

SURROGATE'S COURT E-FILING PROTOCOLS

The Administrative Judge of the 12th Judicial District, the Surrogate of Bronx County, and the Chief Clerk of the Bronx County Surrogate Court hereby promulgate local user protocols to assist users in practice of the New York State Courts E-Filing System (hereinafter referred to as "NYSCEF") implemented in the Bronx County Surrogate Court in accordance with the program established by the Chief Administrator of the Courts pursuant to Uniform Rules 207.4a and 207.4aa and provide guidance with respect to local practice and procedures used to process filings, fees, and court calendaring. Users should also review the NYSCEF website (www.nycourts.gov/efile). These Protocols do not supersede any statutory or regulatory provisions regarding electronic filing as those are controlling and take precedence.

1) **Case Types Eligible for E-Filing:**

Consensual E-Filing: E-filing is consensual in all proceedings in the following areas: Probate, Administration, Small Estates and in all related and subsequent proceedings thereto, e.g., Petitions/Orders to Examine Safe Deposit Boxes, Petitions To Remove SCPA 805 (3) Restrictions, etc. All such proceedings may be commenced by filing with the court electronically through NYSCEF and, except in limited circumstances, all subsequent documents filed by participating parties must be e-filed.

IN BRONX COUNTY SURROGATE'S COURT Accounting Proceedings, Wrongful Death Compromise Proceedings, Miscellaneous Proceedings, Lifetime Trust matters, Guardianships and Adoptions are not permitted to be filed through the E-filing program.

Documents Must Be E-Filed: Unless otherwise provided in the e-filing rules, this protocol, or where a special exemption is granted (e.g., Oversized Exhibits in Section 3, below) all documents to be filed with the court in a NYSCEF case must be filed with the NYSCEF system.

2) **Non-Participation in E-Filing:**

• **Declination of Consent (Consensual Cases):** Attorneys who do not consent to e-filing in a consensual proceeding should file a declination of consent with the court and serve the declination on all parties. Non-participating attorneys in a consensual proceeding must attach a Notice of Hard Copy Submission – E-Filed Proceeding (see NYSCEF forms page) to all hard copy filings.

Unrepresented litigants in a consensual proceeding are not required to decline consent or to attach the Notice of Hard Copy Submission – E-Filed Proceeding to any of their hard copy filings.

3) **E-Filing Documents in Surrogate's Court:**

• **Essential Step Prior to E-Filing:** Prior to entering any information into an initial filing, you should run an inquiry on the decedent's last name, using the first initial, to determine

¹ All forms referred to in the Protocol are available on the Forms page of the NYSCEF website at <https://iappscontent.courts.state.ny.us/NYSCEF/live/forms.htm>

if a file is already open. Due to the numbering system in Surrogate's Court, an inquiry based on the file number alone may not produce accurate results. **Please do NOT call the court to determine if a proceeding was already filed.**

In addition, you must ascertain whether there may be another Will for the decedent on file with the court. To make an appointment to visit the court's records room or to order record searches, please call (718) 618-2395.

• Initial Entering of Case Information: Any error in the initial entry of case information can significantly delay the proceeding. **Please double check to be sure to select the same county as is shown on your papers.**

The case name must be entered as follows:

- Initial entry must be identical to the signature on the Will
- If the name on the death certificate is different, that becomes an "AKA"
- If the name on the Will does not match the signature, that becomes an "AKA"
- No **punctuation** or **spaces** should be used when entering the name or "AKA"

• Notice of Hard-Copy Submission: Where, within the e-filing rules, an attorney or an unrepresented litigant who is participating in e-filing submits a document in hard copy, the document must bear a Notice of Hard Copy Submission – E-Filed Proceeding (see NYSCEF Forms page). Attorneys who decline to e-file are required to attach this form to all hard copy filings, while unrepresented litigants who are not participating in e-filing are not so required.

• Request for Surrogate's Court Action: This court requires the Request for Surrogate's Court Action (see NYSCEF Forms page) as the first document uploaded with each filing. This is to be filed as a stand-alone document. Do not scan any other documents with the Request.

For subsequent filings, do not re-use the original Request form. Prepare a new form for each filing with the appropriate information entered. If requesting court certified documents or Certificates of Appointment, use a Request for Surrogate's Court Action Non-Proceeding Relief (p.2 of the Request form). Do not submit a blank Request for Surrogate's Court Action form.

• Death Certificates: In addition to e-filing the death certificate, a certified copy, must be filed within two (2) business days of e-filing.

• Wills: The original Will is required to be scanned by the filer; the Will must not be unstapled. Scan the original Will, but **DO NOT UNSTAPLE it**. File the original paper Will within two (2) business days of e-filing.

• Citations: Submit a proposed citation electronically through NYSCEF only. The court will complete the citation and upload the completed version to NYSCEF as quickly as possible. If your proposed citation requires amendment, you will be notified. Otherwise,

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an e-mail notification will be sent when the completed citation is posted to NYSCEF. After receipt of the notification, print the citation and serve it, in accordance with the SCPA or as directed by the Surrogate in the Citation. Service of the Citation should be accompanied by a Notice Regarding Availability of Electronic Filing, as the case may be. (See Forms page on NYSCEF site.)

- **Decrees and Orders**: E-file proposed decrees and orders through NYSCEF only. Once the decree or order is signed, the court will upload the signed version to NYSCEF and notify all consenting parties that the decree or order has been signed and posted. Users who have requested a certified copy of the decree or order and have paid the appropriate fee via NYSCEF will receive the certified copy by regular mail **only if the users provide the court with a self-addressed stamped envelope, with adequate postage, for the return.**

- **Stipulations**: Stipulations submitted for purposes of being “So Ordered” by the court shall be electronically filed. If the court requires a working copy, the filer must attach proof that the stipulation has been e-filed (e.g., the thank you page or the e-mail notification) to the back of the stipulation when it is submitted to the court.

- **Oversized Exhibits**: If an exhibit or attachment is unsuited for electronic filing (e.g., a large map, large family tree or a videotape), it shall be submitted to the court and served on the other parties in hard copy. Attach a Notice of Hard Copy Submission – E-Filed Proceeding. In addition, a Notice of Hard Copy Exhibit must be completed and electronically filed. (See Forms page on the NYSCEF site.)

- **Working Copies**: **The Bronx County Surrogate’s Court requires submission of a working copy of the following e-filed documents: All motions, Memoranda of Law, and contested matters (i.e., objections and related proceeding/filing).** The filer must attach proof that the document has been e-filed (e.g., the thank you page or the e-mail notification) to the back of all working copies submitted to the court. Working copies must be exact hard copy duplicates of the e-filed documents. They do not become part of the official record and will be destroyed by chambers at the disposition of the case.

- 4) **Payment**: This court accepts payment of fees required by the SCPA by credit card payments made via NYSCEF or by payments made at the court. There are no fees to use the NYSCEF System. Fees are calculated in accordance with SCPA § 2402 based on the documents filed with NYSCEF and the representation of the filing user regarding the size of the estate. Review by the court may result in a modification of the fees initially anticipated or charged in connection with this transaction. In the event of any such modification, the court will contact the filing user by e-mail with the proper amount and request an additional fee, if applicable. This court will not allow the filing of additional documents by the filer if the filer owes an outstanding fee in that proceeding.

If choosing to pay by credit card at time of filing on NYSCEF website, enter your credit card information directly on website. You must insert the credit card information with each filing; your credit card will be charged at the time of filing. Make sure the card’s credit limit is large enough to cover anticipated filings.

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If choosing to pay at the court, be aware that documents are not “filed” until payment is received. The court cannot process the filing until payment is received in full and will delete the filing if payment is not made within two business days after e-filing.

- 5) **Notifications:** Notification of defective filings will be sent out by e-mail or by telephone, depending on the circumstances.

- **Certificates and Letters:** Upon request made via NYSCEF and payment of the requisite fee(s), the court will mail out Certificates of Appointment and Letters **if it is provided with a self-addressed stamped envelope, with adequate postage, for the return.** When a request for Certificates is made in any e-filed proceeding, please pay at the time of the request.

- **General Correspondence:** All general correspondence, adjournment requests and conference requests shall be electronically filed, **with a working copy delivered to the Chief Clerk’s Office.**

- 6) **Signatures:** Documents requiring signatures shall be considered to be signed under the circumstances outlined in Uniform Rule §207.4-a(f). When e-filing a document bearing an actual signature, the e-filer is responsible for maintaining the original, executed document pursuant to Uniform Rule 207.4-a(f)(2).

- 7) **Decrees, Orders, and Judgments:**

Decrees, orders, and judgments will be signed in hard copy by the Surrogate and forwarded to the Clerk for filing and scanning into the NYSCEF system, which will then transmit notification to all parties. However, the notification does not constitute service of notice of filing upon any party (see, Uniform Rule § 207.4-a[h]).

Court issued Letters and Certificates of Appointment will be mailed in hard copy to the filer via a self-addressed, stamped envelope provided by the party requesting such documents. If the court requires a Request for Surrogate’s Court Action form, the method of contact/return should be noted on that form.

- 8) **Envelopes:** Filers requesting any documents must provide the court with self-addressed stamped envelopes bearing adequate postage for the return. The court will not mail documents back to the filer without such properly stamped envelopes. If self-addressed stamped envelopes are not provided, the court will place the documents into the attorney pick-up bin drawer located in our office.

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