

Description of the Process
for
Electronic Filing of Bankruptcy Claims Information
in
CM/ECF by Creditors



Attached are specifications describing processes for electronic filing of claims information in Bankruptcy Courts in a batch mode. You may email questions and comments to Geoff.Mallard@baesystems.com

| | |
|---------|--|
| 4/17/06 | Appendix added: Court ID, & creditor ID. |
| 4/20/06 | Naming convention for zip files. |
| 3/9/07 | BK CM/ECF Release 3.1.5 changes, including Claims Register. |
| 4/17/08 | BK CM/ECF Release 3.2 changes. |
| 8/27/09 | (NO CHANGES) Documentation is current for BK CM/ECF Release 3.3.x |
| 2/16/10 | BK CM/ECF Release 4.0 changes. |
| 8/10/11 | BK CM/ECF Release 4.2 changes. |

Changes for BK CM/ECF Release 4.0 are as follows:

claimFunction **“addClaim”**

- ADDITION The <claimedAmount> tag has been added as an optional tag.
- REMOVED Removed the <claimedUnsecured> and <claimedUnknown> tags.

Modifications to **“XML Examples”** section

Add depiction of <claimedAmount> tag usage to the “File a claim and add a new Creditor” XML file example.

Remove the <UnsecuredClaimed> depiction from the “File a claim and add a new Creditor” XML file example.

Changes for BK CM/ECF Release 4.2 are as follows:

claimFunction **"addClaim"**

- ADDITION Added description for the <claimedAmount> tag.
- If a value has been entered for <claimedSecured> and/or <claimedPriority>, the value in <claimedAmount> should not be null or zero.

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Overview

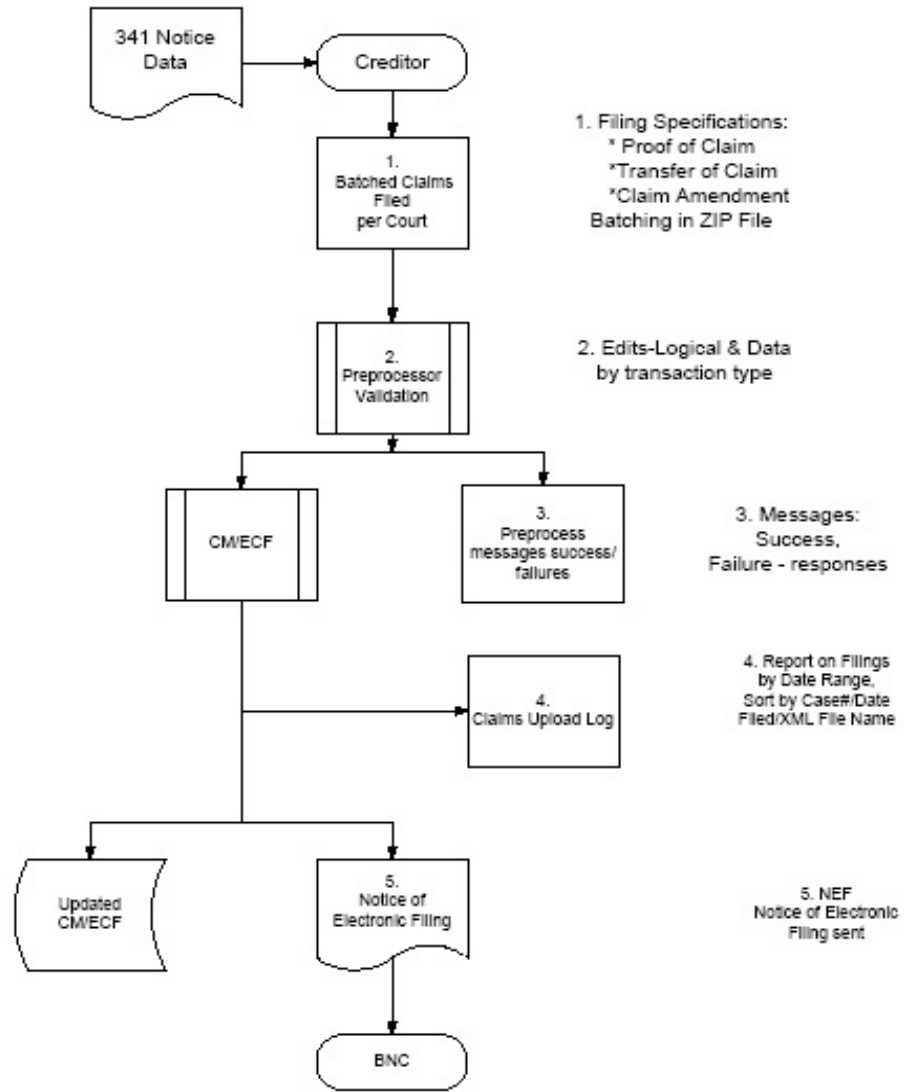
Large claims filers may apply for and be given limited access login and password to a bankruptcy court's CM/ECF system. They will be able to file claims in batches from 1 to 25 claims and receive electronic notice of electronic filing (NEF) for successful transactions and error messages for transactions that fail. The information requirements include XML data to support automatic docketing of claims information and PDF versions of the Forms (B10 Proof of Claim and the new B210 Transfer of Claim) and supporting documentation. One objective is to support an automated, labor saving process for both creditors and courts. Plans are for this capability to be phased in as bankruptcy courts upgrade to CM/ECF Release 3.0 in the February - April 2006 period.

Claims Filing Scenario

1. A claims filer (who is not an attorney already registered with CM/ECF) may obtain a limited access login and password from each court for the purpose of filing, amending or transferring claims information electronically.
2. The filer will log into CM/ECF and select Claims Upload from the menu. The filer will upload the batch by entering the name and location of the compressed file (zip) containing multiple claims transactions (XML) and documents (PDF). Documents will include PDF versions of the completed forms (Proof of Claim, Transfer of Claim) and supporting documentation in PDF. See Exhibit A for file and transaction specifications.
3. A pre-process validation of the XML and PDF files will take place on the court's CM/ECF server, checking for valid PDF and correct XML tags and usage, as well as correct case number, office, district, case type and user identification. A message indicating whether the submitted file(s) passed or failed the validation check will be displayed. Notice of transactions failing pre-processing will be sent to the filer.
3. Automatic docketing (ADI) of the claim information to CM/ECF will take place using the PDF claim form attached to the XML data. A confirmation report listing the case number, claim number, date filed, creditor id, action (success/fail), dollar amount and XML file name will be displayed. Optionally, the filer may elect to run the Claims Upload Report to list transactions for a time period.
4. A Notice of Electronic Filing will be produced for each claim filed as appropriate.

Sample XML claims files are attached. Note the file naming convention described on the last page of this document.

Processing of Electronic Claims Information



Claims Filing Process

- Step 1: The large claims filer has been granted access by the court and logged into the CM/ECF application and has access to the Bankruptcy/Claims Upload selection option.
- Step 2: The large claim filer will identify the .ZIP formatted file that will be submitted. The .ZIP file will contain the XML formatted claims information, and any PDF formatted document attachments required for the completion of the claim action.



The screenshot shows the CM/ECF interface for Claims Upload. The header is dark blue with the CM/ECF logo on the left, and 'Bankruptcy' and 'Adversary' on the right. Below the header, the page title is 'Claims Upload'. The main content area is light yellow and contains the text 'Zip File :'. Below this text is a text input field followed by a 'Browse...' button. At the bottom of the form are two buttons: 'Next' and 'Clear'.

Step 3: A preliminary validation will take place, as follows:

| Validation Area | Description |
|--------------------------------|---|
| XML Schema | A symbol or character can be included by specifying its symbolic representation (e.g., “¢” for the cent sign).. See “ <u>Symbols and Special Characters</u> ” for the list. |
| Symbols and Special Characters | Check for the existence of “&”, “~”, “*”, “ ”, “;”, “` “and “\” in the file name. |
| <userName> | Validated against name associated with logged-in user. The entry must match the users table. Used to identify the creator of the claim record. |
| Case Number | Check each XML file for valid case number designation and format (yy-nnnnn)for the office and casetype. |
| District | Check each XML file for valid district code and format (nnnn). (Use CourtID entry in Site table). See Appendix for codes. |
| Office | Check each XML file for valid divisional office designation and format (n) for the case number and casetype. Contact the Court for office code(s). |
| Casetype | Check each XML file for valid casetype and format (value=“bk”) for the entered case number, office, and District. |
| ***** | Check the XML file first for validation. If XML file is bad, the XML file and PDF(s) are deleted. |
| Existence of PDF’s | Verify that all PDF files identified in each XML file are present. If one or more of the identified PDF files are bad(fail PDFCheck), then the PDF(s) and the related XML file are discarded. |
| PDF File Size | Check PDF file(s) for a PDF file size limit – value is set on a per court basis. Default is 2.5MB. Verify file limit with the Court. |
| ***** | Check the XML file for the existence of a document "claimAttachDoc" claim function whenever the "transferClaim" claim and/or “addClaim” functions are used. |

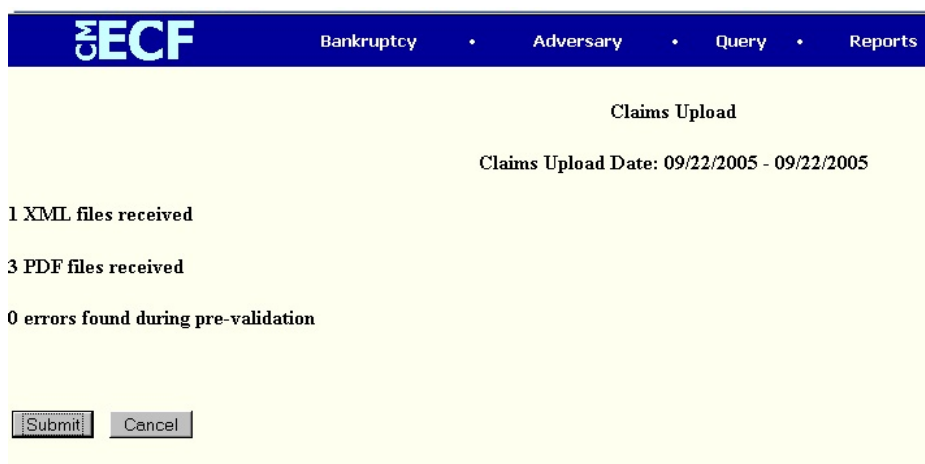
Step 4: If the filer chooses to continue with the upload, a confirmation report will be displayed in the browser which will list the completed status of the CM/ECF filing. The report will display, for successful uploads, the case number, date filed, XML file, action (success/fail), office, claim number, dollar amount, and creditor number. The report will display for unsuccessful uploads the case number, XML file, error, office, and date filed.

If the filer chooses to continue with the upload and does not chose to wait for the upload to complete, The filer will receive an email notification that the upload has completed with a link to the Claims Upload Log.

|  Bankruptcy • Adversary • Query • Reports • Utilities • Logout  | | | | |
|---|------------|--------------------------------------|--------------|---|
| Claims Upload Log Report Period: 12/01/2005 - 12/01/2005 Sorted By: Case Number | | | | |
| 2 Transactions Processed | | | | |
| 2 Successful Claim Action(s) | | | | |
| Case | Date Filed | XML File | Action | Notes |
| 04-44444 | 12/01/2005 | 04-44444_bk_4_1111_20050801_0748.xml | Add Creditor | Office: 4 Claim No: 0 Amount: 0.00 Creditor #: 106606030 |
| 04-44444 | 12/01/2005 | 04-44444_bk_4_1111_20050801_0748.xml | Add Claim | Office: 4 Claim No: 14 Amount: 4000.00 Creditor #: 0 |

User Reports

Large claims filers will receive an on-screen, pre-process validation summary prior to file processing by CM/ECF. The summary will list the number of files received, the number of PDF files received, and provide a list of the files where validation errors were found with an error description for each file.



The screenshot shows a web interface for the ECF system. At the top, there is a blue navigation bar with the ECF logo on the left and the menu items "Bankruptcy", "Adversary", "Query", and "Reports" on the right. Below the navigation bar, the page title is "Claims Upload". Underneath the title, it displays the date range "Claims Upload Date: 09/22/2005 - 09/22/2005". The main content area lists the following statistics: "1 XML files received", "3 PDF files received", and "0 errors found during pre-validation". At the bottom of the content area, there are two buttons: "Submit" and "Cancel".

Claims Upload Log

The Claims Upload Log, which is available from the CM/ECF utilities menu, allows the user the ability to create a listing of his/her claim upload activities based on the following user-supplied information: Start Date, End Date, Sort By - Case Number or Date Filed or XML File Name.

The Claims Upload Log will display the reporting dates and the sort option selected by the user. The total number of transactions processed for the reporting period will display. The log will display for successful uploads a total for the number of successful claim actions. Within each successful claim action, the log will display the case number, date filed, XML file name, action (i.e. claim filed), office, claim number, amount, and creditor number. The log will display for unsuccessful uploads a total for the errors which resulted in no update to the database. Within each unsuccessful claim action, the log will display the case number, the XML file name, the error, the office, and the date filed.

Claims Upload Log
Report Period: 12/01/2005 -
Sorted By: Case Number

2 Transactions Processed

2 Successful Claim Action(s)

| Case | Date Filed | XML File | Action | Notes |
|--------------------------|------------|--------------------------------------|--------------|---|
| 04-44444 | 12/01/2005 | 04-44444_bk_4_1111_20051201_0915.xml | Add Creditor | Office: 4 Claim No: 0 Amount: 0.00 Creditor #: 106606029 |
| 04-44444 | 12/01/2005 | 04-44444_bk_4_1111_20051201_0915.xml | Add Claim | Office: 4 Claim No: 13 Amount: 2500.00 Creditor #: 0 |

Submitted files failing pre-validation

| XML File | Error | Notes |
|--|---|-------------------------------|
| Date Filed: 12/01/2005 | | |
| 04-44445_bk_4_1111_20051201_0920.xml | Found unexpected <claimedUnsecured> inside <claimedUnsecured> This is not a valid child element-etc | Date Filed: 12/01/2005 |
| 04-44445_bk_4_1111_20051201_0920.xml | Found unexpected <claimedUnsecured> inside <claimedUnsecured> This is not a valid child element-etc | Date Filed: 12/01/2005 |

Large Claims Filer -- CM/ECF Claims Upload Log

CM/ECF
Bankruptcy
Adversary
Query
Reports

Utilities

Your Account
[Change Your PACER Account](#)

Miscellaneous
[Claims Upload Log](#)

CM/ECF
Bankruptcy
Adversary
Query
Reports

Claims Upload Log

Start Date End Date Sort By:

CM/ECF
Bankruptcy
Adversary
Query
Reports

Claims Upload Log

Report Period: 02/10/2004 - 02/15/2005

Sorted By: Case Number

3 Transactions Processed

1 Successful Claim Action(s)

| Case | Date Filed | XML File | Action | Notes |
|-------------------------------|------------|--|-----------|--|
| 1:04-bk-10223 | 11/09/2004 | 04-10223_bk_1_2369_20041109_093522.xml | Add Claim | Office: 1 Claim No: 38 Amount: 100.00 Creditor #: 5896235 |

2 Error(s) -- No Update

| Case | XML File | Error | Notes |
|-------------------------------|--|------------------------|-------------------------------------|
| 1:04-bk-33226 | 04-33226_bk_1_2369_20041109_093523.xml | Unable to add creditor | Office: 1 Date Filed: 11/09/2004 |
| 1:04-bk-33226 | 04-33226_bk_!_2369_20041109_093529.xml | Unable to add creditor | Office: 1 Date Filed: 11/09/2004 |

File & Transaction Specifications

All claims-specific XML files should have the following tags.

| TAG NAME | FORMAT/ LENGTH | REQ | DESCRIPTION |
|---|------------------------|------------|---|
| <claim> <claim caseNumber="04-10023"district="2369" office="1" caseType="bk"> | | Req | Encloses the case number, district, office and case type attributes |
| caseNumber | YY-##### | Req | Consists of the year and the case number (i.e: caseNumber="04-12345") |
| district | char(4) | Req | Entry must match the court's district code. |
| office | char(1) - A-Za-z0-9 | Req | The divisional office where the case is filed. |
| caseType | char(8) | Req | Type of case (i.e. "bk") |
| <userName> | char(255) | Req | Identifies the creator of the claim record. User names will be assigned when filers are given access permissions. |
| <courtFiling> | | Req | Encloses/groups the associated claimFunction tags. |

ClaimFunction Specifications

The claimFunction is used to describe the type of claim filing action that the filer would like to perform in CM/ECF. Using the claimFunctions, filers will have the ability to add claims, amend claims, transfer claims (varies by court), and attach claim PDF documents . Some courts may permit creditors to be added using Claims Upload.

The <claimFunction> tag contains information for a claims-specific entry. All items underneath the <claimFunction> tag are passed in as a parameter. The name attribute of the <claimFunction> tag is used to determine which function to call.

| For Claim Functions |
|---|
| <i>There is no length requirement, but the entry must be one of the <claimFunction name=""> entries describing the claim function that is to be used.</i> |
| <p>The entries that may be entered for <claimFunction Name> are as follows (look below for details):</p> <pre><claimFunction name =”addClaim”> <claimFunction name =”transferClaim”> <claimFunction name =”addCreditor”> <claimFunction name =”claimAttachDoc”></pre> |

Add or Amend Claim

For adding or amending claims, if the creditor information is already present in the CM/ECF database, this information need not be included in the XML file. If the creditor **is not in the CM/ECF database**, creditor information must be included in the XML file and must be processed using the “addCreditor” claimFunction. The creditor table is updated before claims processing. Upon completion of the “addCreditor” claimFunction, the claims information and any document attachments included in the XML file are added to the claims table and the document table, respectively.

| <claimFunction name =”addClaim”> | | | |
|---|---------|------|---|
| <amends> | integer | Opt* | Claim number that this claim amends. *Required if amending a claim |

| | | | |
|--------------------|---------------|------|---|
| <claimFiledBy> | char(2) | Req | Claim filer type. Valid values are: AT - attorney DE - debtor CR - creditor TR - trustee |
| <amendAction> | char (1) | Opt* | Used to identify the process by which amounts contained in the submitted xml file should be handled. Values are as follows: "c" = clear amount values from database and use values contained in the submitted xml file "r" = revise the existing amounts from the database to include the values submitted in the xml file) *Required if amending a claim. |
| <creditorId> | integer | Opt* | Identifies the creditor. * Required if amending a claim. * When the "addCreditor" claimfunction is not used when adding a claim. |
| <claimedAmount> | decimal(13,2) | Opt* | Amount claimed by filer. * If a value has been entered for <claimedSecured> and/or <claimedPriority>, the value in <claimedAmount> should not be null or zero |
| <claimedSecured> | decimal(12,2) | Opt | Secured amount claimed by filer. |
| <claimedPriority> | decimal(12,2) | Opt | Priority amount claimed by filer. |
| <claimDescription> | char(255) | Opt | Brief description of claim. |
| <claimRemarks> | char(255) | Opt | Notes on claims. |

Transfer Claims

XML file contains transferee (TO), transferor (FROM), and claim number information, with the B210 Notice of Transfer of Claim, and supporting documentation.

| <claimFunction name =”transferClaim”> | | | |
|--|-----------|------------|--|
| <transferType> | Char (10) | Opt | Identifies the transfer type. Valid values are: 3001 (e) 1 3001 (e) 2 3001 (e) 3 3001 (e) 4 Please Note Spaces. |
| <transfereeInformation> <transfereeInformation> <transferee creditorId =”3334333333” creditorFullName =”Rye Ray Stone Crafters” creditorAddress1=”23 West Lake Parkway” creditorAddress2 = “Brookshire, NH 34056”> </transferee> </transfereeInformation> | | Req | Encloses the creditorId, creditorFullName, creditorAddress1, creditorAddress2, creditorAddress3, creditorAddress4, creditorAddress5 tags of the transferee. |
| <creditorId> | integer | Opt* | Identifies the creditor. *If the creditor name and address tags are not present, then this field is required. |
| <creditorFullName> | char(50) | Opt | Identifies the full name of the transferee creditor. If the <creditorId> tag is present, address is not required. If the creditor id is not present, a new creditor will be added. |
| <creditorAddress1> | char(40) | Opt | Creditor address line 1. |
| <creditorAddress2> | char(40) | Opt | Creditor address line 2. |

| | | | |
|---|----------|-----|---|
| <creditorAddress3> | char(40) | Opt | Creditor address line 3. |
| <creditorAddress4> | char(40) | Opt | Creditor address line 4. |
| <creditorAddress5> | char(40) | Opt | Creditor address line 5. |
| <transferorInformation> <transferorInformation> <transferor claimno="12"> </transferor> <transferorInformation claimNo="10"> </transferor> </transferInformation> | | Req | Encloses the <claimNo> tag of the transferor. |
| <claimNo> | integer | Req | The claim number being transferred |

Add Creditors- Note that permission to use this claimFunction is court-specific.

| | | | |
|--|----------|-----|---|
| <claimFunction name ="addCreditor"> | | | |
| <creditorFullName> | char(50) | Req | Full name of the creditor. |
| <creditorAddress1> | char(40) | Opt | If the <creditorId> tag is present, address is not required. If the creditor id is not present, a new creditor will be added. In such a case, at least one line of address is required. |
| <creditorAddress2> | char(40) | Opt | If the <creditorId> tag is present, address is not required. |
| <creditorAddress3> | char(40) | Opt | If the <creditorId> tag is present, address is not required. |
| <creditorAddress4> | char(40) | Opt | If the <creditorId> tag is present, address is not required. |
| <creditorAddress5> | char(40) | Opt | If the <creditorId> tag is present, address is not required. |

| | | | |
|-----------------------|---------|------|--|
| <creditorCommittee> | char(1) | Opt | <p>Flag designating whether the creditor is a member of the creditor committee.</p> <p>Valid values are:</p> <p>“y” “n”</p> <p>Note: Default is “n” if no tag is used in the XML file.</p> |
| <creditorEntityIndiv> | char(1) | Opt* | <p>For a member of the creditor committee (cr_committee_flag=y), this value designates the type of member. Valid values are:</p> <p>e - entity (a business) i - individual</p> <p>* This tag is required if the creditor is a member of Creditor Committee and/or if the <creditorCommittee> tag is in the XML file with a value of “y”.</p> |

Attach Claim Documents (PDF Files) Required to file, amend or transfer a claim.

| | | | |
|---|-----|-----|--|
| <claimFunction name =”claimAttachDoc”> | | | |
| <pdfDocument> | A50 | Req | <p>Name of the pdf document. This would be the Proof of Claim (B10), Notice of Transfer of Claim (B210) or supporting documentation. This name should be unique and related to the XML file name. See File Naming Convention section (last page) for additional guidance.</p> |

| | | | |
|---------------|-----|-----|--|
| <description> | A80 | Req | Description of the attachment. The Forms document (B10 or B210) should have a description of “ Main Document ”. Any attachments with supporting documentation should have a description followed by free text. (i.e. Appendix <i>text description</i>) |
|---------------|-----|-----|--|

B10 Proof of Claim Form

The official form and instructions may be found at:

http://www.uscourts.gov/rules/Revised_Rules_and_Forms/BK_Form_B10.pdf

B210 Transfer of Claim Form

The new form and instructions may be found at:

<http://www.uscourts.gov/bkforms/official/b210.pdf>
<http://www.uscourts.gov/bkforms/official/b210-inst.pdf>

XML Examples

Example - File a claim and add a new Creditor

```
<claim caseNumber="01-12345" district="1111" office="1" caseType="bk">
  <userName>jonesr</userName>
  <courtFiling>
    <claimFunction name="addClaim">
      <claimFiledBy>AT</claimFiledBy>
      <claimedAmount>3000.00</claimedAmount>
      <claimedSecured>1000.00</claimedSecured>
      <claimedPriority>1000.00</claimedPriority>
      <claimDescription>Claim Filed</claimDescription>
      <claimRemarks>Remarks Added</claimRemarks>
    </claimFunction>
    <claimFunction name="claimAttachDoc">
      <pdfDocument>01-12345_bk_1_1111_20050801_0748.pdf</pdfDocument>
      <description>Main Document</description>
    </claimFunction>
    <claimFunction name="addCreditor">
      <creditorFullName>Abbey Marks</creditorFullName>
      <creditorAddress1>59 New Castle Lane</creditorAddress1>
      <creditorAddress2>Building 12</creditorAddress2>
      <creditorAddress3>Suite 3</creditorAddress3>
      <creditorAddress4>East Castle, DE 33949</creditorAddress4>
      <creditorCommittee>y</creditorCommittee>
      <creditorEntityIndiv>e</creditorEntityIndiv>
    </claimFunction>
  </courtFiling>
</claim>
```

Example – Add Multiple Claims with Documents

```
<claim caseNumber="04-12345" district="2369" office="1" caseType="bk">
  <userName>jonesr</userName>
<courtFiling>
  <claimFunction name="addClaim">
    <claimFiledBy>CR</claimFiledBy>
    <creditorId>12345656</creditorId>
    <claimedSecured>0.00</claimedSecured>
    <claimDescription>description of the claim</claimDescription>
    <claimRemarks>notes on a claim</claimRemarks>
  </claimFunction>
  <claimFunction name="claimAttachDoc">
    <pdfDocument>01-12345_bk_1_1111_20050801_0700.pdf</pdfDocument>
    <description>Main document</description>
  </claimFunction>
  <claimFunction name="claimAttachDoc">
    <pdfDocument>01-12345_bk_1_1111_20050801_0701.pdf</pdfDocument>
    <description>document Attachment 1</description>
  </claimFunction>
  <claimFunction name="claimAttachDoc">
    <pdfDocument>01-12345_bk_1_1111_20050801_0702.pdf</pdfDocument>
    <description>document Attachment 2</description>
  </claimFunction>
</courtFiling>
<courtFiling>
  <claimFunction name="addClaim">
    <claimFiledBy>CR</claimFiledBy>
    <claimedSecured>200.00</claimedSecured>
    <claimDescription>description of the claim</claimDescription>
    <claimRemarks>notes on a claim</claimRemarks>
  </claimFunction>
  <claimFunction name="addCreditor">
    <creditorFullName>Sears & Roebuck Collections</creditorFullName>
    <creditorAddress1>123 Main Street</creditorAddress1>
    <creditorAddress2>Cleveland, OH 12345</creditorAddress2>
  </claimFunction>
  <claimFunction name="claimAttachDoc">
    <pdfDocument>01-12345_bk_1_1111_20050801_0600.pdf</pdfDocument>
    <description>Main document</description>
  </claimFunction>
</courtFiling>
</claim>
```

Example – Transfer a Claim with Documents

```
<claim caseNumber="04-12345" district="2369" office="1" caseType="bk">
  <userName>jonesr</userName>
  <courtFiling>
  <claimFunction name="transferClaim">
    <transfereeInformation>
      <transferee creditorFullName="Charles Mako" creditorAddress1="13 Park Street"
creditorAddress2="Lexington, KY 12345">
    </transferee>
    </transfereeInformation>
    <transferorInformation>
      <transferor claimNo="4">
    </transferor>
    </transferorInformation>
    <transferorInformation>
      <transferor claimNo="5">
    </transferor>
    </transferorInformation>
    <transferorInformation>
      <transferor claimNo="6">
    </transferor>
    </transferorInformation>
  </claimFunction>
  <claimFunction name="claimAttachDoc">
    <pdfDocument>01-12345_bk_1_1111_20050801_0500.pdf</pdfDocument>
    <description>Main document</description>
  </claimFunction>
  <claimFunction name="claimAttachDoc">
    <pdfDocument>01-12345_bk_1_1111_20050801_0501.pdf</pdfDocument>
    <description>document Attachment 1</description>
  </claimFunction>
  <claimFunction name="claimAttachDoc">
    <pdfDocument>01-12345_bk_1_1111_20050801_0502.pdf</pdfDocument>
    <description>document Attachment 2</description>
  </claimFunction>
</courtFiling>
</claim>
```

Example – Amend a Claim with Documents

```
<claim caseNumber="04-12345" district="2369" office="1" caseType="bk">
  <userName>jonesr</userName>
<courtFiling>
  <claimFunction name="addClaim">
    <amends>33</amends>
    <claimFiledBy>CR</claimFiledBy>
    <amendAction>c</amendAction>
    <creditorId>2839485</creditorId>
    <claimedSecured>0.00</claimedSecured>
    <claimDescription>description of the claim</claimDescription>
    <claimRemarks>notes on a claim</claimRemarks>
  </claimFunction>
  <claimFunction name="claimAttachDoc">
    <pdfDocument>01-12345_bk_1_1111_20050801_0300.pdf</pdfDocument>
    <description>copy of the original document</description>
  </claimFunction>
  <claimFunction name="claimAttachDoc">
    <pdfDocument>01-12345_bk_1_1111_20050801_0501.pdf</pdfDocument>
    <description>document Attachment 1</description>
  </claimFunction>
  <claimFunction name="claimAttachDoc">
    <pdfDocument>01-12345_bk_1_1111_20050801_0502.pdf</pdfDocument>
    <description>document Attachment 2</description>
  </claimFunction>
</courtFiling>
</claim>
```

File Naming Convention

XML and PDF File Naming Convention

File names must be unique so that they will not be over-written. All XML files must be unique. Because the PDF files are deleted after each individual XML file is executed, the PDF file names must be unique to each XML file (CASENUM + CASETYPE + OFFICE + DISTRICT + date time stamp)

FORMAT: CASENUM_CASETYPE_OFFICE_DISTRICT_DATETIME.XML

Examples:

04-10223_bk_1_23699_20040401_093522.xml

03-12388_bk_1_23699_20040401_123245.pdf

Naming Convention for ZIP Files

The recommended naming convention for the ZIP formatted files that the large claims filer will create and submit to CM/ECF using Claims Upload is as follows:

FORMAT: Name_DateStamp_ReferenceNumber.ZIP
(Total length of the file name must not exceed 40 characters)

DEFINITIONS:

Name

The Name and/or numbers identifying the large claims filer. The Name can be up to 23 characters including any “_”s that are used to represent a blank space in the name

DateStamp

The Date when the file is submitted to CM/ECF. The DateStamp format is YYYYMMDD

ReferenceNumber

The three digit number representing the sequential count from 000 to 999 for the Zip file(s) submitted by a large claims filer on a given day (represented by the DateStamp). (i.e. If 5 ZIP files were submitted on 01/02/05 by a large claims filer, the ReferenceNumber portion of the ZIP file name would increment by 1 for each file submitted – 000, 001, 002, 003, 004)

ZIP

Each ZIP formatted file submitted by a large claims filer should contain the ZIP

file extension.

EXAMPLES:

Large Claims Filer instance where **ONE** submitter from the organization is uploading claims:

alpha_beta_testing_corp_20050101_000.ZIP
Uzowe_corp_financial_20050101_000.ZIP

Large Claims Filer instance where **MORE THAN ONE** submitter from the organization is uploading claims

(examples below display name identifier by state, by city, and by person)

Azowe_corp_financial_AZ_20050101_000.ZIP
Azowe_corp_financial_TN_20050101_000.ZIP
Azowe_corp_financial_SD_20050101_000.ZIP

Ezowe_corp_yuma_20050101_000.ZIP
Ezowe_corp_phoenix_20050101_000.ZIP
Ezowe_corp_tuscon_20050101_000.ZIP

Ozowe_corp_TSmith_20050101_000.ZIP
Ozowe_corp_PRS_20050101_000.ZIP
Ozowe_corp_DannyG_20050101_000.ZIP

Appendix

**Federal Judiciary District Codes (ID)
Creditor ID**

Federal Judiciary District Codes (Court ID)

| District Code (Court ID) | Acronym (CDS07) | District Name |
|-----------------------------|--------------------|----------------------|
| 1127 | ALM | ALABAMA MIDDLE |
| 1126 | ALN | ALABAMA NORTHERN |
| 1128 | ALS | ALABAMA SOUTHERN |
| 097- | AK | ALASKA |
| 0970 | AZ | ARIZONA |
| 0860 | ARE | ARKANSAS EASTERN |
| 0861 | ARW | ARKANSAS WESTERN |
| 0973 | CAC | CALIFORNIA CENTRAL |
| 0972 | CAE | CALIFORNIA EASTERN |
| 0971 | CAN | CALIFORNIA NORTHERN |
| 0974 | CAS | CALIFORNIA SOUTHERN |
| 1082 | CO | COLORADO |
| 0205 | CT | CONNECTICUT |
| 0311 | DE | DELAWARE |
| 0090 | DC | DISTRICT OF COLUMBIA |
| 113A | FLM | FLORIDA MIDDLE |
| 1129 | FLN | FLORIDA NORTHERN |
| 113C | FLS | FLORIDA SOUTHERN |
| 113G | GAM | GEORGIA MIDDLE |
| 113E | GAN | GEORGIA NORTHERN |
| 113J | GAS | GEORGIA SOUTHERN |
| 0993 | GUAM | GUAM |
| 0975 | HI | HAWAII |

| | | |
|------|-----|----------------------|
| 0976 | ID | IDAHO |
| 0753 | ILC | ILLINOIS CENTRAL |
| 0752 | ILN | ILLINOIS NORTHERN |
| 0754 | ILS | ILLINOIS SOUTHERN |
| 0755 | INN | INDIANA NORTHERN |
| 0756 | INS | INDIANA SOUTHERN |
| 0762 | IAN | IOWA NORTHERN |
| 0863 | IAS | IOWA SOUTHERN |
| 1083 | KS | KANSAS |
| 0643 | KYE | KENTUCKY EASTERN |
| 0644 | KYW | KENTUCKY WESTERN |
| 053L | LAE | LOUISIANA EASTERN |
| 053N | LAM | LOUISIANA MIDDLE |
| 0536 | LAW | LOUISIANA WESTERN |
| 0100 | ME | MAINE |
| 0416 | MD | MARYLAND |
| 0101 | MA | MASSACHUSETTS |
| 0645 | MIE | MICHIGAN EASTERN |
| 0646 | MIW | MICHIGAN WESTERN |
| 0864 | MN | MINNESOTA |
| 0537 | MSN | MISSISSIPPI NORTHERN |
| 0538 | MSS | MISSISSIPPI SOUTHERN |
| 0865 | MOE | MISSOURI EASTERN |
| 0866 | MOW | MISSOURI WESTERN |
| 0977 | MT | MONTANA |
| 0867 | NE | NEBRASKA |

| | | |
|------|-----|------------------------|
| 0978 | NV | NEVADA |
| 0102 | NH | NEW HAMPSHIRE |
| 0312 | NJ | NEW JERSEY |
| 1084 | NM | NEW MEXICO |
| 0207 | NYE | NEW YORK EASTERN |
| 0206 | NYN | NEW YORK NORTHERN |
| 0208 | NYS | NEW YORK SOUTHERN |
| 0209 | NYW | NEW YORK WESTERN |
| 0417 | NCE | NORTH CAROLINA EASTERN |
| 0418 | NCM | NORTH CAROLINA MIDDLE |
| 0419 | NCW | NORTH CAROLINA WESTERN |
| 0868 | ND | NORTH DAKOTA |
| 0994 | NMI | NORTHERN MARIANAS |
| 0647 | OHN | OHIO NORTHERN |
| 0648 | OHS | OHIO SOUTHERN |
| 1086 | OKE | OKLAHOMA EASTERN |
| 1085 | OKN | OKLAHOMA NORTHERN |
| 1087 | OKW | OKLAHOMA WESTERN |
| 0979 | OR | OREGON |
| 0313 | PAE | PENNSYLVANIA EASTERN |
| 0314 | PAM | PENNSYLVANIA MIDDLE |
| 0315 | PAW | PENNSYLVANIA WESTERN |
| 0104 | PR | PUERTO RICO |
| 0103 | RI | RHODE ISLAND |
| 0420 | SC | SOUTH CAROLINA |
| 0869 | SD | SOUTH DAKOTA |

| | | |
|------|-----|------------------------|
| 0649 | TNE | TENNESSEE EASTERN |
| 0650 | TNM | TENNESSEE MIDDLE |
| 0651 | TNW | TENNESSEE WESTERN |
| 0540 | TXE | TEXAS EASTERN |
| 0539 | TXN | TEXAS NORTHERN |
| 0541 | TXS | TEXAS SOUTHERN |
| 0542 | TXW | TEXAS WESTERN |
| 1088 | UT | UTAH |
| 0210 | VT | VERMONT |
| 0391 | VI | VIRGIN ISLANDS |
| 0422 | VAE | VIRGINIA EASTERN |
| 0423 | VAW | VIRGINIA WESTERN |
| 0980 | WAE | WASHINGTON EASTERN |
| 0981 | WAW | WASHINGTON WESTERN |
| 0424 | WVN | WEST VIRGINIA NORTHERN |
| 0425 | WVS | WEST VIRGINIA SOUTHERN |
| 0757 | WIE | WISCONSIN EASTERN |
| 0758 | WIW | WISCONSIN WESTERN |
| 1089 | WY | WYOMING |

NOTE: The office code, where used, may be obtained from the EDI CDS09 field, or as part of the case number on the Proof of Claim form - see below. Additional sources are from PACER or from the court itself.

Creditor ID

The Creditor ID is an integer assigned by CM/ECF for each creditor added to a case. The creditor/recipient ID may be taken from the EDI data field REF(j1) or, in the paper world, from the Proof of Claim Form (B-10) accompanying the §341 First Meeting of Creditors Notice.