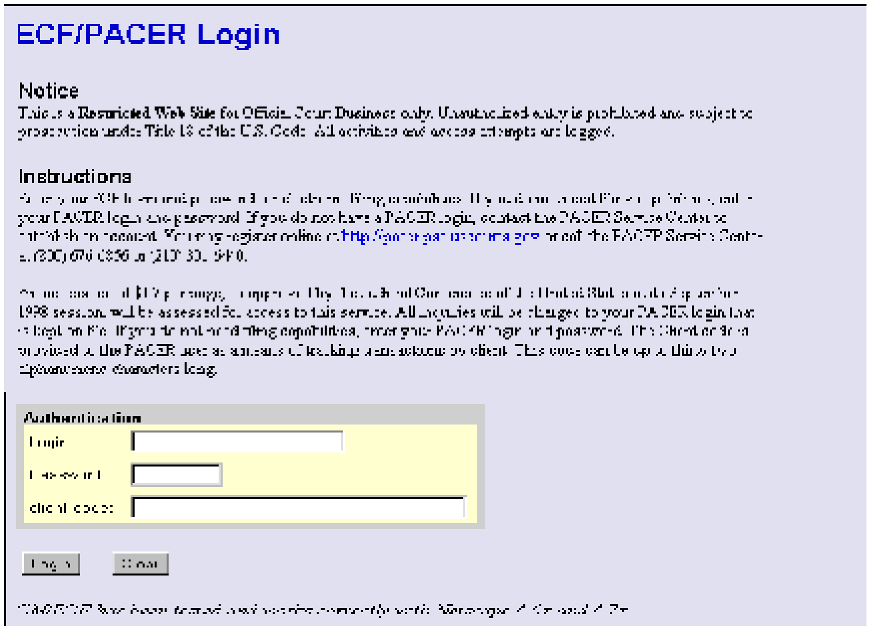



**Figure 3a**

Participants will initially enter their CM/ECF login and password which has been issued by the court on this screen. This login and password allows electronic filing of documents, not access to reports or queries.

The registered user's login and password is the electronic equivalent of their signature pursuant to Local rule 6.7.

Your **Login** and **Password** fields are case sensitive. A login of thomask should not be entered as ThomasK or THOMASK. The password cannot exceed 8 characters and should not include special characters (%,#,$,%).

The **client code** field is optional and is used for PACER users to associate this activity to specific customers.

If an error is made before submitting the screen, clicking on the **[Clear]** button will delete the data and allow you to reenter information.

This login screen will subsequently appear when web users select any report or query selection from a CM/ECF menu. The PACER program charges 7¢ per page. However, the user will be advised of how many pages they have selected before accepting the information. After running a report, a PACER summary of pages and costs will appear at the end. PACER information and registration is available at http://pacer.psc.uscourts.gov/.

The PACER Service Center bills users only when annual usage exceeds $9.99, e.g., If on December 31, a participant owes $9.56, no bill will be issued for that year and a new billing cycle will begin January 1 of the next year.

All users are personally responsible for activity with their logins. Participants can also be given access to maintain their login and password, address and e-mail preferences.

The PACER site also offers free Internet access to a series of CM/ECF tutorials for attorneys and other web users through a series of Computer Based Training (CBT) modules. No login or password or charge is required for this feature. The lessons can be done at your PC in individual modules at the convenience of the student. Screens replicate the CM/ECF environment and are interactive. Access to this resource is at [http://www.pacer.psc.uscourts.gov/ecfcbt/.](http://www.pacer.psc.uscourts.gov/ecfcbt/)

The court user CM/ECF login screen is pictured in **Figure 3b**. These fields are also case sensitive.

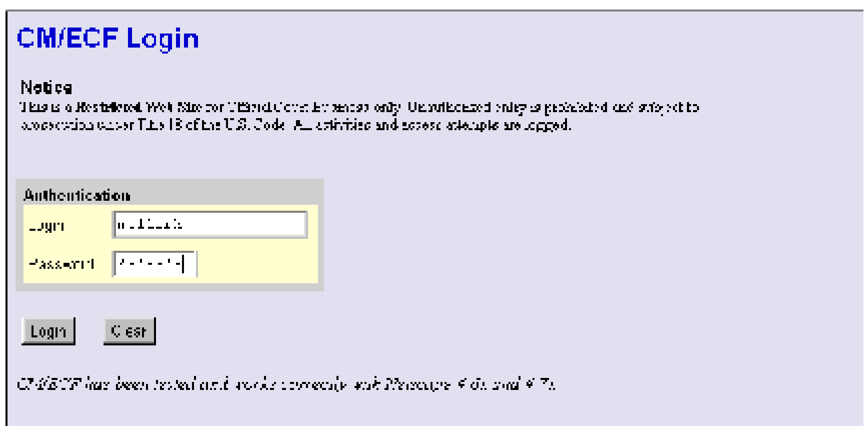



**Figure 3b**

**STEP 4** The **CM/ECF MAIN MENU** screen is pictured in **Figure 4**.

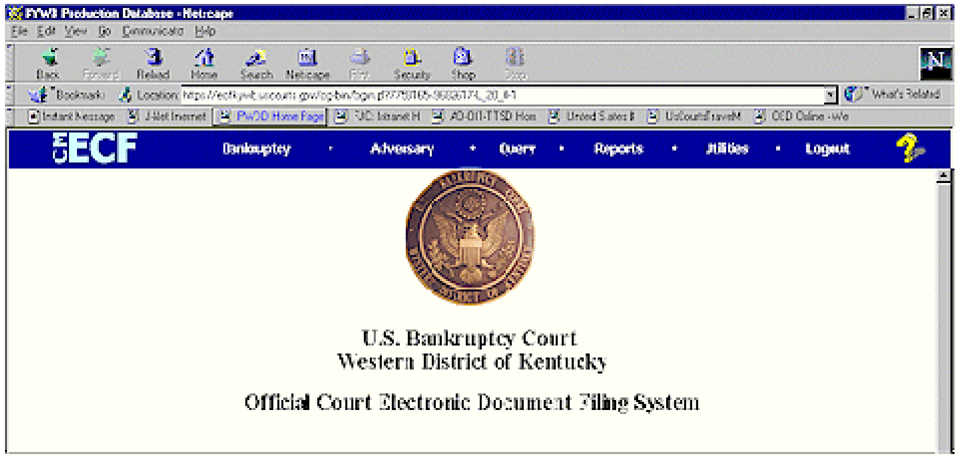



**Figure 4**

Access to the various modules are provided by the blue Main Menu Bar at the top of the screen. Each selection is a hyperlink to another set of options or hyperlinks allowing participants to file documents, query, view or print a docket sheet, generate reports or maintain the system.

This menu is also used to exit the system. The preferred method to exit CM/ECF is to click the **Logout** hypertext link on the CM/ECF Main Menu Bar.

## Public Access

Bankruptcy case information on CM/ECF is available to the public through participating court Internet sites. For instance, the bankruptcy court in the Eastern District of Kentucky can be accessed by typing this URL, www.kyeb.uscourts.gov, in the Location Box of your browser. A PACER login for each court is necessary for access for reports and queries.

Inquiries can be made through Public Case Query which provides search capabilities by case number or name. **(See Figure 5)**

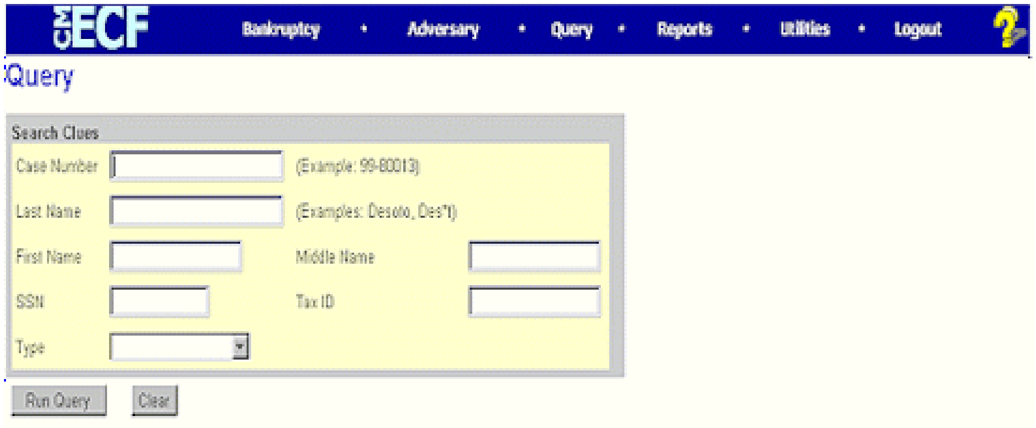



**Figure 5**

PACER gives participants access to a CM/ECF court calendar, a cases report, claims register, creditor matrix and case docket sheets. This information is current and is updated with activity in real time.

CM/ECF registered users can subscribe to electronic notification of any filing on any case within the district. These notices are received through the participants e-mail program. Notices can be monitored throughout the day or by requesting a daily summary of activity of all the cases they have signed up for. Every user can access a copy of the document that has been filed **once without charge**. It is advisable to save or print this file. Subsequent requests through the document's hyperlink will produce the standard PACER login screen.

# SECTION 3:

# USER MAINTENANCE

# CM/ECF
# Maintain User Accounts

All CM/ECF users will be issued an account with a user login and password. The CM/ECF login provides registered users the ability to submit pleadings electronically to the court. Public users (attorneys and creditors) must also log into PACER to inquire on cases or look at reports. Existing PACER logins and passwords will be accepted.

Non-court users can access their own account information through the Maintain Your ECF Account menu. Using this option, participants can update their name, mailing and E-mail addresses, phone and fax numbers, and password. Users can therefore control the accuracy of their own information in a timely manner.

This module explains how attorneys and trustees can update:

- ♦ user name, address and other party data
- ♦ E-mail information
- ♦ electronic noticing preferences
- ♦ user passwords.

**STEP 1** After clicking on **Utilities** on the CM/ECF Main Menu bar, select Maintain Your ECF Accounts, which is found under the **Your Account** sub-menu. **(See Figure 1.)** Your UTILITIES screen may vary from the one displayed in this example.


**Figure 1**

**STEP 2** Your user account screen will appear displaying your current account information. **(See Figure 2.)**

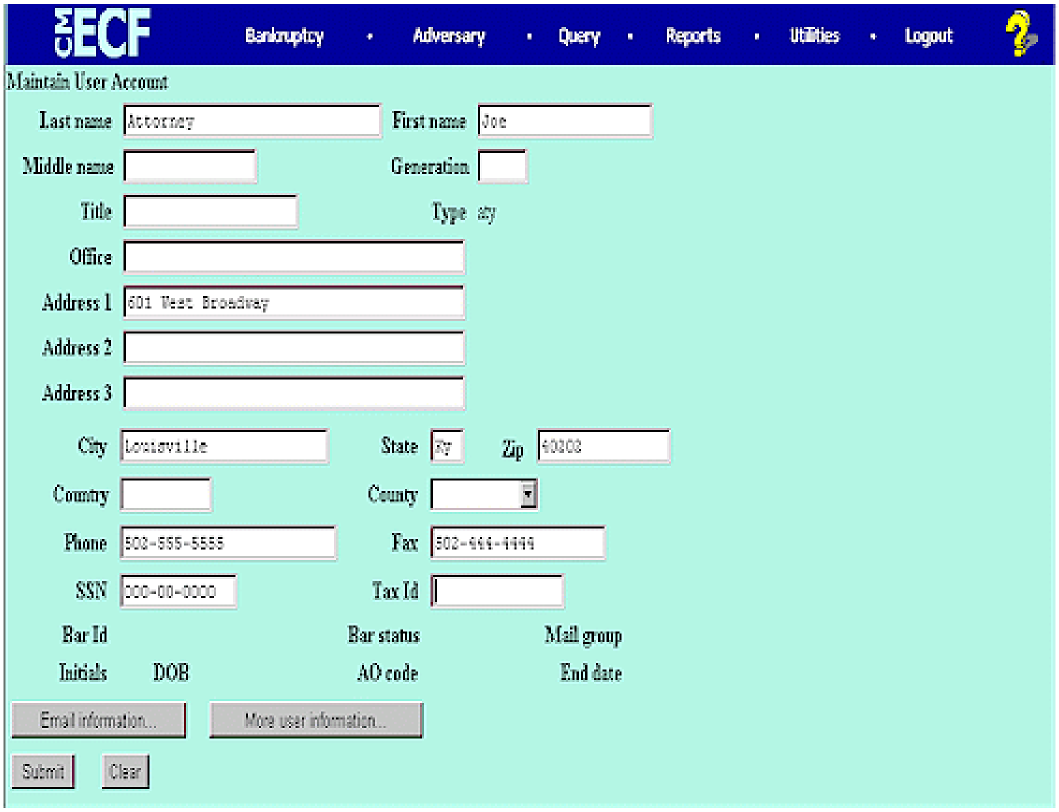



**Figure 2**

- Update your personal information on this screen. When it is correct, click **[Submit]** to save the changes. If the **[Submit]** button is not used, the record will not be modified.
- The **[Email information...]** and **[More user information]** buttons provide further screens to modify your user profile. The following pages will explain these features in more detail.

**STEP 3** The E-MAIL INFORMATION screen presents options for control of your electronic notification on each court's CM/ECF system. **(See Figure 3.)**

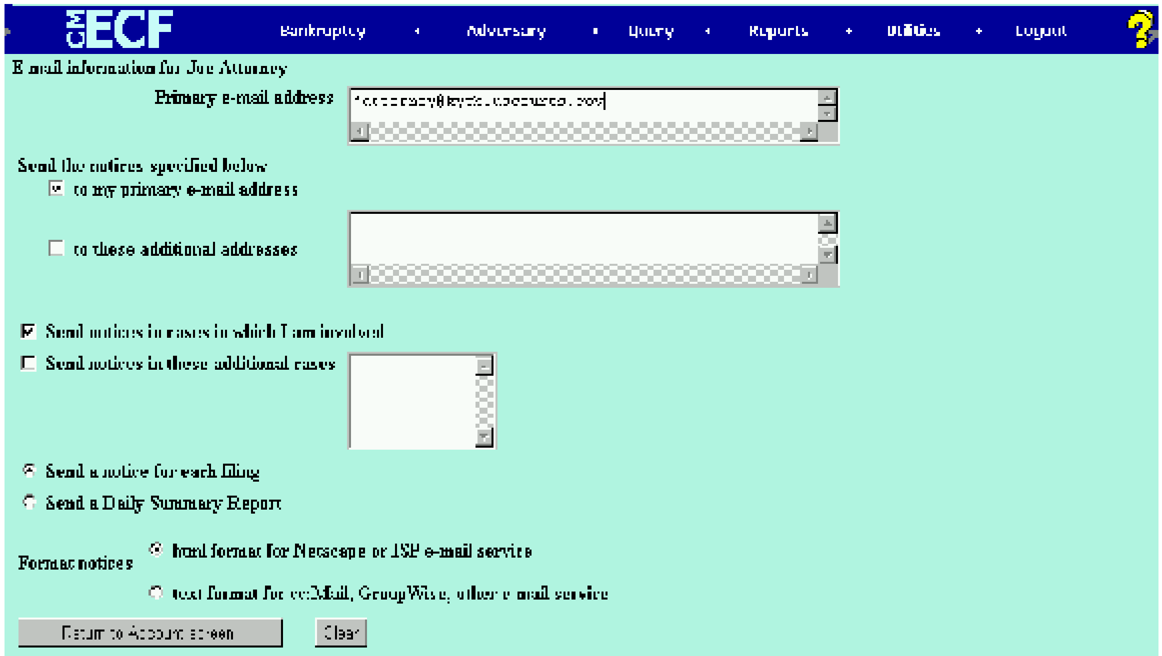



**Figure 3**

You can request e-mail copies of notification on all cases to which you are a party or only on specific cases. You can receive e-mail activity throughout the day or a daily summary of all noticing activity. "All activity" includes notification of claims as well as other entries to a case. Each e-mail will include the case number and name of the docket entry in the subject line of the mail message.

Each section on the E-MAIL INFORMATION screen is explained below:

- **Primary e-mail address**. This address must be formatted to Internet protocol or an error will be generated. It may be prudent to establish a separate e-mail account for CM/ECF activity from your routine e-mail correspondence.

- **Send the notices specified below...**

  - ☐ **To my primary e-mail address**

To activate CM/ECF notification you must first check the box next to your e-mail address.

- ☐ **To these additional addresses**
  You may have notices sent to other e-mail addresses besides your primary e-mail address. (Paralegals or chambers staff may want to share this notification activity.) When entering multiple
  e-mail addresses, separate each address with a semi-colon.

- ☐ **Send notices in cases in which I am involved**
  Checking this box will automatically inform the user when any filing has been submitted in a case where this person is a participant. Chapter 7 panel trustees and offices of the U.S. Trustee may find this advantageous for new filings as well as routine case activity.

- ☐ **Send notices to these additional cases**
  You do not have to be a participant in a case to receive notification of activity. Trustees and attorneys can elect to be notified of activity in cases in which they have an interest but are not parties to the case. Court and chambers staff can monitor cases through this process also. It is possible to select both options.

**NOTE:** This list is maintained by each user. As you are involved in more cases or as cases close, you must update this screen.

- ♦ **Send a notice for each filing**
  Checking this box means you will receive e-mail notices when activity occurs throughout the day to the account(s) specified above. The title of the e-mail will describe the type of filing and the case number.

- ♦ **Send a Daily Summary Report**
  A comprehensive list of one day's activity can be sent once a day. Notifications for claims will also be included in this mail list. **(See Figure 3a.)**

  A Summary report includes the case numbers and titles of cases in which activity occurred for that day. The text of the summary e-mail notification will display the docket event and the document number (including the hyperlink).

**NOTE:** You cannot elect to receive both separate notices and the summary report.

| Bruce Williams | 11/26/2001 | 8511 | Summary of ECF Activity |
|---|---|---|---|

**99-11228-lmg Michael Holdman and Wendall Holdman Notice of Appearance 5**
**5-01-50021-lmc John Aadams and Mary Aadams Proof of Claim Filed 1**
**5-01-50021-lmc John Aadams and Mary Aadams Proof of Claim Filed 2**

**Figure 3a**

- **Format notices**

  Enter the e-mail delivery method. This selection will be determined by your e-mail type.

- ☐ **html format for Netscape or ISP e-mail servicer**

  The html format will include hyperlinks to the document or claim. **(See Figure 3b.)**

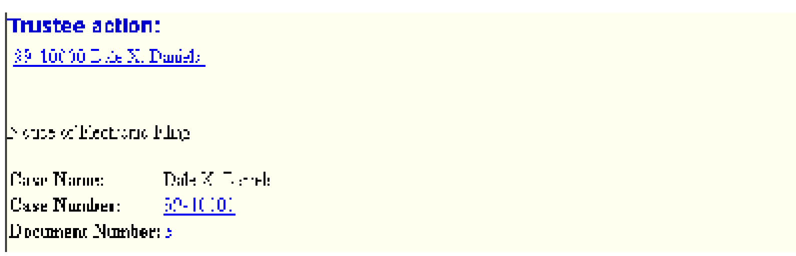



Figure 3b

☐

**Text format for cc:Mail, GroupWise, other e-mail service**

Text format will feature the URL of the PDF document which can be copied and pasted into the location bar of your browser. **Figure 3c** shows an example of a text formatted notice.

Notice of Electronic Filing
The following transaction was received from Abraham P. Bellows on 1/23/2001 at 3 :51 PM CST

Case Name: William Wonka
Case Number: 97-13259 https://bkecf-train.aottsd.uscourts.gov/cgi-bin/DktRpt.pl? 252
Document Number: 2

Figure 3c

♦ When you have entered your e-mail preferences, click on **[Return to Account screen]** to save the data.

The screen in **Figure 3d** is used to confirm the information which has been submitted. If you checked any of the boxes for sending notices for each filing, or sending a Summary Report, this screen will indicate the option is turned “on”.

Any additional case numbers (and hyperlinks) will be displayed under the **Case list:** heading. If invalid case numbers were entered, you will receive an error message after submitting the data and be given the chance to back up and enter a valid number.


Figure 3d

**STEP 4** If you click on **More user information** from your account screen, your login and password information will be displayed **(See Figure 4)**


**Figure 4**

♦ The login and password is assigned by the court. The court request that users **not** change their assigned login however, the user can change their password here.

Remember:

- Logins and passwords are case sensitive;
- These are alphanumeric fields;
- Passwords have a maximum of 8 characters;
- When you enter a new password it is displayed on the screen. Your subsequent queries to this screen will show only asterisks.
  (No one will be able to tell you what your password is. Contact the court if you forget your password.

♦ When you have entered the information as desired, click on **[Return to Account screen]**.

**STEP 5** Your user account screen will appear again **(See Figure 5.)**

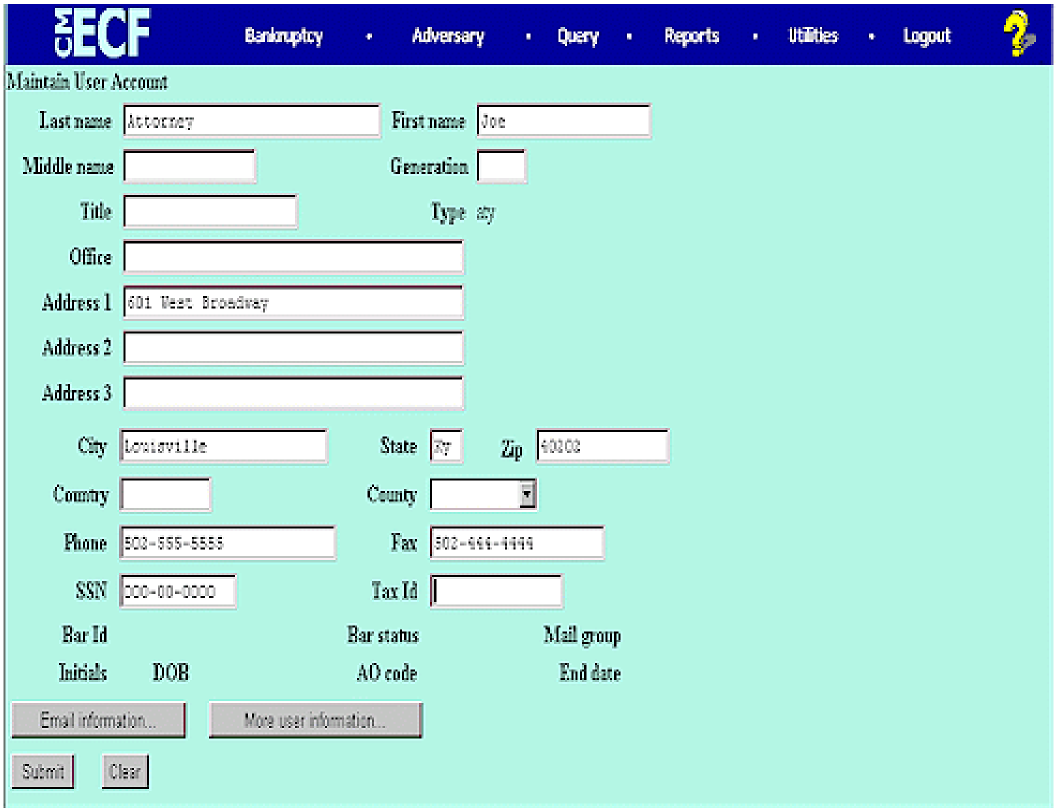



**Figure 5**

♦ When all of your account information is correct, click **[Submit]** to finish processing.

**STEP 6** A list of the cases you are associated with will then appear **(See Figure 6.)**

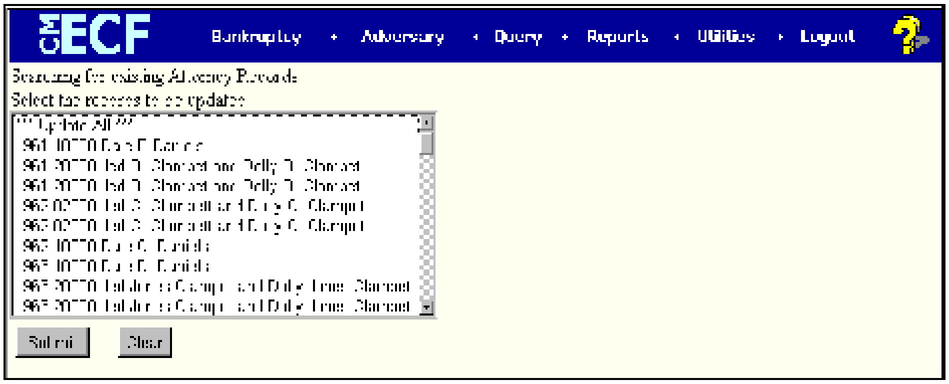



**Figure 6**

- ♦ If you want this new information to apply to all of the cases, click on **[***Update All***]** at the top of the list. To change information only on certain cases, hold down the **[Control]** key after selecting the first case number and click on the others, one at a time, to highlight them.

- ♦ When you have all of the desired cases or **[ ***Update All***]** highlighted, click **[Submit]** to apply the new information.

- ♦ The system will update the records and inform you that they were updated. You can then click on another selection in the **CM/ECF Main Menu Bar**.

## USER TRANSACTION LOG

All docketing activity is recorded through each user's **User Transaction Log**. This feature is found under Utilities on the CM/ECF Main Menu Bar. Information on this log can be selected by date range. A typical excerpt from a transaction log is displayed below. **(See Figure 7.)**



Transaction Log

Report Period: 03/01/2002 - 04/11/2002

| Id | Date | Case Number | Text |
|---|---|---|---|
| 294 | 03/21/2002 11:03:14 | 02-10001 | Agreed Motion to Abandon boat. Filed by John Doe, Sears. Objections to Pleading due by 4/5/2002. (Attorney, Joe) |
| 319 | 03/21/2002 15:56:10 | 02-31042 | Opened New BK Case 02-31042 |
| 320 | 03/21/2002 16:01:34 | 02-31043 | Opened New BK Case 02-31043 |
| 322 | 03/21/2002 16:04:56 | 02-31043 | Motion to extend time file remaining schedules. Filed by John Doe, Mary Doe. (Attorney, Joe) |
| 327 | 03/21/2002 16:17:31 | 02-31043 | Schedules remaining. Filed by John Doe, Mary Doe (Attorney, Joe) |
| 328 | 03/21/2002 16:19:04 | 3-02-bk-31043 | Creditor matrix load: 5 creditors loaded. |
| 439 | 03/27/2002 14:19:50 | 02-40002 | Opened New BK Case 02-40002 |
| 450 | 03/28/2002 10:25:42 | 02-30047 | Opened New BK Case 02-30047 |
| 477 | 04/10/2002 15:04:35 | 02-10001 | Notice of Appearance and Request for Notice by Joe Attorney. Filed by on behalf of American Express (Attorney, Joe) |

Total Number of Transactions: 9

**Figure 7**

This record may be useful in researching case filings. Dates, case numbers, times and document type are tracked.

Your transaction activity is not accessible to other users besides yourself except for court systems staff.

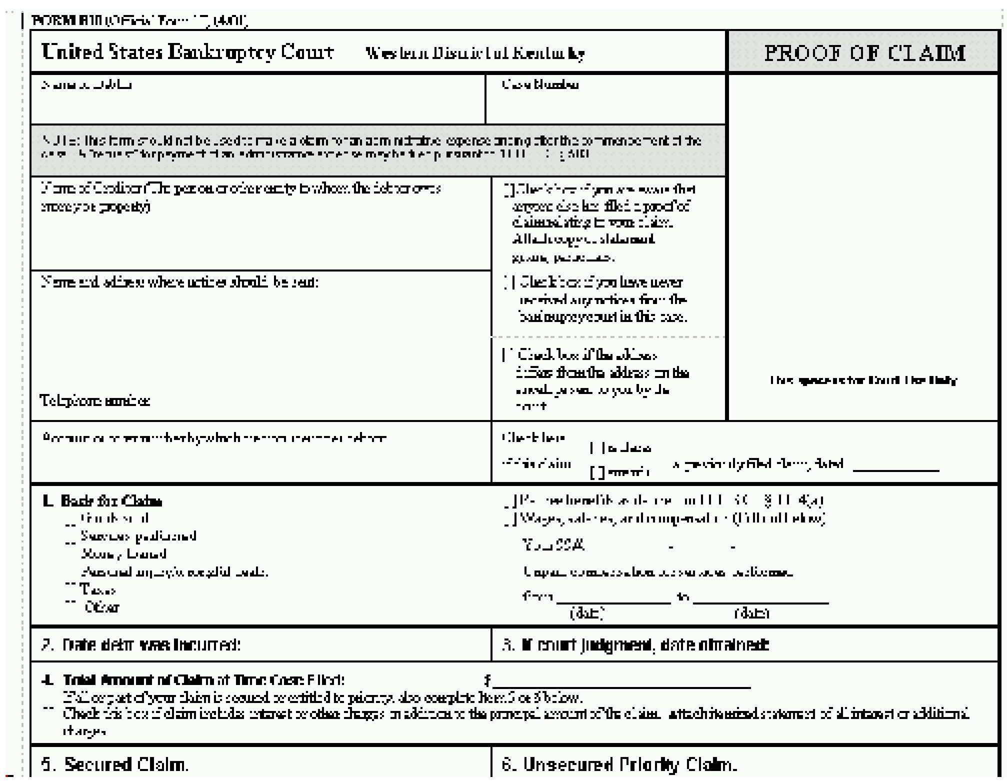
# SECTION 4:

# CONVERTING DOCUMENTS TO PDF

# How to Convert a Document to PDF
## (Portable Document Format)

The following instructions will guide you on how to convert a document to PDF. The illustration is done using WordPerfect.

- Create a document. **(See Figure 1)**



United States Bankruptcy Court Western District of Kentucky

PROOF OF CLAIM

Case Number

Telephone number:

This space is for Court Use Only

1. Basis for Claim

2. Date debt was incurred:

3. If court judgment, date obtained:

4. Total Amount of Claim at Time Case Filed:

5. Secured Claim.

6. Unsecured Priority Claim.

**Figure 1**

- Click the Printer icon on your toolbar **(See Figure 2a)**


**Figure 2**

- Click  the down arrow on the “Current printer:” field. **(See Figure 2b)**

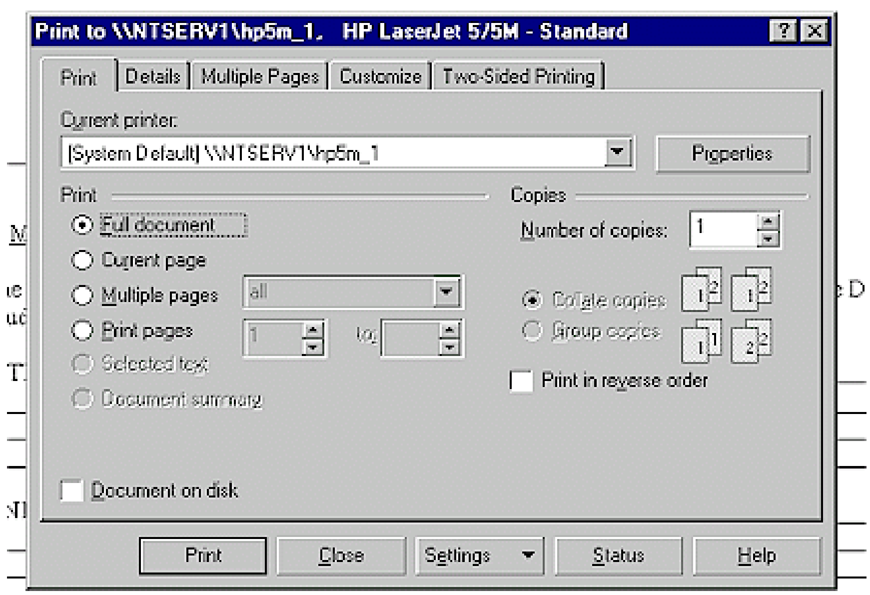



**Figure 2b**

◆ Select “Acrobat PDFWriter from the drop down menu. **(See Figure 2C)**

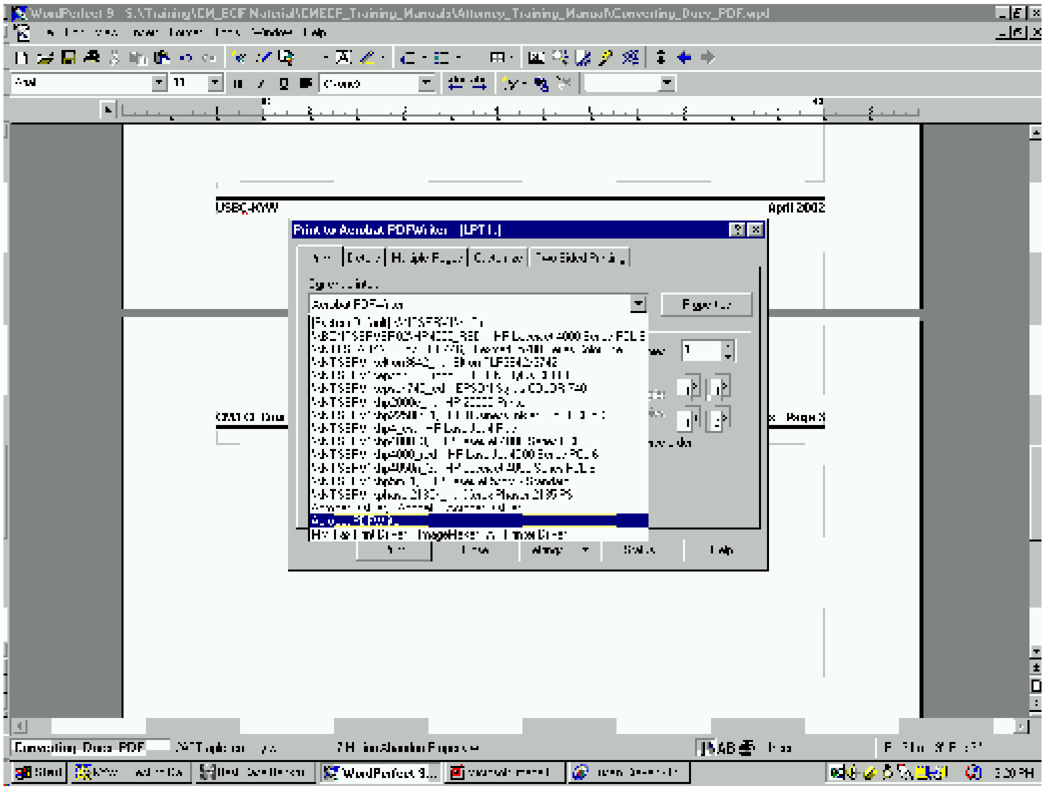


**Figure 2C**

◆ Click the “Print” button. **(See Figure 2d)**

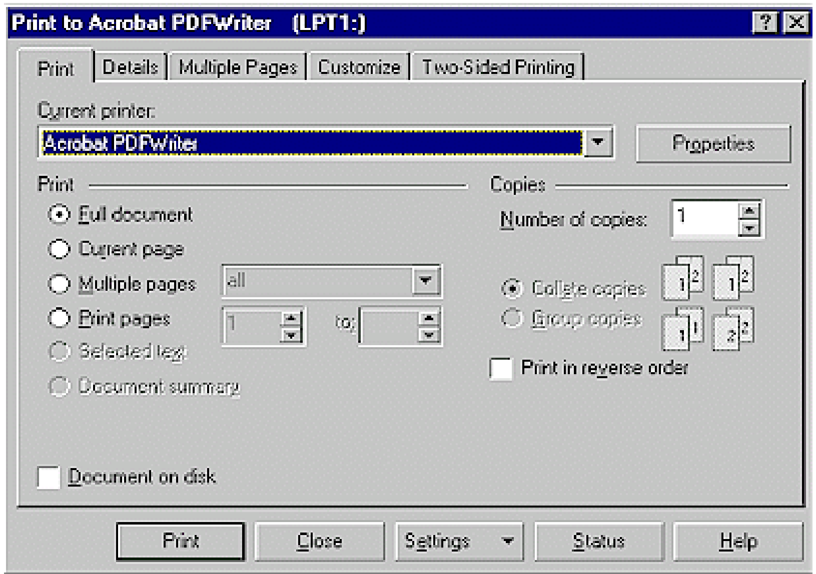



**Figure 2d**

- Select the directory where the appropriate PDF file will be saved. **(See Figure 2e)**

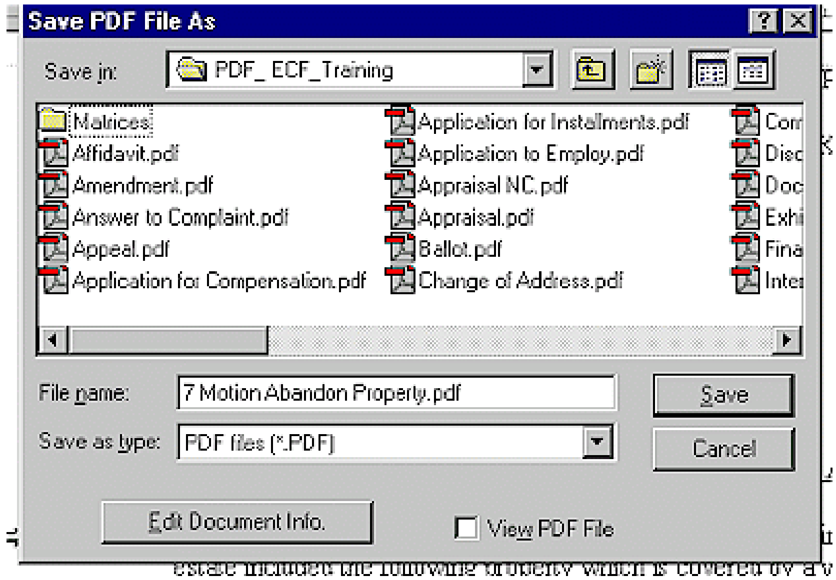



**Figure 2e**

- Click the save button. The document is now saved as a PDF document.

# SECTION 5:

# PROOF OF CLAIMS

# Proofs of Claim

When a proof of claim is filed in CM/ECF, the claim will be attached to the creditor record of the claimant. One must first locate the creditor by searching the creditor database and then enter the corresponding claim.

Most often the creditor filing the claim already resides in the creditor data base. If you are unable to find a creditor after using different search criteria, a hyperlink allows you the user to add a creditor to the case (refer to the Creditor Maintenance module for instructions on how to add a creditor).

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

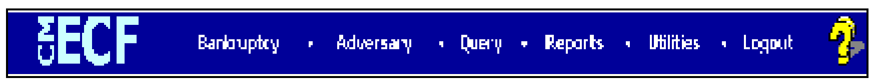



**Figure 1**

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


**Figure 2**

- Click on the File Claims hyperlink.

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

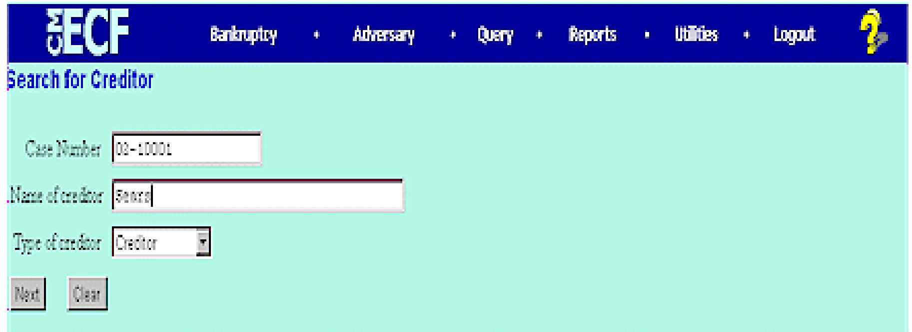



**Figure 3**

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

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

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

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

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

- Click **[Next]** to search the creditor database for this claimant.

**STEP 4** The **CREDITOR SELECTION** screen will then display the creditor(s) who match the search criteria. **(See Figure 4a.)**


**Figure 4a**

**NOTE:** If no search criteria was entered in the search Name of Creditor field, all creditors belonging to the case will be found. Click on the drop-down arrow to display all of the creditors **(See Figure 4b.)**

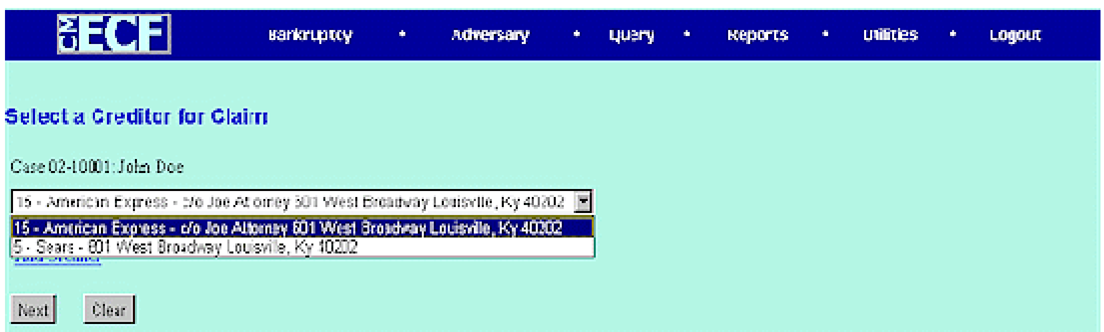



**Figure 4b**

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

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

◆ Click **[Next]** to continue adding a Proof of Claim.

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

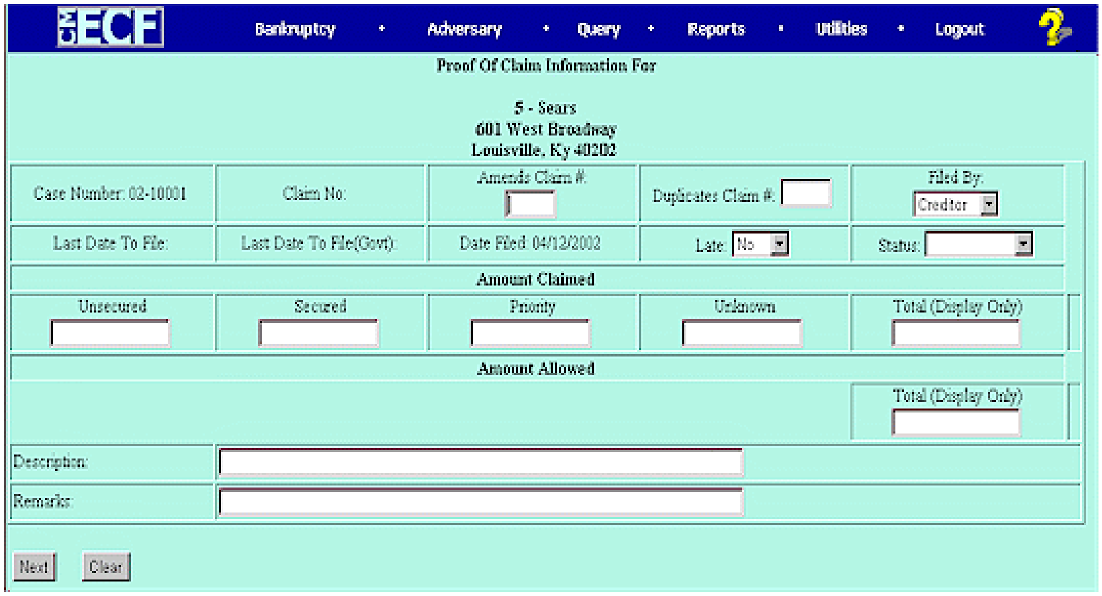



**Figure 5**

- Enter the data in the appropriate fields for the claim. **Do not** enter the "$" or commas in the dollar amount fields. Values default to whole dollars. Decimals are accepted but not required.
- There is an **Amount Claimed** and **Amount Allowed** section to record. Do not enter **Amount Allowed** at this time. Both of these amounts will appear on the Claims Register.
- The **Filed By** field offers the options of attorney, creditor, debtor, or trustee.
- The optional **Status** field displays the Claim status of Allow, Amend, Expunge, Reclassify, Reduce, Withdraw. These values are controlled by the court. Certain events in your court dictionary (such as Withdrawal of Claim) can automatically update this field.
- The **Description** and **Remarks** fields will appear on the Claims Register. Both fields are 60 characters long.
- The **Total Amount Claimed** and the **Total Amount Allowed** fields total the values of Unsecured, Secured, Priority and Unknown. An aggregate total of all claims is included at the end of the Claims Register.
- When you have completed this screen, click **[Next]** to associate the PDF file of the claim with this filing.

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

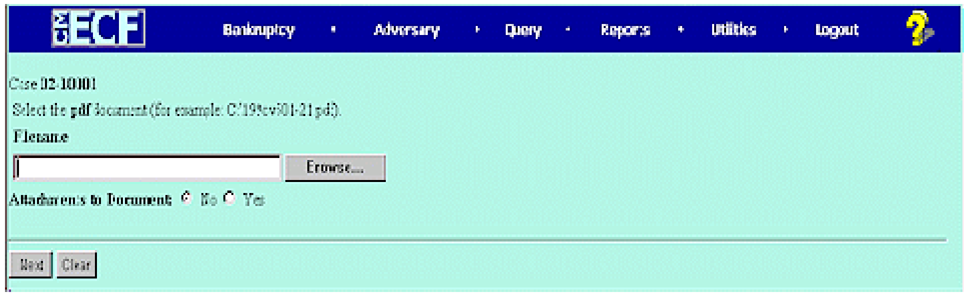



**Figure 6a**

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

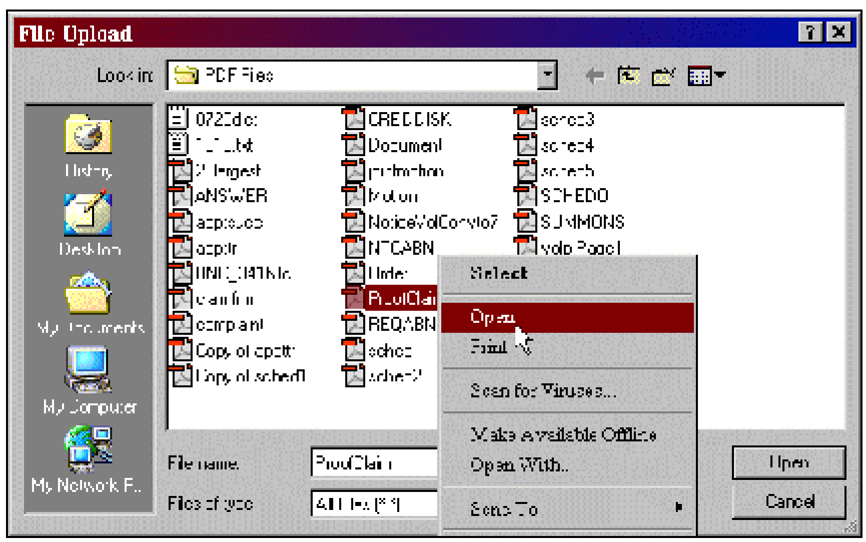



**Figure 6b**

- This will launch the Adobe Acrobat Reader to display the image of the claim. Verify that it is correct.
- Close or minimize the Adobe application after verifying the file, then click on the **Open** button on the File Upload dialogue box. **(See Figure 6c.)**

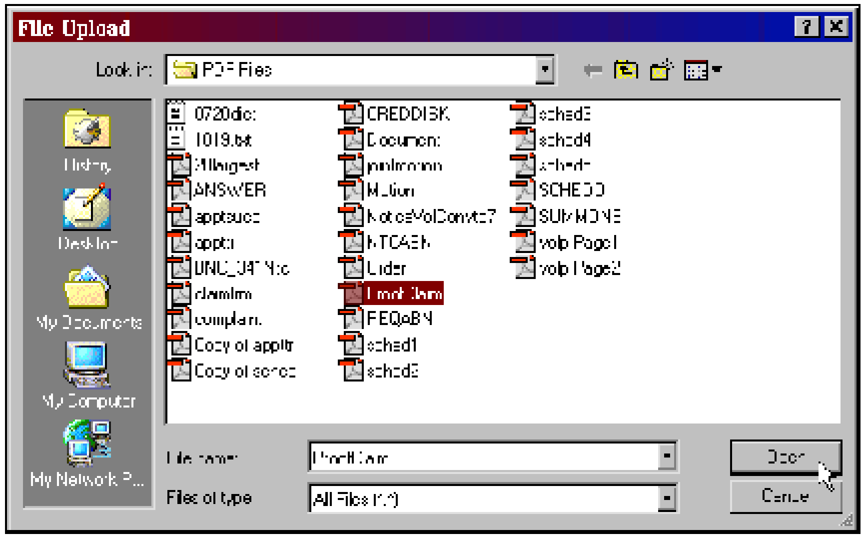



**Figure 6c**

- The **PDF Document** screen will reappear displaying the complete path of the associated PDF document that was selected. **(See Figure 6d.)**

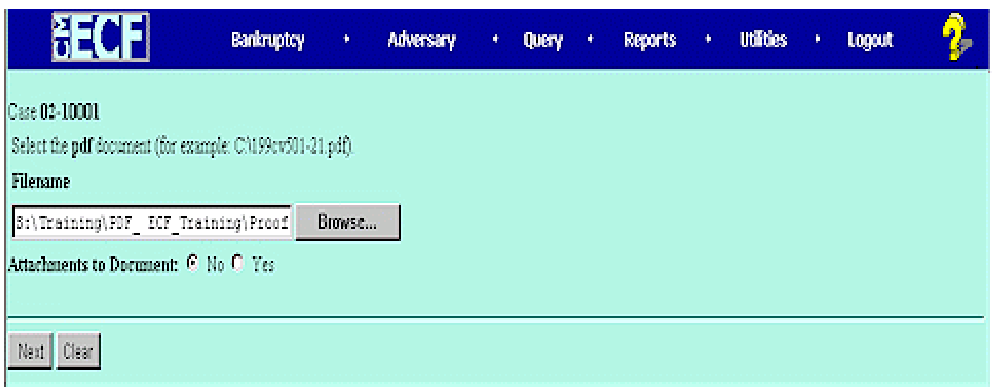



**Figure 6d**

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

**NOTE:** Please note that the PDF file of this claim is not an **attachment.** An **attachmen**t is other supporting document or collateral information.

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

- Click **[Next]**.

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


**Figure 7**

- Clicking on the case number hyperlink on the **Notice of Electronic Claims Filing** will present the case docket report.

- Clicking on the document number hyperlink displays the PDF image of the claim itself. If the claim includes imaged attachments, they will be accessible also through a separate hyperlink.

- To print a copy of this notice, click the browser **[Print]** icon.

- To save a copy of this notice, click **[File]** on the browser menu bar and select **Save Frame As**.

- To continue claims processing, click again on **Bankruptcy**, <u>File Claims</u>. Your prior case number will be preserved for further claim entries to the same case. For a new case, simply type in the new number and repeat the process outlined above.

# SECTION 6:

# CREDITOR MAINTENANCE

# Creditor Maintenance

In CM/ECF the creditor matrix is uploaded into the system as a text (.txt) file. Creditors submitted from the matrix are stored in a separate database from other parties to the case and these records are used for noticing and proofs of claims. Another CM/ECF module illustrates uploading the matrix.

Special processing is required for maintaining these records.

Creditor records can be individually added, amended, or deleted. The following steps illustrate how these records are managed within the creditor database.

**STEP 1** To access the creditor database click **Bankruptcy** on the CM/ECF Main Menu. **(See Figure 1.)**


**Figure 1**

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


**Figure 2**

◆ Click the Creditor Maintenance hyperlink.

**STEP 3** The **CREDITOR MAINTENANCE** menu will then display. **(See Figure 3.)**

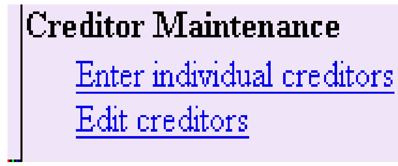



**Figure 3**

- Select the Enter Individual Creditors hyperlink to show how a new creditor can be added to the creditor database.

**STEP 4** The **CASE NUMBER** screen is the next screen in this process. **(See Figure 4.)**

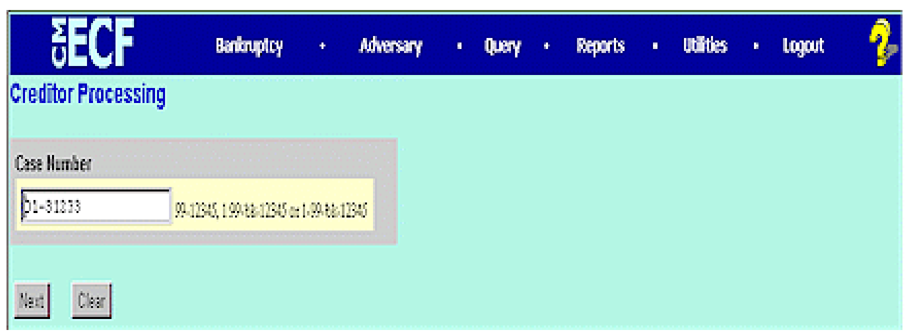



**Figure 4**

a. Enter the **Case Number** in the format yy-nnnn, including the hyphen.

b. Click **[Next]** to continue.

**STEP 5** The **CREDITOR INFORMATION** screen displays. **(See Figure 5.)**

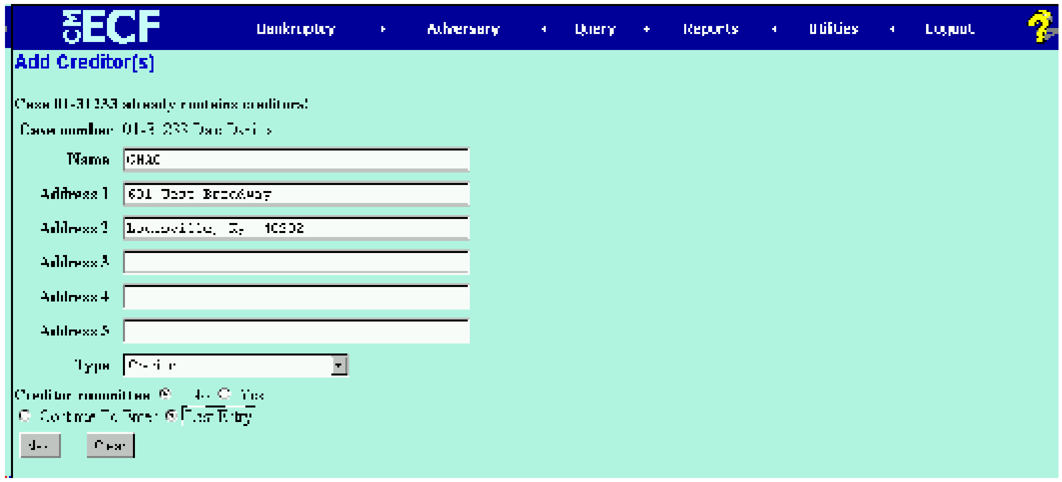



**Figure 5**

- Enter the creditor name and address information as if you were addressing an envelope, using separate lines as appropriate for street, building, suite number, etc.
  - Use **[Tab]** or the mouse to advance to the next field.
- **Creditor Type** defaults to "Creditor".
- If the creditor being added is a member of the creditor committee, click the **[Yes]** button after the **Creditor Committee** button.
- If you have multiple creditors to add, accept the default of **[Continue to Enter]** button and then click **[Next]** to continue.
  - When you have entered the final creditor, click the **[Last Entry]** button, then click **[Next]** to continue.
  - If you have only one creditor to add, click the **[Last Entry]** button then click **[Next]** to continue.

**STEP 6** The **TOTAL CREDITORS** screen will appear. **(See Figure 6.)**


**Figure 6**

- Verify the number of creditors you have entered.
- If the number is not correct, click the browser **[Back]** button to investigate your entries. Otherwise, click **[Submit]** to continue.

**STEP 7** The **CREDITORS RECEIPT** screen will then display.
**(See Figure 7.)**

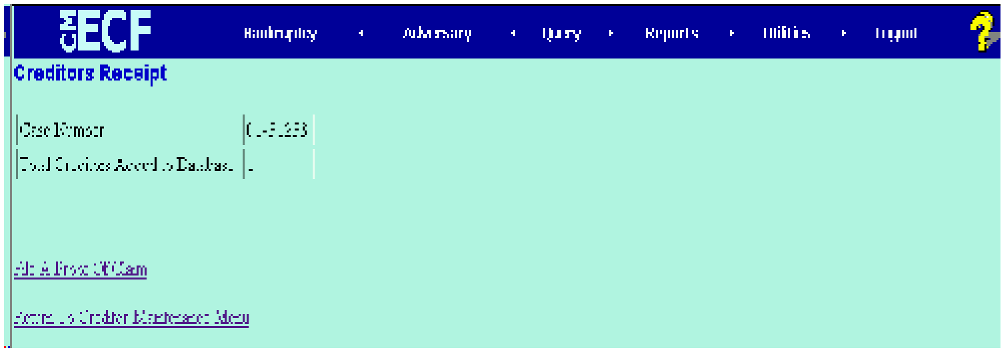



**Figure 7**

This screen confirms the number of creditor records that have been added to the creditor database. The example in STEP 7 shows just one creditor added in this manner.

When claims are filed in CM/ECF, they are attached to the specific creditor record of the claimant.

The Proof of Claim module is accessible on this screen so a claim can be added to this new creditor in one continuous operation. There are instructions for filing claims in another lesson.

◆ Click Return to Creditor Maintenance Menu to continue creditor processing.

# SECTION 7:

# MISCELLANEOUS PLEADINGS:

# Miscellaneous Pleadings:

**<u>Notice Requests; Reaffirmation Agreements; Redemption Agreements; Transfer of Claim; Withdrawal of Claims</u>**. To file the following pleadings complete the steps listed below.

1. Click Bankruptcy.
2. Click Creditor Filings.
3. Enter the Case Number.
4. Click **[Next]**.
5. Select one of the following from the pull down list: Notice Request, Reaffirmation Agreement, Redemption Agrements, or Withdrawal of Claims.
6. Click **[Next]**.
7. When prompted to "Select any additional attorney(s)", click **[Next]**.
8. Click **[OK]** on message box "Note" you have not selected an attorney".
9. If you, the creditor, **are** listed, click the creditors name to highlight it, then Click **[Next].** Proceed to step 18**.**
10. If you, the creditor, **are not** listed, click on"Add/Create New Party" .
11. Enter the creditor's name in the Last name field and click on the **[Search]** button to continue.
12. The PARTY SEARCH RESULTS screen is displayed.

**NOTE:** Your name search may find more than one record having the same name. Clicking on each of the names will display a window showing the party's address information for verification.

If none of the addresses are correct for this party, you can modify the address (for this case only) on the following PARTY INFORMATION screen.

13. If the creditor was found, click on the **[Select name from list]** button to continue.

14. The PARTY INFORMATION screen will appear.

15. Insert or modify address of creditor being added.

16. Change the **Role** to **Creditor**, and then click on the **[Submit]** button to continue.

17. Click **[Submit]**.

18. The **PDF DOCUMENT** screen is displayed.

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

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

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

22. Close or minimize the Adobe application after verifying the correct file and click **Open** on the File Upload dialogue box.

23. Click on the **[Next]** button to continue.

24. A prompt may appear for additional information. Complete if appropriate then click **[Next]**.

25. The Search a party screen **may** appear again. Click the End party selection button.

26. The FINAL TEXT EDITING screen will be displayed. If the information displayed is correct, click **[Next]** to continue**.**

27. The FINAL DOCKET TEXT screen will be displayed. Click **[Next]** to continue.

28. The **NOTICE OF ELECTRONIC FILING** screen is displayed.

29. **Features of the CM/ECF Notice of Electronic Filing**:

    - Hyperlink to docket sheet

    - Date and time stamp information

- Case title
- Docket text
    - Text produced from docket event
    - Annotated text in italics
    - Attachment type, description and attachment number, which is a hyperlink to the PDF file of the attached document.

  **Associated PDF documents:**

    - Document description: Defaults to the Main Document being filed.
    - Original filename: The full directory path and filename from firm or court's PC or network.
    - Electronic document stamp: Unique identifying name of the document being filed for security purposes. Key file of the court used for encryption.
    - Document description: The first document entered on the attachment screen (if any).

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

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

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

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

**NOTE:** Subscribers to electronic noticing will be given "one free look" at the document that was filed. This message will appear on each notice:

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

# SECTION 8:

# QUERIES

# CM/ECF QUERIES

The CM/ECF Queries functions allow court users, as well as external users to search for and obtain information about a case ranging from names and addresses of parties to docket reports and calendar information. External users must have a PACER account to access case information through Queries, and fees will apply as appropriate.

The Queries category function in CM/ECF are composed of screens and prompts which are designed to be user-friendly. Queries has its own section in CM/ECF and all of the available queries functions can be accessed by first clicking on the Queries link in the CM/ECF application bar. Then, enter the case number or name search clues to pull up the case for which is being queried (NOTE: If there are multiple case matches, you will need to select the correct case before the queries screen will display).

The PACER login screen will then be displayed **(See Figure 1.)**

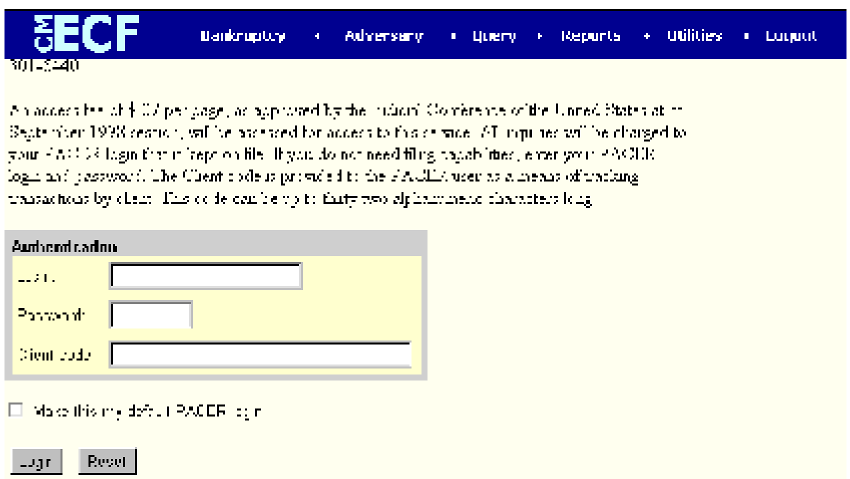



**Figure 1**

1. This screen will appear each time you request a report or query within PACER.

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

The Queries screen will then be displayed. **(See Figure 2)** The various options available through the Queries category are discussed below.


**Figure 45**

**Aliases:** This function will allow the user to view all aliases listed for the parties in the case.

**Associated Cases:** When using this query option, all cases and proceedings related to the selected case will be displayed. By clicking on the case number of any listed case, the user will be able to view the docket sheet for the related case (e.g., adversary proceeding, consolidated case).

**Attorneys:** This function displays attorney name and address information for each party in the case, and also displays the date the attorney appeared in the case and the party's full name and address.

**Case Summary:** The Case Summary option provides a one-screen snapshot of some of the basic information from the case record, including Trustee information, statistical information, case status, and the disposition of the case.

**Creditors:** The Creditors option will display a single-column list of all creditors associated with the case.

**Deadlines/Hearings:** This function will allow the user to run a listing of all deadlines that have been set in the selected case. The table will list the following information: the name of the deadline, what document number is associated with the deadline, the date the deadline was entered into the computer, the date for which the deadline is/was set, and the date satisfied or terminated, if applicable.

**<u>Docket Report</u>:** When using this function, the user will be taken to the Docket Report selection screen, and after selecting the appropriate criteria, the docket sheet will display. This is only one way in which to access the docket report; the report can also be produced by clicking on the case number hyperlink on any screen on which it is displayed.

**<u>Filers</u>:** The Filers function will list all parties in a case who have filed documents. By clicking on a name listed on the screen, the user can see a listing of all documents filed by that party.

**<u>History/Documents</u>:** This option will produce the docket history for the case. Unlike the docket report, this can be modified to run for a selection of dates, although an option for only events with documents attached is available.

**<u>Notice of Bankruptcy Case Filing</u>:** The Notice of Bankruptcy Case Filing is the proof of the filing of the case. It includes the date and the time the case was filed, a list of recipients who received notice electronically, and the Court seal.

**<u>Parties</u>:** Selecting this option will list a parties associated with the case.

**<u>Related Transactions</u>:** The Related Transactions report will sort all events in this case according to their linkage. For example, a motion and objection will be grouped together even if they were filed a month apart because they are related to each other.

**<u>Status</u>:** When selecting this function, the user will be able to view the current status of the case.

**<u>Trustee</u>:** By clicking on the Trustee option, the name and address of the current Trustee will be displayed, along with the date on which he or she was assigned.

# SECTION 9:

# CALENDAR EVENTS

# Calendar Events Report

The CM/ECF **Calendar Events** report option offers extensive criteria selections.

- Full docket text display of originating event
- Selection of activity by specific dictionary **events**
- Schedule selection by judge
- Option to display settings for morning, afternoon or both

The feature of reporting by <u>event type</u> gives the report its name. With these options courts can easily customize information for routine or unique reporting needs.

**STEP 1** The **Calendar Events** report is accessible from the **REPORTS MENU**. **(See Figure 1)**

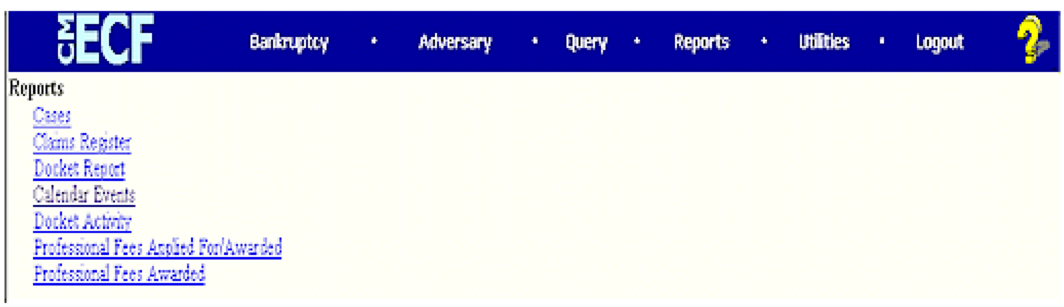



**Figure 1**

**STEP 2** The **CALENDAR EVENTS SELECTION** screen appears below. **(See Figure 2.)**

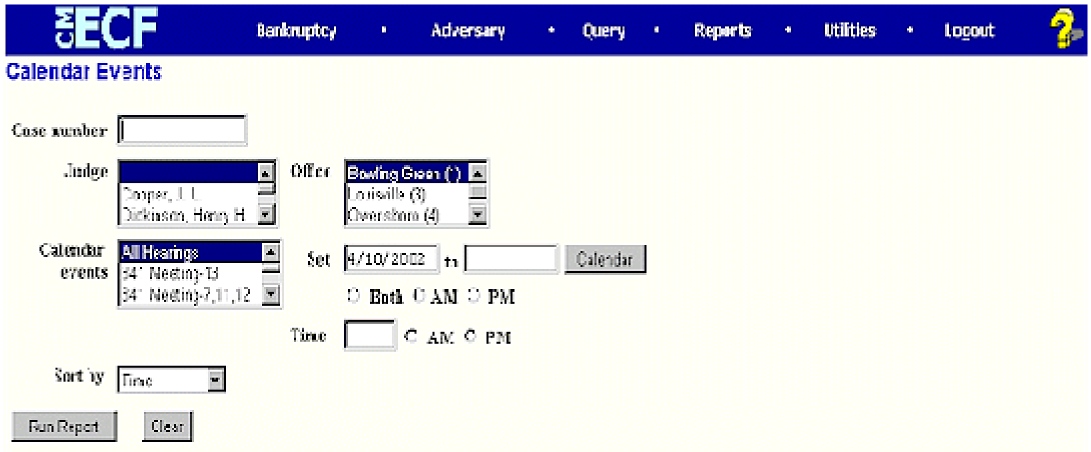



**Figure 2**

- Criteria selections can be made by case number, judge, divisional office, chapter, date, time, and by specific schedule event types in the court's dictionary . The combination of these various elements make this report a very robust reporting tool.

- More than one selection can be made within each of the judge, office, chapter and calendar events pick lists by depressing and holding the **[Ctrl]** key while clicking on each selection with your mouse.

- Reports can be sorted by Time or by Office and Time from a **Sort By** selection box.

♦ One application of this report is a daily §341 Meeting of Creditors Calendar. An example is shown below. **(See Figure 3.)**


**Figure 3**

**STEP 3** Clicking on the silver bullet to the left of the docket text displays the **RELATED PROCEEDINGS** report. **(See Figure 4.)**

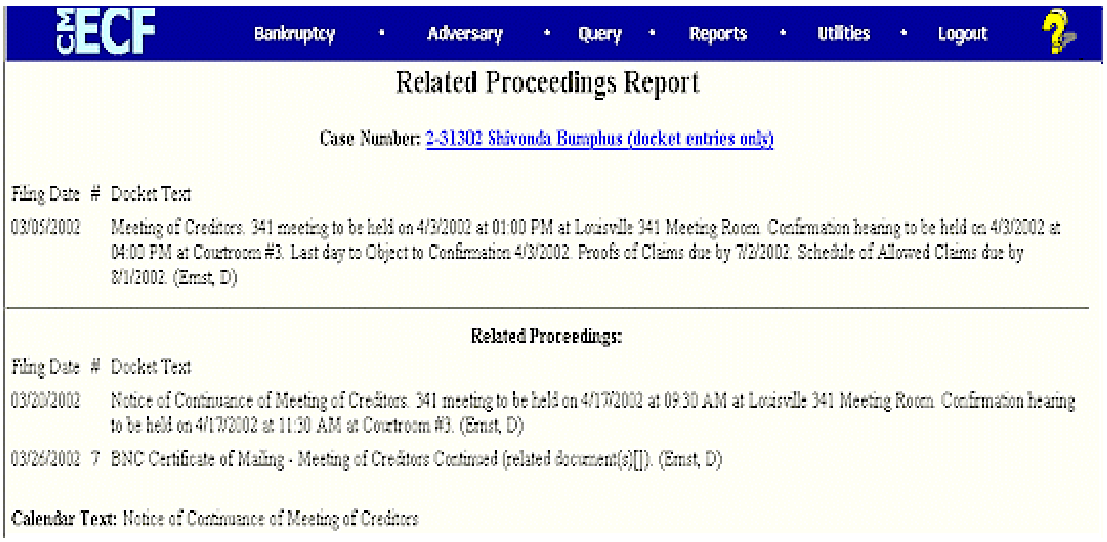
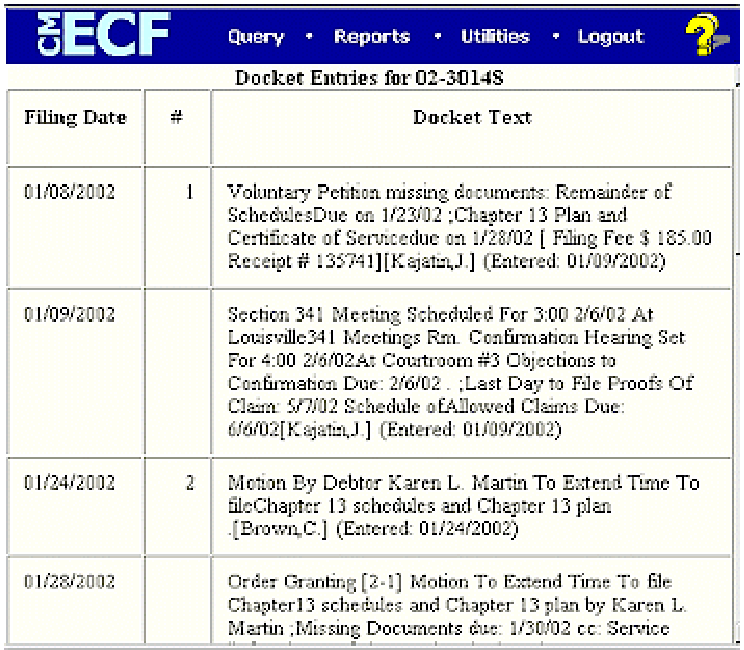



**Figure 4**

♦ Any events that have been linked to this entry will be listed on this **Related Proceedings** report. This is helpful if court staff were looking for objections, amended documents or supporting briefs associated with a hearing or meeting. In the case of the §341 Meeting, any continuances and motions related to that issue would appear.

**STEP 4** Another hyperlink to the docket entries of this case is available from the title on the Interim Events report. This list of docket entries also gives access to every PDF document associated with each entry. Neither the case name nor caption appears in this feature. **(See Figure 5.)**




Docket Entries for 02-30148

| Filing Date | # | Docket Text |
|---|---|---|
| 01/08/2002 | 1 | Voluntary Petition missing documents: Remainder of SchedulesDue on 1/23/02 ;Chapter 13 Plan and Certificate of Servicedue on 1/28/02 [ Filing Fee $ 185.00 Receipt # 135741][Kajatin,J.] (Entered: 01/09/2002) |
| 01/09/2002 | | Section 341 Meeting Scheduled For 3:00 2/6/02 At Louisville341 Meetings Rm. Confirmation Hearing Set For 4:00 2/6/02At Courtroom #3 Objections to Confirmation Due: 2/6/02 . ;Last Day to File Proofs Of Claim: 5/7/02 Schedule ofAllowed Claims Due: 6/6/02[Kajatin,J.] (Entered: 01/09/2002) |
| 01/24/2002 | 2 | Motion By Debtor Karen L. Martin To Extend Time To fileChapter 13 schedules and Chapter 13 plan .[Brown,C.] (Entered: 01/24/2002) |
| 01/28/2002 | | Order Granting [2-1] Motion To Extend Time To file Chapter13 schedules and Chapter 13 plan by Karen L. Martin ;Missing Documents due: 1/30/02 cc: Service |

**Figure 5**

# SECTION 10:

# CASES REPORT

# Cases Report

The Cases report presents information from the court's database with a variety of selection criteria for case management and tracking.

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


**Figure 1**

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


**Figure 2**

◆ Click on the Cases hyperlink.

**STEP 3** The **PACER LOGIN** screen displays (**See Figure 3)**.

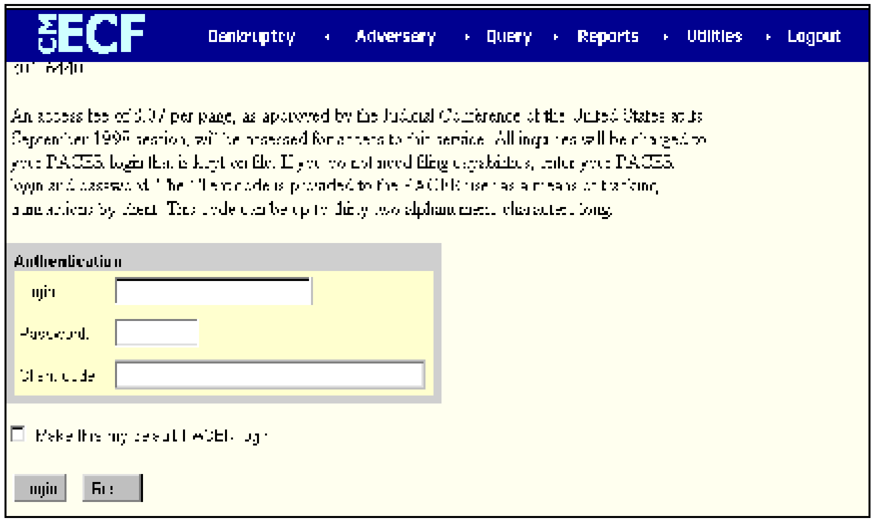



**Figure 3**

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

- Enter your PACER assigned **Login** and **Password** (These fields are case sensitive).

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

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

- Click on the **[Login]** button.

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

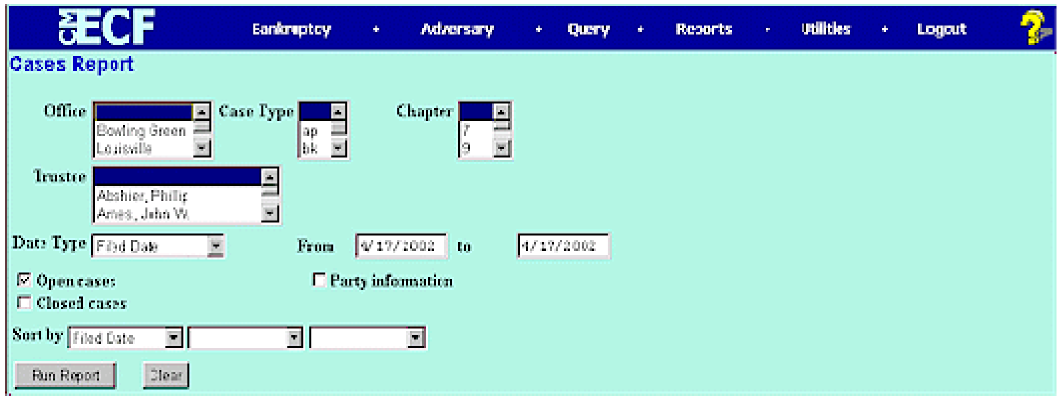



**Figure 4**

◆

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

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

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

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

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

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

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

- **Closed cases** – The option to include or exclude closed cases is available. The default in this box is no Closed cases.

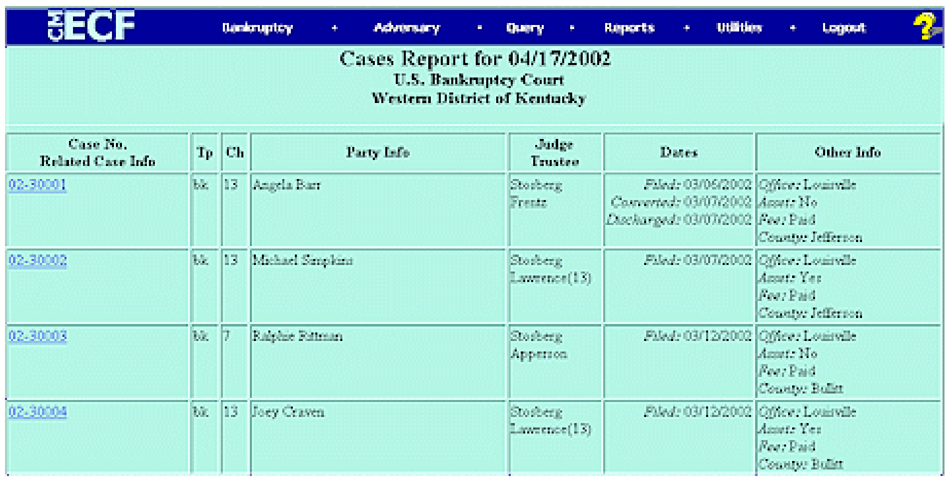
- **Party information** – Placing a check mark in this box will allow you to include additional party information along with each party(s) name (i.e., address, SSN, and TAX ID).

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

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

◆ After entering your criteria, click on the **[Run Report]** button.

**STEP 5** The **CASES REPORT** displays next. **(See Figure 5a.)** All reports can be printed by clicking on the browser's Print button.1




Cases Report for 04/17/2002
U.S. Bankruptcy Court
Western District of Kentucky

| Case No. Related Case Info | Tp | Ch | Party Info | Judge Trustee | Dates | Other Info |
|---|---|---|---|---|---|---|
| 02-30001 | bk | 13 | Angela Barr | Stosberg Frentz | *Filed:* 03/06/2002 *Converted:* 03/07/2002 *Discharged:* 03/07/2002 | *Office:* Louisville *Asset:* No *Fee:* Paid *County:* Jefferson |
| 02-30002 | bk | 13 | Michael Simpkins | Stosberg Lawrence(13) | *Filed:* 03/07/2002 | *Office:* Louisville *Asset:* Yes *Fee:* Paid *County:* Jefferson |
| 02-30003 | bk | 7 | Ralphie Pittman | Stosberg Apperson | *Filed:* 03/12/2002 | *Office:* Louisville *Asset:* No *Fee:* Paid *County:* Bullitt |
| 02-30004 | bk | 13 | Joey Craven | Stosberg Lawrence(13) | *Filed:* 03/12/2002 | *Office:* Louisville *Asset:* Yes *Fee:* Paid *County:* Bullitt |

**Figure 5a**

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

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

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

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

- **Ch** (Chapter) – Displays either **7**, **9**, **11**, **12**, **13**, or **304**.

- **Party Info** – Displays the debtor (and joint debtor) information for bankruptcy cases. Plaintiff information will also be displayed for **ap** cases. An additional row will be displayed for some lead bankruptcy case information.

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

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

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

◆ A Transaction Receipt will be displayed at the end of the report summarizing the criteria used, the number of cases that were included, and number of billable pages.

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