United States District Court

Southern District

Of

New York

# CM/ECF Electronic New Miscellaneous Case Opening Manual

*Step-by-Step Instructions for Attorneys on How to Electronically Open and File a New Miscellaneous Case*

*2017*

# Table of Contents

## I.    General Information

### A.  Who May File

Effective June 2017, attorneys may electronically open and file miscellaneous cases in CM/ECF if the following conditions are met:

(1) The attorney has a valid CM/ECF login and password issued by the Southern District of New York.

(2) One of the following is true:

- All filing fees will be paid online with a credit card through pay.gov; <u>or</u>

- No filing fee is required (i.e., cases filed by the U.S. government or exempted by statute or In Forma Pauperis (I.F.P.).

(3) The attorney is a member of the SDNY bar or is filing a pro hac vice motion at the time of case opening.

(4) No motion for a temporary restraining order or order to show cause accompanies the initiating document.

(5) The case is not being filed under seal.

### B.  Attorney Checklist

Before opening a new miscellaneous case:

o Read and become familiar with all instructions in this CM/ECF Electronic New Miscellaneous Case Opening Manual (the "Manual").

o Prepare the following documents to file and convert to PDF-A format:

- Initiating Document (i.e., Petition, Motion)

- **SDNY** M i s c e l l a n e o u s  C o v e r  Sheet found at: http://nysd.uscourts.gov/forms.php

- If applicable, a 7.1 Corporate Disclosure Statement

- If applicable, a Pro Hac Vice Motion

- If applicable, a Related Case Statement found at: http://nysd.uscourts.gov/file/forms/related-case-statement

During the miscellaneous opening process you will receive your case number and add your case  number to these documents.

o   Have your credit card available for the payment of filing fees.

## C. Overview of Opening a New Case

The electronic case-opening process consists of two steps. You must complete BOTH STEPS:

(1)   Open the case by providing sufficient information about the case for CM/ECF to create a docket;  AND

(2)   File your case-initiating document. If you complete step (1) but do not complete step (2), your case will be administratively closed. Detailed instructions for each of these steps  are included in this Manual.

To successfully open a case electronically:

o   Complete the entire process as instructed in this Manual.

o   Enter all necessary information on CM/ECF screens.

o   Docket the lead event and upload all PDF-A documents.

o   Enter all necessary information on the pay.gov screens.

o   DO NOT click the back button once you begin the process.

o   DO NOT electronically open cases that should be filed under seal, or upload documents that should be filed under seal.

o   DO NOT attempt to open the same case twice.

In using CM/ECF to open your case electronically, please understand that CM/ECF was originally optimized for internal court use; allowing attorneys to open cases electronically requires that attorneys be given access to parts of the program not initially set up for use by the public. This means that some drop-down menus may contain choices that will never be applicable to you in opening a case, and that some fields are for internal use only, and should be left blank by you during the case opening process.

## D. After Opening a New Miscellaneous Case

Certain supporting documents, such as your Miscellaneous Cover Sheet, must be filed immediately after  filing your case-initiating document. (See Section III, below, for additional information.)

You will receive a case number during the case opening process, but a judge will not be assigned to your case until court staff perform a quality control review of your case-initiating documents. This process should be completed within 1-2 business days of case-opening. You will receive a

Notice of Electronic   Filing through CM/ECF when a Notice of Judge Assignment is filed in your case.

## II.    Instructions for Opening a New Miscellaneous Case

Note:   You  must use the version currently available from the Court's website at

http://nysd.uscourts.gov/forms.php Information from the Miscellaneous Cover Sheet  is required during the electronic case opening process, and other versions of the Miscellaneous Cover  Sheet will not provide you with all the information you need to open your case electronically.

### A.  Getting Started

Log in to CM/ECF

Click **[Civil]** on the blue menu bar at the top of the CM/ECF screen.

Select **[Open a Miscellaneous Case - Attorney]**

The Miscellaneous Cover Sheet must also be electronically filed using the Miscellaneous Cover Sheet Event after opening your miscellaneous case.

On the "Welcome" screen, click "Next".

The page you see will provide a synopsis of the case opening process. Please read and click "Next".

## B. Selecting the Divisional Office and Case Type

On the next screen, you will be prompted to select from drop-down menus for "office" and "case type". Please review the Court's Local Rules. See the Rules for the Division of Business Among District Judges, Rule 18 Designation of White Plains Cases.



For "**Case type**" select "mc" to indicate that you are opening a miscellaneous case. There are other options in the "Case type" drop-down menu, but DO NOT use them [– only civil and mc cases may be electronically opened by attorneys.]

The **"Date filed"** is automatically displayed on the screen and cannot be modified.

Leave "**Other court name"** and "**Other court number**" blank (this information will be added by court staff during the quality control review).


The "**Office**" drop-down menu provides choices to present divisions of the Southern  District.

- Foley Square, Office 1
- White Plains, Office 2

[DO NOT select Suspense]

The appropriate division for your case is determined by the Rules for the Division of Business Among District Judges.  (Rules 18 and 21). You may find the Local Rules at http://nysd.uscourts.gov/rules/rules.pdf. You may not choose a division based on your personal preference; you must  select the division based on your answers on Page 2 of the M i s c e l l a n e o u s  Cover Sheet. Select either Manhattan or White Plains. (If you select the incorrect office during filing, it will be corrected during the quality control review and assigned to the correct division.

Once you have made your selections for "**Office**" and "**Case Type**"; click "Next".

## C. Adding Parties

On the screen you will see displayed an alert regarding the next step in the process, during which you will add parties in the case to the docket, and provide basic information about those parties
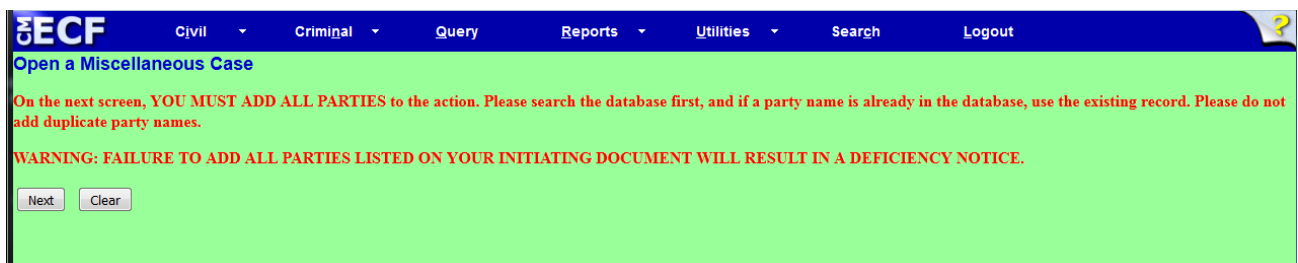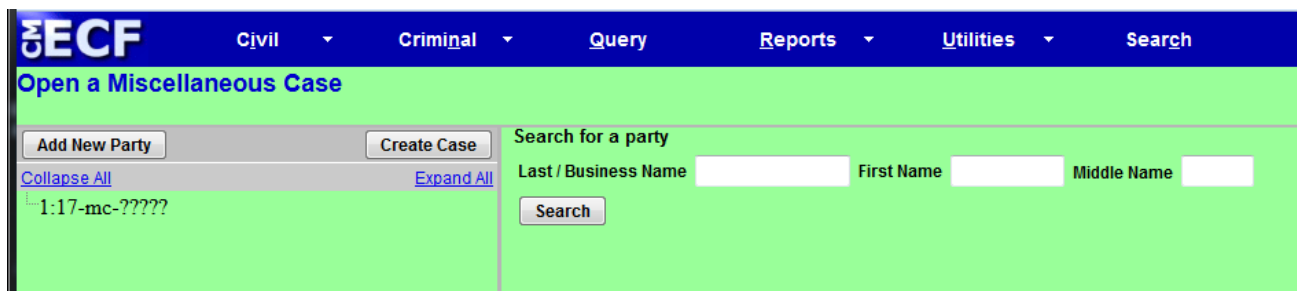


Review the information and hit "Next".

1. **Party Name:** You will be asked to enter the name of each party named in the case - initiating document. This process will create the online docket for your case.

**Add parties in the order in which they appear in the caption** of the case-initiating document. Use upper and lower case letters to input names (i.e., "Jane Doe" or "XYZ Corporation"). DO NOT USE ALL CAPS. For additional instructions regarding the proper entry of party names please refer to the Appendix to this manual entitled "Instructions for Searching and Adding Parties for Attorney Miscellaneous Case Opening" and/or the CM/ECF Party Name Data Conventions Manual http://nysd.uscourts.gov/ecf_training.php

The first step in adding a party is to run a search to see if that party is already in the Court's CM/ECF database. Large corporations, especially, may have been involved in prior litigation in the Southern District of New York, which means that their information will already have been added to the system. Please do not create a duplicate database entry for a person or company with an existing record in the database.

Look for the "Search for a party" option in the right pane of the screen shown below. Type the party's last name – or if a business, the business name - in the "Last/Business

Name" field. Complete the "First Name" and "Middle Name" fields, as applicable, and click "Search".



Search results will then be displayed. If one of the names displayed in the "Search Results" box matches the party in your case, click on the party name to highlight it, and then click "Select Party". If no match is found, click "Create New Party".

2. **Party Information:** Whether or not you found a match for your party in the database, you will next see a screen with numerous fields for the entry of information about the person or entity you have identified as a party in your case. Please note that, unless you know that the party you are entering is appearing *pro se,* most of these fields should be left blank: **change only the "Role" field, and if applicable, the "Party text" and "Corporation" fields.**



Important Note:  Do not enter a party's address or contact information (unless you know  for sure

that the party is appearing *pro se)*, and do not change the "Start date", or modify the "Notice" option. If you do, the data will be corrected during the quality control review.

**Role:** Select the correct party "Role". Note that this field defaults to "ADR".

**The address is not necessary unless the party is appearing pro se.**

**Pro Se: If a party is appearing pro se in your case, please change the drop down from "No" to "Yes" and add the pro se litigant's address information on this screen.**

**Party Text:** Enter any descriptive "Party text" information appearing in the caption of the case-initiating document (i.e. "individually", a "New York corporation" etc.). Add "1 through 10, inclusive" in the "Party text" field for Doe defendants, if applicable**. Note**: Do not enter any alias, corporate parent, or other affiliate information in this field (see the "Editing Party Information" section below for information about adding alias, corporate parent, or other affiliate information).



After completing the required fields on the screen shown above, click the "Add Party" button. A new search screen will be displayed, (see screen below), from which the user can search for and add additional parties. Repeat the above process until ALL parties in your case have been entered.

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### D. Editing Party Information

After searching for, selecting, and adding all parties, the parties' names will appear in the left pane, in the "participant tree" (see the screen below). Parties added to miscellaneous cases will have control icons in the participant tree so the user can add aliases, corporate parents, etc., for the party during the case-opening process.
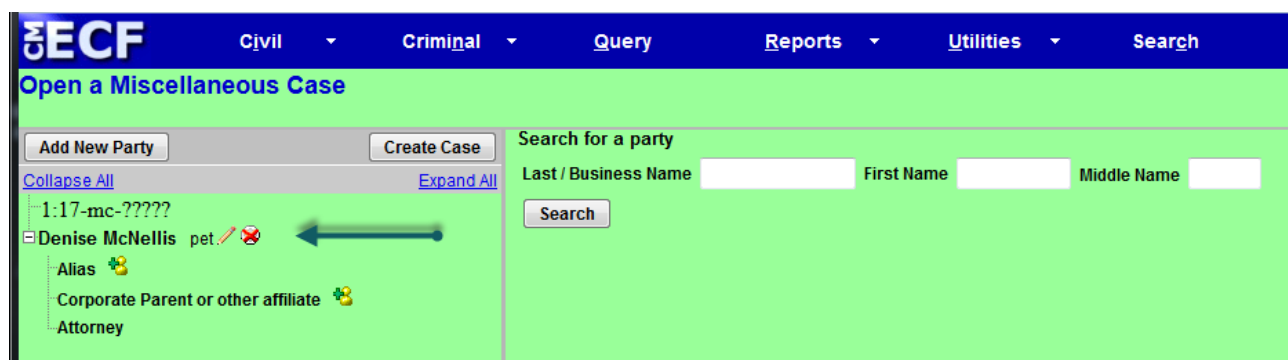


From this screen, the user can:

- Add an **alias** or **corporate parent** by clicking on the corresponding  "add" icon;

- **Edit** the party information by clicking on the pencil  "edit" icon;

- **Delete** the party by clicking the red  "delete" icon; or

- **Add** a new party by clicking on the "Add New Party" button at the top left of the screen.

### E. Creating the Case

__After__ all parties have been entered, the correct roles assigned, and any necessary aliases or corporate parents/affiliates added, click "Create Case" (as shown on the screen below).
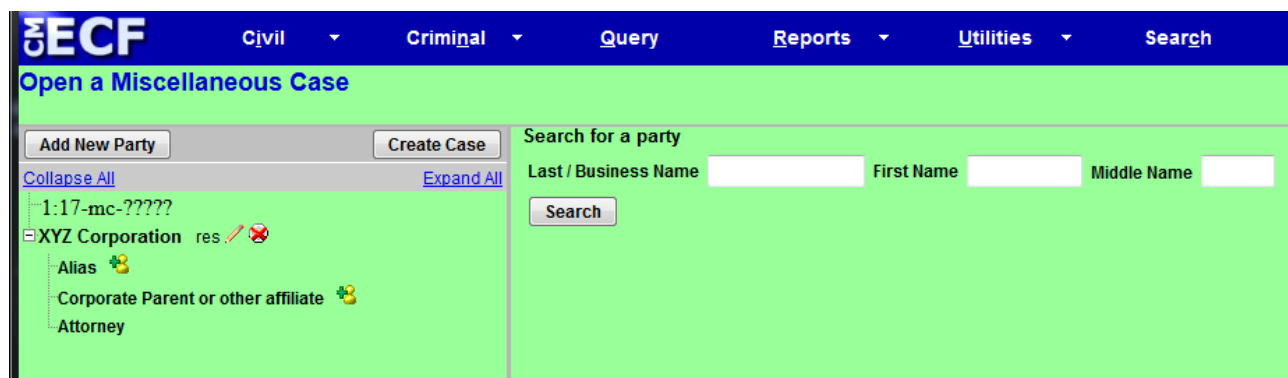


A pop-up window will appear. Click "Yes" to proceed with the case opening only if all parties have been added. Click "No" to return to the party screen.

The new case number you are given on this screen must be entered on all documents filed with the Court in this case. Remember to format the case number correctly. You will need to add the case type ("MC").

On documents filed after a judge has been assigned to your case, the case number must include the judge's initials.

## F. Docketing the Lead Event

You must now file and docket the case-initiating document or "lead event" to complete the opening of the new case. Otherwise, the case you just opened will be administratively closed. See Section III  below for instructions on how to file and docket the case-initiating document.

## III.    INSTRUCTIONS FOR E-FILING THE CASE-INITIATING DOCUMENT

### A.  Docketing the Lead Event

Now that you have opened the new miscellaneous case, you **must file and docket the case-initiating  document or "lead event". You should proceed directly to this step after opening the case**  by clicking DOCKET LEAD EVENT on the screen, this will take you to the "Complaints and Other Initiating Documents" screen.
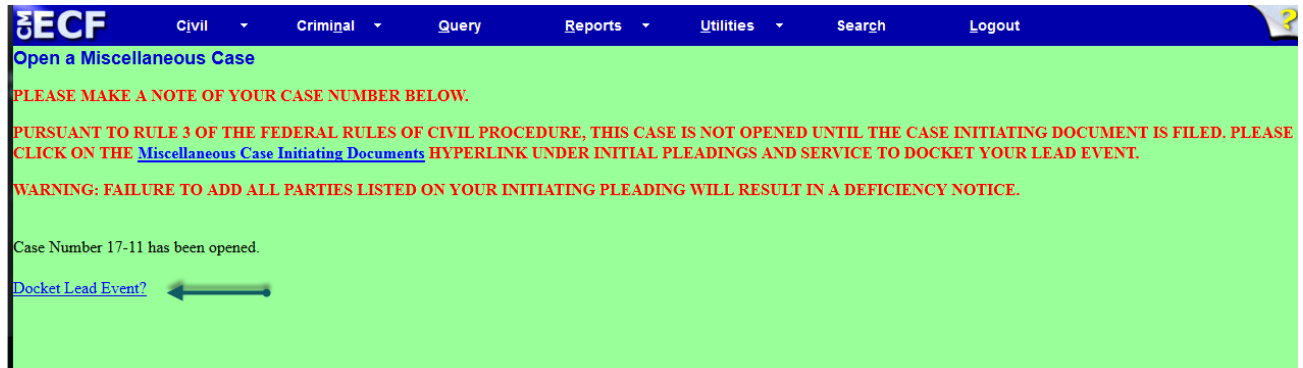


### B.  Selecting the Lead Event

On the next screen you will see a list of available events. Select the appropriate lead event (e.g. Petition, Motion to Quash and Letters Rogatory) and click **[Next].** (For the full list of lead events refer   to the table of available events for each case type in the Available Case Types section). Your available event must match the available events used for miscellaneous cases.

### C. Case Number

The case number assigned will be displayed.



Click **[Next]** on this screen. Do not alter any information or click the [Clear] button**.**

### D. Selecting the Filer(s)

Select the filer by clicking on the party's name. To select multiple filers, hold the [Ctrl] key on your keyboard down and highlight all applicable filers.

After all of the filing parties are highlighted, click **[Next]** to proceed.

### E. Associating the Filing Attorney with the Filing Party

Once you have identified the party filing the case-initiating document, you must identify the attorney who represents that party. However, your options are limited. At case opening, the system allows only the attorney whose CM/ECF login and password are being used to file the case-initiating document to be associated with the case. Once the case-initiating document is filed, additional attorneys who wish to appear on the docket as counsel of record must file a "Notice of Appearance" after the judge assignment has been completed by the Clerk's Office.

The filing attorney, however, must be associated with the case as counsel of record when the case-initiating document is filed. After selecting the filing party on the screen (shown on the screen above), the next screen (shown on the screen on the next page) will display a warning that "the following attorney/party associations do not exist". The box on the left-hand side of the page must be checked for each party the filing attorney represents. If that attorney is lead counsel and wants to be identified as lead counsel on the docket sheet, click the "Lead" box to the right. The "Notice" box on the right should be pre-populated with a checkmark – **DO NOT UNCHECK THIS BOX.** When all necessary boxes are checked, click "Next".

The following attorney/party associations do not exist for the above case(s).

If the box on the left is checked then the attorney will be associated with the named party.

Uncheck the box if the attorney should not be associated with named party.

☑ Denise McNellis (pty:pet) represented by Attorney Trainee 13 (aty) ☐ Lead ☑ Notice

[Next]   [Clear]

### F.  Selecting Party(ies) That the Filing is Against

On the next screen, select the party that the filing is against by clicking on the party's name. To select multiple party names, hold the [Ctrl] key on your keyboard down and highlight all applicable names under the "*Select the Party*".

After all of the parties that the filing is against are highlighted, click "Next".

## G. Uploading PDF Documents

The general process for uploading documents will be the same regardless of the type of lead event you selected. Before proceeding, remember to add your new case number to the caption of all documents you intend to file, and make sure that each document is saved as a PDF-A file. (Either open your document using word processing software, add the case number, and then save the document as a PDF-A file, or use the "edit document text" or similar function of Adobe Acrobat to edit a previously created PDF-A file).

In brief, upload:

      (1)    the Petition/Motion to Quash/Letters Rogatory as your "Main Document;

Exhibits: See our ECF Rules & Instructions

http://nysd.uscourts.gov/ecf/ECF%20Rules%20060815%20+%20031017%20Addendum%20Final.pdf

*Attachment # 2* - Exhibit A.

*Attachment #3* – Exhibit B etc.

**Select the pdf document and any attachments.**

**Main Document**

[ Browse... ] No file selected.

| Attachments | Category | Description |
|---|---|---|
| 1. [ Browse... ] No file selected. | [ ▼ ] | [ ] |

[ Next ] [ Clear ]

**Main Document:** Under "Main Document", click "Browse", you will be able to select the PDF version of your Petition/Motion to Quash/Letters Rogatory from wherever it is stored on your computer.

**Attachment #1:** Use the remaining lines for additional attachments (e.g., exhibits, state court records) by clicking "browse" to upload the document. Then select the appropriate description under the category drop-down menu.

After you have attached all necessary documents, click "Next".

### H. Filing Fee, IFP Motion Screen

On the next screen, you will be asked to indicate whether you are paying the filing fee. Remember, unless no fee is due, **you must pay the fee online by credit card**.

On the following screen the fee will display in accordance with the lead event selected.

If the filing included a Motion to Proceed In Forma Pauperis (IFP), change the radio button to Yes.

If the filing is being filed on behalf of the USA, change the radio button to **Yes.**

Once you have answered the questions, click "Next".

Is this filed to correct a deficient pleading for which the fee was already paid?

or

Is this filed with an Application to Proceed Without Prepayment of Fees?

or

Is this application filed on behalf of the USA?
- ○ Yes
- ○ No

[ Next ]    [ Clear ]

If you answer **NO**, you will be directed to the pay.gov screen, and see the following screens, which will allow you to pay the fee online with a credit card.

**Online Payment**                                                  Return to your originating application

**Step 1: Enter Payment Information**                                                       1 | 2

Pay Via Plastic Card (PC) (ex: American Express, Discover, Mastercard, VISA)

Required fields are indicated with a red asterisk *

Account Holder Name: Attorney Trainee 60   *

Payment Amount: $1.00

Billing Address: 500 Park Avenue   *

Billing Address 2:

City: New York

State / Province: New York - NY

Zip / Postal Code: 10010

Country: United States   *

Card Type: Visa   *   **VISA** MasterCard AMEX DISCOVER

Card Number: 4111111111111111   * (Card number value should not contain spaces or dashes)

Security Code: 123   * Help finding your security code

Expiration Date: 06 ▾ * / 2017 ▾ *

Select the "Continue with Plastic Card Payment" button to continue to the next step in the Plastic Card Payment Process.

[ Continue with Plastic Card Payment ]   [ Cancel ]

**Note:** Please avoid navigating the site using your browser's Back Button - this may lead to incomplete data being transmitted and pages being loaded incorrectly. Please use the links provided whenever possible.

**Online Payment**                          Return to your originating application
**Step 2: Authorize Payment**                                    1 | 2
**Payment Summary**    Edit this information

| Address Information | Account Information | Payment Information |
|---|---|---|
| **Account Holder Name:** Attorney Trainee 60 | **Card Type:** Visa | **Payment Amount:** $1.00 |
| **Billing Address:** 500 Park Avenue | **Card Number:** ************1111 | **Transaction Date and Time:** 02/05/2015 09:25 EST |
| **Billing Address 2:** | | |
| **City:** New York | | |
| **State / Province:** NY | | |
| **Zip / Postal Code:** 10010 | | |
| **Country:** USA | | |

**Email Confirmation Receipt**

To have a confirmation sent to you upon completion of this transaction, provide an email address and confirmation below.

**Email Address:**

**Confirm Email Address:**

**CC:**                                          *Separate multiple email addresses with a comma*

**Authorization and Disclosure**

Required fields are indicated with a red asterisk *

I authorize a charge to my card account for the above amount in accordance with my card issuer agreement.  ☐ *

Press the "Submit Payment" Button only once. Pressing the button more than once could result in multiple transactions.

[Submit Payment]   [Cancel]

**Note:** Please avoid navigating the site using your browser's Back Button - this may lead to incomplete data being transmitted and pages being loaded incorrectly. Please use the links provided whenever possible.

Remember:  DO NOT USE YOUR BROWSER'S BACK BUTTON

After you have hit the 'submit payment' button, you will be redirected back to ECF to complete your filing. If you do not complete the filing, you will have to refile your initiating document, pay the filing fee again and then seek a refund. See 13 Misc  (LAP) regarding the return of fees paid in pay.gov.

## I.   Docket Text Modification Screen

Depending on your initial filing for a mc case, the CM/ECF system may ask you to input names or other information in text boxes or select information from the drop down menus. Carefully read the statements and enter or select the correct information.

This screen will allow a generous amount of text to further describe your entry.

**Docket Text: Modify as Appropriate.**

[ ▼ ] **MISCELLANEOUS CASE INITIATING DOCUMENT - MOTION to Compel** [          ] **. Other Court Name: United States District Court - Northern District of Alabama. (Filing Fee $ 1.00, Receipt Number 1111-476800) (Attorney Trainee 13, )**

[ Next ] [ Clear ]

Enter the appropriate text in the manner it should appear in the final docket text. *(Note: CM/ECF does not have spell check).* Therefore, you should review all docket text for spelling errors.

Click "Next" to proceed.

## J. Final Docket Text Screen

The final docket text will be displayed with all attachment descriptions. Click "Next" to proceed.

**Docket Text: Final Text**

**MISCELLANEOUS CASE INITIATING DOCUMENT - MOTION to Compel *James Q. Adams*. Other Court Name: United States District Court - Northern District of Alabama. (Filing Fee $ 1.00, Receipt Number 1111-476800)(Attorney Trainee 13, )**

**Attention!! Pressing the NEXT button on this screen commits this transaction. You will have no further opportunity to modify this transaction if you continue.**

## K. Notice of Electronic Filing (NEF)

The Notice of Electronic Filing (NEF) is displayed with all the filing information as a receipt of the transaction.

## L. Judge Assignment

Upon the completion of the quality control review, an NEF will be sent to the filing attorney's email with the notification of the Judge Assignment.

## M. 7.1 Corporate Disclosure Statement

If you are filing on behalf of a corporation, you must file your Local Rule 7.1 Statement after you open your miscellaneous case and docket your case initiating document. For more information about filing a Local Rule 7.1 Statement, please review the captivate demonstration at

http://nysd.uscourts.gov/ecf/training/captivate/Rule_7-1_Corporate_Disclosure_Statement

### N. Pro Hac Vice Motions

If you are not admitted to the S.D.N.Y., you must file a motion for Pro Hac Vice after you open

your miscellaneous case and docket your case initiating document. Visit

http://nysd.uscourts.gov/pro_hac.php to

find instructions regarding the filing of a pro hac vice motion.

### O. Related Cases

When you file a related case, you must complete the related case section on the miscellaneous

cover sheet and complete a Related Case Statement. The Related Case Statement Form can be

found at http://nysd.uscourts.gov/file/forms/related-case-statement. After you have opened your

miscellaneous case and docketed your case initiating document, you must docket the related case

statement in ECF.

### P.  Subsequent Filings

All subsequent filings, i.e. affidavits, declarations, memoranda etc., may be electronically filed in

CM/ECF upon receipt of the Judge Assignment notification.

**APPENDIX**

**Instructions for Searching and Adding Parties for Attorney**

**Miscellaneous Case Opening**

A critical part of case opening is the entry of party names.  It is important that parties are entered correctly because it not only impacts your case, but the general records of the court. Please take a moment of your time to review the following guidelines.

**I.      BEFORE YOU START:**

Some important things to know:

1.  Use only initial capitals - **do not use All Caps**.
2.  Party names must be entered in the case in the order they appear in the caption of case initiating document.
3.  Party names added to the case should match the caption of the case initiating document exactly.
4.  **All parties** (no matter how numerous) must be added to the case.
5.  Names of companies, organizations, government agencies, etc. are entered in the Last Name field only.
6.  You may find additional help by viewing our  SDNY Party Name Data Conventions Manual on our website at
    http://nysd.uscourts.gov/docs/ecf_training/00%20SDNY%20Party%20Name%20Dat a%20Conventions%20for%20CM%20ECF%20Manual.pdf

**II.      SEARCHING FOR A PARTY:**

You must first search to see if a party is already in the ECF database.  Please use the following search hints.

**For a person**, enter the last name in the "Last Name" field and the first name in the "First Name"  field and click Search.  You may get possible matches.   If one of the selections matches the  party in the case initiating document exactly, then click on it and then click on "Select Party".  If there are no  search results or none of the results match exactly the party name, then click "Create New Party".  **For a corporation, organization or government agency**, enter the party name in the "Last  Name" field and click "Search".  If there are possible matches and one of the selections matches the  party in the case initiating document exactly, then click on it and then click on "Select Party".  If there are no  search results or none of the results match exactly the party name in the case initiating document, then click  " Create New Party".

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**Remember**:

Scroll through all search results and select one that exactly matches the name in the case initiating document. If the exact same party name appears multiple times in your search results, select the **first** match from the list of duplicates.

**Role and Party Text:**

After you have chosen either "Select Party" or "Create New Party", you will see the "Party Information Screen".

You must select the appropriate role for the party from the drop down menu. **Please note that Role will default to ADR, so please be sure to select the proper role.**

The "Party Text" field is used for descriptive language. One example would be: *in her official and individual capacity.* Only add party text if it appears in the caption of your case initiating document.

## III.   SOME HELPFUL EXAMPLES

### John and Jane Does:

When entering John Does and Jane Does as party, be sure to follow the complaint exactly.

For example:

> Name in Case Initiating Document
> > Caption: John Doe  Last Name:
> > Doe
> > First Name: John
> > Middle Name: (blank)

> Name in Case Initiating Document Caption:  John
> > and Jane Doe  Last Name:  Doe
> > First Name:  John and Jane
> > Middle Name: (blank)

> Name in Case Initiating Document
> > Caption: John Doe #1  Last Name:
> > Doe #1
> > First Name: John
> > Middle Name: (blank)

> Name in Case Initiating Document Caption: John Does
> > Nos. 1 to 10  Last Name: Does
> > First Name: John
> > Middle Name; (blank)
> > Party Text: Nos. 1 to 10

**Real Property:**

When entering real property, enter the address or property description in the Last Name field as it appears on the case initiating document .

For example:

> Name in Case Initiating Document Caption:  125 Main St.,
> Brooklyn, NY 11201  Last Name: 125 Main St., Brooklyn,
> NY 11201

**Vessels:**

Enter the vessel name/description in the Last Name field and any additional information in Party Text.

For example:

> Name in Case Initiating Document Caption: M/V The Sea Ranch VI, having
> Official No. 1234  Last Name: M/V The Sea Ranch VI
> Party Text: *having Official No. 1234*

**Minors:**

For privacy purposes (*see* Fed. R. Civ. P. 5.2) minor's name should not appear in the complaint. Rather, the minor's initials should be used. When adding the minor as a party, add the initials in capital letters in the Last Name field, separated by periods, but not spaces.

For example:

> Name in Case Initiating Document Caption:
> M.G., a minor  Last Name: M.G.
> Party Text: *a minor*
>
> Name in Case Initiating Document Caption: M.G., a minor by her parent and natural
> guardian Shirley  Gaines
> Last Name: M.G.
> Party Text: a minor by her parent and natural guardian Shirley Gaines
>
> Name In Case Initiating Document Caption:  Shirley Gaines, as parent and natural
> guardian of M.G., a  minor
> Last Name: Gaines
> First Name: Shirley
> Party Text:  as parent and natural guardian of M.G., a minor

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## Titles:

Titles should not be entered into either the Last Name field or the First Name field. Rather, they are entered in the Title field on the Party Information Page.

For example:

Name in Case Initiating Document Caption:
P.O. John Smith  Last Name:  Smith
First Name: John
Title:  P.O.

Name in Case Initiating Document Caption:  Governor
Richard Jones  Last Name: Jones
First Name: Richard
Title:  Governor

## Suffixes:

Suffixes should be entered in "Party Text".

For example:

Name in Case Initiating Document Caption:  Michael
Smith, M.D.  Last Name: Smith
First Name:  Michael
Party Text: M.D.

## Unions and Trustees as Parties:

If the plaintiffs are a combination of Union and Trustees, enter the first named plaintiff, which should be the Union, in the Last Name field. (Many unions already exist as parties in ECF so be sure to conduct a thorough search)  Enter the remained of the plaintiffs/trustees in Party Text.

For example:

Name in Case Initiating Document Caption: International Brotherhood of Painters Pension and Benefit  Fund by James Smyth, Mary Jones, and Richard Lyons as Trustees
Last Name: International Brotherhood of Painters Pension and Benefit Fund
Party Text: by James Smyth, Mary Jones, and Richard Lyons as Trustees

If the union is not named, enter the individual parties using the Last Name, First Name and

Middle Name field, adding any descriptive language as Party Text to the last name party.

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For example:

> Names in Case Initiating Document Caption:  James Smyth, Mary Jones, and Richard

Lyons  as  Trustees of Local 123 Welfare, Pension, Annuity and Job Training Trust Funds.

> Last Name: Smyth
> First Name: James
>
> Last Name: Jones
> First Name: Mary
>
> Last Name: Lyons
> First Name: Richard
> Party Text: as Trustees of Local 123 Welfare, Pension, Annuity and Job
> Training Trust Funds

## Cities, Counties, and States:

Enter a city, county or state in the Last Name field as it appears on the Case Initiating Document.  Many cities, counties and state already exist as parties in ECF so be sure to conduct a thorough name search  before creating a new party.

For example:

> Name in Case Initiating Document Caption:
> State of New York  Last Name:  State of
> New York
>
> Name in Case Initiating Document Caption:
> Suffolk County  Last Name:  Suffolk
> County
>
> Name in Case Initiating Document Caption:
> City of New York  Last Name:  City of
> New York

## Aliases:

If a party has an alias, enter the name using initial caps and follow the same guidelines as if entering a regular party name.  Once the party has been added, click on the Alias icon in the participant tree.  You will get a screen that allowing you to search for the alias.  Enter the last/Business name and click on search.  You may get possible matches.   If one of the selections matches the alias, then click on it and then click on "Select Alias".  If there are no search results or  none of the results match exactly the party name, then click "Create New Alias".  After either selecting or creating the alias you will get an "Alias Information Screen".  On this screen you should select the type of alias from the "Type" drop down menu. The menu options are:

> agent   = agent

aka     = also known as
dba     = doing business as
ex rel  = on behalf of
fdba    = formerly doing business as
fka     = formerly known as
nee     = born
obo    = on behalf of
other   = other
rpi     = real party in interest
ta      = trading as

For example:

Name in Case Initiating Document Caption:  Michael Jones, also known as
"Mikey Fingers"  Last Name: Jones
First Name: Michael
Alias Last/Business Name : Mikey Fingers
Alias Type: aka

Name in Case Initiating Document Caption:   Joan Watson, doing business as Watson
Investigations  Last Name: Watson
First Name: Joan
Alias Last/Business Name: Watson Investigations

**Multiple Names:**

If a party has multiple names add the extra names in the Middle Name field.

For example:

Name in Case Initiating Document Caption: John Michael Roosevelt Smith

Last Name: Smith
Middle Name: Michael Roosevelt
First Name:  John

(Dated: 5/18/2017)