

NEW YORK STATE COURTS ELECTRONIC FILING SYSTEM



USER'S MANUAL FOR SURROGATE'S COURT

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USER'S MANUAL FOR SURROGATE'S COURT

I. INTRODUCTION

New York State has established a program for the electronic filing and service of court papers in certain types of civil actions, including proceedings in Surrogate's Court in counties designated by order of the Chief Administrator. In counties where consensual e-filing is in effect, eligible proceedings include probate or administration proceedings, miscellaneous proceedings related thereto, and such other types of proceedings as the court may permit. In counties where mandatory e-filing is in effect, eligible proceedings are designated by order of the Chief Administrator.

The New York State Courts Electronic Filing System ("NYSCEF") generally does not affect the rules that govern civil litigation. There are, however, some differences between practice in hard copy cases and proceedings and the procedures governing filing and service of documents in NYSCEF matters. Regulations for electronic filing and service in Surrogate's Court cases are set forth in Uniform Rule Section 207.4-a (for consensual e-filing) and Uniform Rule Section 207.4-aa (for mandatory e-filing) (hereinafter "the Surrogate's E-Filing Rules" or "the Rules").

This User's Manual explains how the NYSCEF system works in Surrogate's Court proceedings. It is designed to be used in conjunction with the system and to support navigating from screen to screen. Live support is also provided by the E-Filing Resource Center, where staffers are available to answer your questions from 8 am until 6 pm each business day. The E-Filing Resource Center can be contacted by calling (646) 386-3033 or sending an e-mail to nyscef@nycourts.gov.

II. GETTING STARTED

To get started, go to www.nycourts.gov/efile by typing this web address into your browser. You will see an opening screen that allows you to file either Supreme Court, SCAR, and Court of Claims matters or Surrogate's Court matters.

NYSCEF has separate operational (live) and training systems. Each system requires you to register and obtain a User Name and Password from the Office of Court Administration.

Due to system enhancements, several options now exist for operational system registration. New York attorneys who have established Attorney Online Service (AOS) accounts with Attorney Registration may log into NYSCEF using their Attorney Registration number as their User ID and their AOS password as their NYSCEF Password. All other prospective NYSCEF users, including New York attorneys without AOS accounts, attorneys admitted pro hac vice, unrepresented parties, and filing agents,

should click the Create an Account button on the Login page and select the appropriate link that appears on the Create an Account page.

The option to create a temporary NYSCEF account for the purpose of immediately e-filing a document no longer exists. However, unrepresented parties seeking to commence a new case will be granted immediate access to NYSCEF after clicking the “Create Self-Represented (commencement of new case only) account” link and following the instructions. All other prospective users, including attorneys admitted pro hac vice, filing agents, and unrepresented parties to an existing case, will, upon clicking the appropriate link, be brought to an online form that must be completed and submitted as per the on-screen instructions.

All classes of users register for the training system accounts by clicking the “Create a Training Account” link on the Create an Account page and following the instructions.

Once you have a valid NYSCEF User ID and Password for the system you wish to enter, choose that system by clicking on its link. To enter the operational (live) system for Surrogate’s Court, click on the link circled below:

NYSCEF:

Home
NYS Courts e-filing

Supreme, SCAR & Court of Claims
Live System
Training System

Surrogate
Live System
Training System

Account
Create an Account

NYSCEF Training
Register Today

Welcome to NYS Courts Electronic Filing (NYSCEF) [NYSCEF News](#)

The New York State Unified Court System has established "NYSCEF," a program that permits the filing of legal papers by electronic means with the County Clerk and the courts in certain case types in designated venues, as well as electronic service of papers in those cases. Cases may be commenced using NYSCEF and cases that were initiated in hard-copy form may be converted to NYSCEF matters.

NYSCEF has separate operational (live) and training systems. Each system requires you to register and obtain a User ID and Password.

Supreme, SCAR & Court of Claims
[Live System](#)
File documents electronically in Supreme Court, Court of Claims matters and SCAR bulk filings.
[Training System](#)
This site, which mimics the live system, is used for training and testing for Supreme Court, Court of Claims matters and SCAR bulk filings.

Surrogate
[Live System](#)
File documents electronically in Surrogate Court.
[Training System](#)
This site, which mimics the live system, is used for training and testing for Surrogate's Court

You will arrive at the Surrogate's Court home page:

[Home](#)[User Manual
and FAQ](#)[Rules](#)[Forms](#)[Contact Us](#)

New York State Courts E-Filing (NYSCEF)

The New York State Unified Court System has established "NYSCEF," a program that permits the filing of legal papers by electronic means with the County Clerk and the courts in certain case types in designated venues, as well as electronic service of papers in those cases. Cases may be commenced using NYSCEF and cases that were initiated in hard-copy form may be converted to NYSCEF matters.

NYSCEF has separate operational (live) and practice systems. To use the system, all you need to do is register and obtain a User ID and Password.

[Enter NYSCEF Live System](#)[NYSCEF](#)[Announcements](#)[Technical Information](#)[Hardware and Software requirements for participation](#)[Surrogate's Court](#)

At the top are four buttons labeled "Home," "User's Manual and FAQ," "Rules," and "Forms." These buttons, together with some others, appear on all NYSCEF screens and will link you to information, Rules, and Forms that apply to all courts where NYSCEF has been authorized, including Surrogate's. The grid below provides links to NYSCEF Announcements and information on Hardware and Software requirements and displays a list of all counties in which e-filing of Surrogate's Court proceedings have been authorized.

After clicking the "Enter NYSCEF Live System" link, you will open the User Entry/Create an Account page. Registered users click the "E-Filing User Entry" link to continue to the NYSCEF Login screen. (Prospective users without an ID would click the "Create an Account" link and follow directions described above.) Users will see a security pop-up before logging in.

[Home](#)[User Manual
and FAQ](#)[Rules](#)[Forms](#)[Contact Us](#)

New York State Courts E-Filing System

NYSCEF

[E-Filing User Entry](#)

(Login ID Required)

[Create an Account](#)

Create an account and start filing documents electronically.

You log in by typing your Login ID (i.e., User ID) and Password into the spaces, then clicking the “Login” button. Note that both the User ID and Password are case sensitive.

New York State E-Filing System

NYSCEF Login



You are entering a secure area of the New York State Unified Court System. Only registered e-filing users may access filed information or submit documents for filing through use of an e-filing user's password. Filing documents without proper authorization may result in Civil or Criminal pen

Login ID *	<input type="text" value="traineeone"/>
Password	<input type="password" value="....."/>
<input type="button" value="Login"/>	

The next screen asks that you select an e-filing option. Here click the link for Surrogate Court E-Filing.

New York State Courts E-Filing System

User: One Trainee - Address: TEST Address, Troy

Select a E-Filing option

[Surrogate Court E-Filing](#)

[Logout](#)

III. THE MAIN MENU

After you have logged in and selected Surrogate's Court E-Filing, the Main Menu will open. This menu is divided into two sections: Surrogate's Court E-Filing (top) and User Options (bottom). Each section is designed as a table, with links to certain functions

on the left side and brief descriptions of those functions on the right side.



NYSCEF Surrogate's Court

User: One Trainee - Address: TEST Address, Troy

Surrogate's Court E-Filing

Available Functions	
File/Consent	File a Proceeding, Document or Consent/Represent
File Number Inquiry	Search for an existing Proceeding
Surrogate's Court To Do List	View all items currently on your to-do list

User Options

Available Functions	
Modify Profile	Update your user information (Name, Address and E-Mail)
Logout	Logout From The System

Note : These functions are also available via the buttons above

The functions in the “Surrogate’s Court E-Filing” section are the means by which you may either e-file to or access documents in Surrogate’s Court proceedings.

The [File/Consent](#) link allows you to file a new proceeding, file a document to an existing proceeding, or consent to e-filing in an existing proceeding. Technically, there is a distinction between consenting to e-filing and recording your representation in an e-filed proceeding. A filer must consent to e-filing in a consensual proceeding while a filer who has not opted out of e-filing in a mandatory proceeding must record his or her representation in that proceeding. At the present time, the NYSCEF system in Surrogate’s Court does not have the functionality to make that distinction. Therefore, for the present,

filers wishing to record their representation in a mandatory proceeding should simply consent.

The [File Name/Number Inquiry](#) link allows you to search for and access the e-docket of any existing proceeding in which you have consented to e-filing by the file number or the decedent's name.

The functions in the "User Options" section allow you to modify your profile in NYSCEF (the [Modify Profile](#) link) or simply log out of the system (the [Logout](#) link). Maintaining an accurate profile in NYSCEF is important since the e-mail addresses listed here will be used for system notifications and for electronic service of documents among participating users.

IV. THE FILE/CONSENT FUNCTIONS

Clicking the File/Consent link will open the Select Filing Type screen:

The screenshot shows the NYSCEF Surrogate's Court interface. At the top, there is a navigation bar with buttons for Home, User Manual and FAQ, Rules, Forms, and Contact Us. Below this is a secondary navigation bar with buttons for Practice System, Main Menu, To-Do List, File Document, Inquiry, Modify Profile, and Logout. The main heading is "NYSCEF Surrogate's Court" with the user information "User: One Trainee - Address: TEST Address, Troy".

For estates in which there have been no prior E-Filings select an option and click continue below.

- File to open a new estate.
- Initiate a new E-Filed proceeding in an existing estate that has not been previously E-Filed.
- File a document in a non-E-Filed Estate.

For estates in which there have been prior E-Filings enter File Number, Court, select option and click continue below.

File Number: In the court of: Cayuga County Surrogate's Court

- File a proceeding/document in an E-Filed estate.
- Consent to electronic filing in an E-Filed proceeding.
- Request for Court Certified Documents in an E-Filed proceeding.

If court is known, but File Number is not, click Search:

This screen consists of two sections. One section allows you to take action in estates in which there have been no prior e-filings. The other section allows you to take action in estates in which there have been prior e-filings.

A. Estates with No Prior E-Filings

Before you can take any action electronically in a Surrogate's Court proceeding, a file for that proceeding must be created in NYSCEF. You have three options:

- 1) e-file to open a new estate;
- 2) initiate a new e-filed proceeding in an existing estate that has not

been previously e-filed; or

3) e-file a document in a non-e-filed (hard copy) estate.

1. Opening a New Estate in NYSCEF. To open a new estate in NYSCEF, click the circle beside “File to open a new estate” and then click the “Continue” button in the lower right corner of the screen. The following screen, which allows you to create a Surrogate’s Court E-Filing Record, will open:

The screenshot shows the 'Create Surrogate's E-Filing Record' form in the NYSCEF Surrogate's Court system. At the top is a navigation bar with links: Practice System, Main Menu, To-Do List, File Document, Inquiry, Modify Profile, and Logout. The page title is 'NYSCEF Surrogate's Court' with a user ID 'User: One Trainee - Address: TEST Address, T10'. The main heading is 'Create Surrogate's E-Filing Record'. The form includes several sections: 1. Selection fields: '*Select a Court:' (dropdown), '*Filing options' (dropdown), and '*What Type of Estate is this?' (text input). 2. DECEDENT section: 'Name of Decedent' with fields for *First, Middle, *Last, and Suffix; '*Date of Death' (MM/DD/YYYY); and '*Value of Estate' (dropdown). 3. A/K/A section: 'A/K/A' with fields for First, Middle, Last, and Suffix, and a note: 'You will have an opportunity to add additional A/K/A's on the next screen.' 4. Decedent's Domicile At Date of Death section: 'Decedent's Domicile At Date of Death' with a note 'SCPA 183(15) A fixed, permanent and principal house to which a person wherever temporarily located always intends to return.' and fields for *Address1, Address2, *City, *State / *Zip. 5. Comments: 'Enter here any comments or instructions you wish to convey to the court:' (text area). 6. Footer: '*Required fields' and 'Continue' / 'Reset' buttons.

a) Creating a Surrogate’s Court E-Filing Record. On the Create Surrogate’s E-Filing Record screen you will enter the information necessary to create the Surrogate’s Court E-Filing Record for the estate. At the top are three drop-down menus where you will select the court, designate the type of estate, and select filing options. The options that appear in each of these drop-down menus are correlated with the “File to open a new

estate” option you selected on the Select Filing Type screen.

Next, you will provide information about the decedent: name, date of death, and value of the estate. As to the estate value, a drop-down list of value ranges derived from the Surrogate’s Court Procedure Act (“SCPA”) is provided. Space is available here to provide alternate or additional names (“A/K/A”) of the decedent. You must supply information on the decedent’s address and may submit comments or instructions to the court. After entering all the information, select the “Continue” button at the bottom. If any required field, marked by an asterisk, is not filled, a message will appear on screen.

The next screen displays the previously entered file record information and allows you to enter additional alternate names, if necessary, for the decedent. If you enter additional names on this screen, click the “Submit” button at the bottom. If you do not enter any information, click the “Next” button to move to the next screen.

NYSCEF Surrogate's Court

User: One Trainee - Address: TEST Address, Troy

File Record Information

File Number	Decedent	Date Of Death	Proceeding Type	Record Created	E-Filing User
Unassigned	JOHN DOE	01/01/2010	Administraton	09/21/2012	Trainee, One
Domicile:	Address1	Address2	City	State	Zip
	123 STREET		NY	NY	12345
Record Id	Court	Judge Assigned	Value of The Estate		
3484	Cayuga County Surrogate's Court		\$50,000 but under \$100,000		
Comments or Instructions					

Add additional A/K/A information below and click "Submit" or click "Next" to continue.

Add A/K/A			
*First	Middle	*Last	Suffix
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

*Required Field

A/K/A Listing

First	Middle	Last	Suffix
Jack		Doe	

Submit Next Reset

b) Consenting to E-Filing. Since all NYSCEF users must consent to participate in e-filing in a consensual Surrogate's Court proceeding, a Consent screen will appear next. As explained above, consent to participate in e-filing is not required in a mandatory Surrogate's Court proceeding. Instead, filers in a mandatory proceeding must record their representation. At the present time, the NYSCEF system in Surrogate's Court does not have the functionality to distinguish between consensual and mandatory proceedings. Therefore, filers wishing to record their representation in a mandatory proceeding should simply record their consent on the Consent screen.

NYSCEF Surrogate's Court

User: One Frame - Address TEST Address Test
File Number - Caption: JOHN DOE

Consent To File Electronically

File Record Information

File Number	Decedent	Date Of Death	Proceeding Type	Record Created	Filing User	Prmt Type
Unassigned	JOHN DOE	01/01/2010	Administration	09/21/2012	Trainee_One	
Domicile:	Address1	Address2	City	State	Zip	
	123 STREET		NY	NY	12345	
Record Id	Court	Judge Assigned	Value Of The Estate			
3484	Cayuga County Surrogate's Court		\$50,000 but under \$100,000			
Comments or Instructions						

Please select Party Role from drop down, check consent box and enter Party Represented, then click "Consent to the Selected Party " below:

Party Role	Consent	Party Represented
<input type="text" value=""/>	<input type="checkbox"/>	<input type="text" value=""/>

Party Represented Domicile			
Address1	Address2	City	State / Zip
<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/>

Consented Parties:		
Party Role	Party Represented	Consented User
<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>

I consent to be bound by the service and filing provisions of the Uniform rule for the Surrogate's Court E-Filing pilot program (22NYCRR 207.4-a) and comply with the Surrogate's Court E-Filing users manual. (Both documents can be found on the homepage of the NYSCEF website)

Consent to E-Filing does not constitute filing of a Notice of Appearance.

By checking consent above and clicking "consent to the selected party" below, I affirm that I have been retained in this proceeding by the Party named above or I am a Party to this proceeding.

-OR-

The information entered on the Create Surrogate’s E-Filing Record screen already appears at the top of the Consent screen. On this screen, you must indicate the position you are taking in the new estate (the “Party Role”) by selecting from a drop-down menu. You then check the “Consent” box and identify the party represented. By consenting, you explicitly agree to be bound by the service and filing provisions of the Surrogate’s Court E-Filing Rules (Sections 207.4-a and 207.4-aa) and this *User’s Manual*. It is suggested that you print out and maintain a signed copy of this form. (A “Print” button is provided.) A Consent Verification screen then appears. Verify that the information entered is correct and, if so, confirm consent by clicking the “Next” button. If you need to change any information, click the “Remove Consent” button and re-enter the correct information. If

you need to add a party click “Add New Party” and enter the required information.

Practice System Main Menu To-Do List File Document Inquiry Modify Profile Logout						
NYSCEF Surrogate's Court <small>User: One Trainee - Address: TEST Address, Troy File Number: - Caption: JOHN DOE</small>						
Verify Consent To File Electronically						
File Record Information						
File Number	Decedent	Date Of Death	Proceeding Type	Record Created	Filing User	Pynt Type
Unassigned	JOHN DOE	01/01/2010	Administration	09/21/2012	Trainee, One	
Domicile:	Address1	Address2	City	State	Zip	
	123 STREET		NY	NY	12345	
Record Id	Court	Judge Assigned	Value of The Estate			
3484	Cayuga County Surrogate's Court		\$50,000 but under \$100,000			
Comments or Instructions						

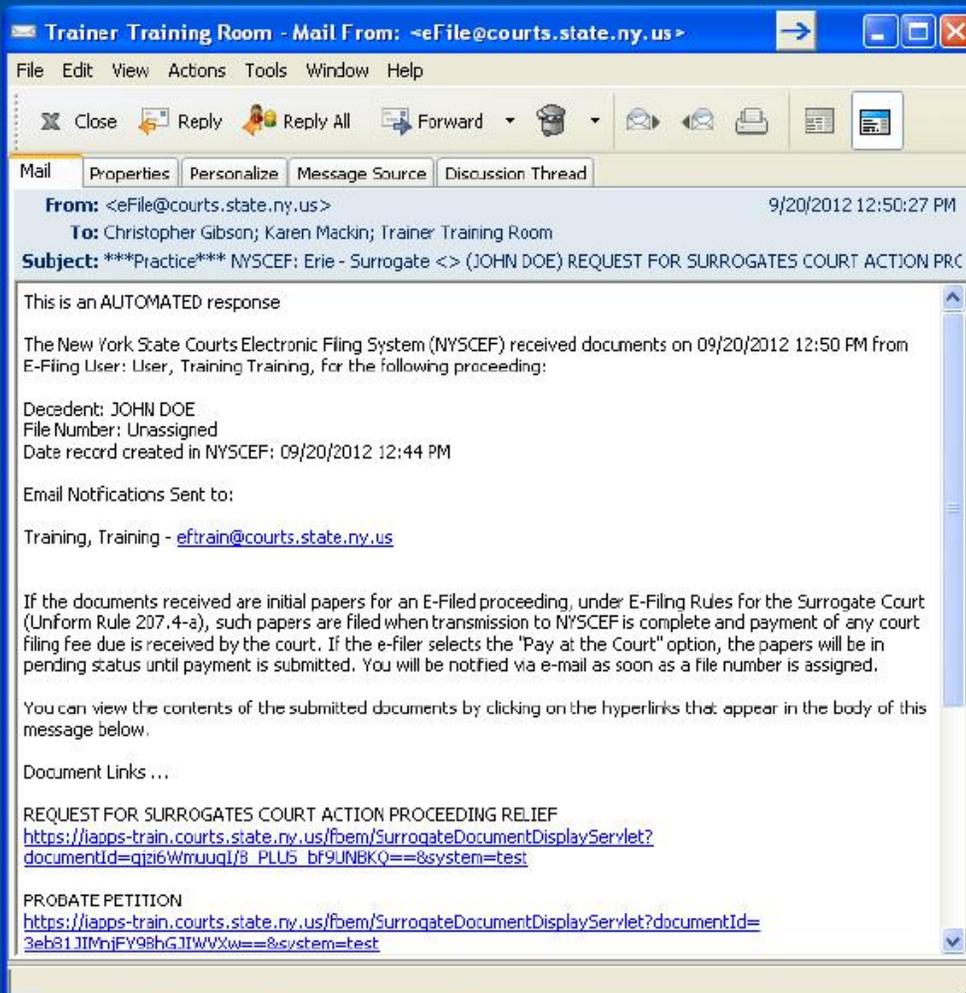
Note: If any parties were consented to by mistake, please check that party to remove your consent.

Party Role	Party Represented	Remove Consent
ASSIGNEE	sdasdfda	<input type="checkbox"/>

Click "Add New Party" to consent to additional parties or click "Next" to proceed with your filing.

The “Reset” button simply clears any fields of information you may have entered on the page you are viewing.

When the consent process is complete, you will receive an e-mail message confirming NYSCEF’s recording of your consent for the case:



c) Payment. Whenever the filing of a document requires the payment of a fee, payment is requested prior to the actual filing of the document. This is the Payment Selection screen that will appear:

NYSCEF Surrogate's Court

User: One Trainee - Address: TEST Address, Troy
File Number: - Caption: JOHN DOE

Payment Selection

NOTICE

Fees are calculated in accordance with Section 2402 of the Surrogate's Court Procedure Act based upon the documents filed with NYSCEF and the representation of the filer regarding the size of the estate. Review by the Court may result in modification of the fees initially anticipated or charged in connection with this transaction. In the event of any such modification, the proper amount will be charged to the e-filer. A receipt for the fees paid initially in connection with this transaction and any subsequent modifications will be furnished via e-mail.

[CLICK Here](#) for Surrogates Court Fee Schedule

I hereby authorize payment of fees associated with this transaction in the amount fixed by the court by the method designated:

Select Payment Method:

MasterCard/Visa

Pay Online

Documents are deemed filed when transmission with payment is complete -
22NYCRR 22NYCRR 207.4-a(e)(3)

Pay at the Surrogate's Court

Payment to be made at the Surrogate's Court

Documents are deemed filed when transmission with payment is complete -
22NYCRR 22NYCRR 207.4-a(e)(3)

At the top of this screen is a notice regarding the initial calculation of fees and the possibility that, upon court review, this initial calculation may be modified. Below the notice is a link ([Here](#)) that will connect you to the Surrogate's Court fee schedule.

You may select to pay the fees either on-line or at the Surrogate's Court by clicking the appropriate button. You may pay fees in person at the Surrogate's Court by any method traditionally accepted there, or you may send these payments by regular mail.

Note, however, that under the Rules (§207.4-a(e)(3)), a document is deemed filed when transmission to NYSCEF is complete and payment of any court filing fee is received by the court. Therefore, if you choose the Pay at Court option, the document previously transmitted to NYSCEF will not be deemed filed until payment is made at the courthouse.

If you choose to pay on-line, a second Payment Selection screen appears. This screen allows you to enter (and, if necessary, edit) the information required to charge the credit or bank card.

FILE NUMBER: - CAPTION: JOHN DOE
Payment Selection

NOTICE

Fees are calculated in accordance with Section 2402 of the Surrogate's Court Procedure Act based upon the documents filed with NYSCEF and the representation of the e-filer regarding the size of the estate. Review by the Court may result in modification of the fees initially anticipated or charged in connection with this transaction. In the event of any such modification, the proper amount will be charged to the e-filer. A receipt for the fees paid initially in connection with this transaction and any subsequent modifications will be furnished via e-mail.

[CLICK Here](#) for Surrogates Court Fee Schedule

I hereby authorize payment of fees associated with this transaction in the amount fixed by the court by the method designated:

PAYMENT METHOD SELECTED
Pay Online:

Card number:	<input type="text"/>
Type of card:	<input type="text"/>
Card expiration date:	<input type="text"/> (MM/YYYY)
Cardholder's name: (as it appears on the card)	<input type="text"/>

Billing Address:

Street Address:	<input type="text"/>
City:	<input type="text"/>
State/Zip Code:	<input type="text"/>
Phone Number:	<input type="text"/>

The same notice regarding the calculation (and possible modification) of fees that appeared at the top of the first Payment Selection screen appears here as well. Of particular importance here is the statement that you have authorized the charging of your credit or bank card in the event of a modification.

After entering all the required information into the boxes on the screen, click the "Continue" button at the bottom. A receipt will be e-mailed to you acknowledging payment of the fee and identifying the amount charged. If there is an issue with your payment (e.g., a credit limit is exhausted), you will be contacted by the court.

d) Filing Documents. After you have completed your payment selection, the Filing, or Add Documents, screen appears. This screen consists of four columns.

NYSCEF Surrogate's Court

User: One Trainee - Address: TEST Address, Troy
File Number: - Caption: JOHN DOE

You are currently entering documents to the NYSCEF Surrogate case/claim. Please do not submit encrypted documents, as the NYSCEF system performs its own encryption process upon receipt.
Note: All documents are Main Documents.

No. of Docs	Document Type	Click browse to attach document -- OR -- Enter full path name of document file	Description
<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="button" value="Browse..."/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="button" value="Browse..."/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="button" value="Browse..."/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="button" value="Browse..."/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="button" value="Browse..."/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="button" value="Browse..."/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="button" value="Browse..."/>	<input type="text"/>

In the first column – No. of Docs – you must designate the number of documents of a particular type being e-filed. In the second column, you select the name of the document from a drop-down list. (The Surrogate’s Court in question may require that the first document e-filed in a proceeding be a Request for Surrogate’s Court Action.) In the third column, you “attach” the document being e-filed. Remember, the document must be in PDF format. In addition, documents must not be encrypted since NYSCEF performs its own encryption upon receipt. To attach a document, you may either: 1) enter the file name of the document as it appears on your computer; or 2) locate the document on your computer by using the “Browse” button, then selecting and opening the document, which “attaches” it to the NYSCEF page. (It is important to be certain that your documents are

scanned in proper order (i.e., vertical and facing forward) before attaching.) In the fourth column, you may enter a description of the document, which will appear on the NYSCEF docket. You can designate and “attach” up to 30 documents in this manner and transmit all of them at once. An option is provided later on to add additional documents in the same way. You then click “Continue” to transmit the document(s).

Next, a Document Request screen opens, allowing you to request certificates of appointment and/or court-certified copies of documents.

NYSCEF Surrogate's Court
User: One Trainee - Address: TEST Address, Troy
 File Number - Caption: JOHN DOE

Domicile:	Address1	Address2	City	State	Zip
	123		CITY	NY	11111
Record Id	Court	Judge Assigned	Value of The Estate		
3485	Chautauqua County Surrogate's Court		\$50,000 but under \$100,000		
Comments or Instructions					

Request for Court-Certified Documents in an E-Filed proceeding

Enter number of Court-Certified documents requested in the quantity field(s) below and click "Request Court-Certified Documents"
 If you are not requesting Court-Certified documents, click "Next"

Description	Quantity
Preliminary Certificates	<input type="text" value="0"/>
Temporary Certificates	<input type="text" value="0"/>
Full Certificates	<input type="text" value="0"/>
Trust Certificates	<input type="text" value="0"/>
Exemplifications	<input type="text" value="0"/>
Certifications	<input type="text" value="0"/>

The top portion of this screen displays the previously entered file record information. The bottom portion of the screen allows you to obtain certain documents. If requesting documents, you enter the number of the documents in the quantity field, then

click the “Request Court Certified Documents” button. If you are not requesting any documents, simply click “Next.”

A Thank You screen confirming the transaction opens next:

NYSCEF Surrogate's Court
User: One Trainee - Address: TEST Address, Troy
 File Number - Caption: JOHN DOE

Thank you!
Date Received: 09/21/2012 11:12 AM
 Filing User: One Trainee

Your electronic filing information has been received by the court.
 A file number will be issued after presentation of proper payment to the court.

File Record Information

File Number	Decedent	Date Of Death	Proceeding Type	Record Created	Created By	P T
Unassigned	JOHN DOE	01/01/2001	Administration	09/21/2012	Trainee, One	
Domicile:	Address1	Address2	City	State	Zip	
	123		CITY	NY	11111	
Record Id	Value of The Estate	Comments or Instructions				
3485	\$50,000 but under \$100,000					

File Document Information

No. of Docs	Document Type	Description
1	ADMINISTRATION AND TEMPORARY ADMINISTRATION PETITION	

An email notification will be issued to the following:

Consented User	Primary Email

This screen confirms the information you previously furnished about the new estate, as well as about the document just filed. After the clerk has processed the fee for this new estate, NYSCEF will transmit an e-mail message advising you of the assigned File Number for the estate. This page also identifies you as the filer and your primary e-mail address through which you will receive notification of the filing.

Under the Surrogate’s E-Filing Rules, service to obtain jurisdiction will be

required by any of the methods permitted by the SCPA. In addition, the Rules require that a party who commences a Surrogate's Court proceeding electronically must serve on all other parties either a Notice Regarding Availability of Electronic Filing (in consensual proceedings) or a Notice of Commencement of Proceeding Subject to Mandatory Electronic Filing (in mandatory proceedings). These forms – SC-1 and SCM-1, respectively – are available by clicking the “Forms” button at the top of any NYSCEF page. The requisite Notice must be served, in person or by regular mail, prior to the return date of the citation. Proof of service of the Notice must be promptly filed with the court.

As other parties to the proceeding record their e-filing consents, documents filed with NYSCEF will automatically be served on them. This service consists of an e-mail notification sent to all participating e-filers' e-mail addresses along with a link to the document. As to the parties who do not consent, hard copy service by any method permitted by the SCPA is required.

2. Initiating a NYSCEF Proceeding in an Existing, Non-E-Filed Estate. To commence a new NYSCEF proceeding in an existing estate you click the circle beside “Initiate a new E-Filed proceeding in an existing estate that has not been previously E-Filed” and then click the “Continue” button. Since there is no record of the estate or proceeding in NYSCEF yet, the Surrogate's E-Filing Record screen opens. The

appearance of this screen here will differ from its appearance when a new estate is being opened. Specifically, the “Filing options” drop-down menu will only provide options consistent with the existence of a hard-copy estate. Also, since the estate already has been assigned a File Number, you must enter it here. As described above, you complete this screen and then, on the Consent screen, record your consent. The Consent Verification screen will appear and a confirmatory e-mail will be sent to you.

Next, you complete the payment process and the document-filing process.

Service of the initiating papers in the new proceeding must be made by any of the methods permitted by the SCPA. In addition, you must serve on all other parties the Notice Regarding Availability of Electronic Filing (in consensual proceedings) or the Notice of Commencement of Proceeding Subject to Mandatory Electronic Filing (in mandatory proceedings).

As other parties to the proceeding record their e-filing consents (in a consensual proceeding) or record their representation (in a mandatory proceeding), documents filed with NYSCEF will automatically be served on them. As to the parties who do not consent, hard copy service by any method permitted by the SCPA is required.

A series of e-filed proceedings may be initiated in an existing estate. Filings made in these proceedings will appear in chronological order on the e-docket in NYSCEF for the File Number assigned to the estate. The Court in question may identify and group these proceedings by unique sub-numbers (or “sub-file” numbers) of the original File

Number in the Court's case management system outside NYSCEF, but such particularized designation and sorting of documents by proceeding within a File Number will not be done in NYSCEF at this time.

3. Filing in a Non-E-Filed Proceeding. In this situation, there is a pending hard copy proceeding in an existing hard copy estate, and you, as a party to that proceeding, wish to e-file a document. This “midstream” e-filing by a party who may not have commenced the proceeding is contemplated by the Rules (§207.4-a(e)(1)). You make that choice on the Select Filing Type screen by clicking the circle beside “File a document in a non-E-Filed Estate”. This choice allows you to consent to e-filing in that matter, to e-file a document, and to pay any associated fee in the manner described previously. In some instances and in some courts, selecting this option and filing in this way will cause the Clerk to convert the hard copy proceeding to an e-filed proceeding. The Clerk will post documents previously filed in hard copy in NYSCEF under the File Number for the estate in question.

The Rules provide that a party who first files documents electronically in an existing proceeding must serve on all other parties to that proceeding a Notice Regarding Availability of Electronic Filing (in a consensual proceeding). (Mandatory e-filing would not apply to pre-existing hard-copy proceedings.) The requisite Notice must be served in person or by regular mail. From that point forward, filings can be made by consenting

users through NYSCEF using the lower of the two areas on the Select File Type screen. Again, e-service can only be made by a participating e-filer upon another participating e-filer in that proceeding (i.e., a filer who has consented).

Note that the option for filing a document in a non-e-filed estate may not be utilized in every Surrogate's Court that participates in NYSCEF. Before using this option, you should consult the E-Filing Protocol (if any exists for the court in question) or other information on e-filing made available by the court or the Clerk's Office.

B. Estates with Prior E-Filings

The lower portion of the Select Filing Type screen allows you to file documents or take other action in an existing NYSCEF estate. You have these three options:

- 1) File a proceeding/document in an E-Filed estate;
- 2) Consent to e-filing in an E-Filed proceeding; and
- 3) Request Court-Certified Documents in an E-Filed proceeding.

Home		User Manual and FAQ	Rules	Forms	Contact Us	
Practice System	Main Menu	To-Do List	File Document	Inquiry	Modify Profile	Logout

System Type

NYSCEF Surrogate's Court

User: One Trainee - Address: TEST Address, Troy

For estates in which there have been no prior E-Filings select an option and click continue below.

<input type="radio"/> File to open a new estate.
<input type="radio"/> Initiate a new E-Filed proceeding in an existing estate that has not been previously E-Filed.
<input type="radio"/> File a document in a non-E-Filed Estate.

For estates in which there have been prior E-Filings enter File Number, Court, select option and click continue below.

File Number: **In the court of:**

<input type="radio"/> File a proceeding/document in an E-Filed estate.	If court is known, but File Number is not, click Search: <input type="text" value="Search"/>
<input type="radio"/> Consent to electronic filing in an E-Filed proceeding.	
<input type="radio"/> Request for Court Certified Documents in an E-Filed proceeding.	

1. Filing a Proceeding/Document in an E-Filed Estate. If you wish to file to or take any action in a pending e-filed estate, you must first enter the File Number for the proceeding in the appropriate space and select the particular Surrogate’s Court from the drop-down menu. A search option is available if you know the particular court but not the File Number for the estate. To access this search option, click the “Search” button on the right side of the screen. The following screen will open:

Home	and FAQ	RULES	FORMS	Contact Us		
Practice System	Main Menu	To-Do List	File Document	Inquiry	Modify Profile	Logout

NYSCEF Surrogate's Court
User: Jeffrey Carucci - Address: 60 Centre Street, New York

Search

Select a Court:

Search By One Of The Criteria Listed Below:

Enter a File Number:

Enter a Decedent Name: (First) (Middle) (Last) (Suffix)

Click the File Number where it appears on the Search screen. You will then be brought back to the Select Filing Type screen with the File Number and court automatically populated. Click the “Continue” button. If you are e-filing to this matter for the first time and have not previously consented to e-filing, the Consent screen will open automatically. You will then consent by filling in all required information.

Since you previously selected the “File a proceeding/document in an E-Filed estate” on the Select Filing Type screen, the Consent screen will open to the Payment screen. This Payment screen will differ slightly from the Payment screen that appears on an initial filing in that it will include a No Payment Required option. Choose this option if you believe that the document you are filing carries no fee or if the fee otherwise applicable should be waived, e.g., if you are filing on behalf of a governmental agency.

NYSCEF Surrogate's Court

User: One Trainee - Address: TEST Address, Troy
File Number: 2009-3456 - Caption: JOHN DOE

Payment Selection

NOTICE

Fees are calculated in accordance with Section 2402 of the Surrogate's Court Procedure Act based upon the documents filed with NYSCEF and the representation of the e-filer regarding the size of the estate. Review by the Court may result in modification of the fees initially anticipated or charged in connection with this transaction. In the event of any such modification, the proper amount will be charged to the e-filer. A receipt for the fees paid initially in connection with this transaction and any subsequent modifications will be furnished via e-mail.

CLICK [Here](#) for Surrogates Court Fee Schedule

I hereby authorize payment of fees associated with this transaction in the amount fixed by the court by the method designated:

Select Payment Method:

MasterCard/Visa

Pay Online

Documents are deemed filed when transmission with payment is complete -
22NYCRR 22NYCRR 207.4-a(e)(3)

By selecting this option, I am indicating that payment of a fee is not required for this transaction.

Pay at the Surrogate's Court

Payment to be made at the Surrogate's Court

Documents are deemed filed when transmission with payment is complete -
22NYCRR 22NYCRR 207.4-a(e)(3)

After you have completed the Payment screen you will be brought to a Document List Selection screen, where you will be asked to designate the Estate Type and to choose a Filing Option before moving on to the Document Filing screen to continue with the filing.

NYSCEF Surrogate's Court

User: One Trainee - Address: TEST Address, Troy
File Number: 2009-3456 - Caption: JOHN DOE

Document List Selection

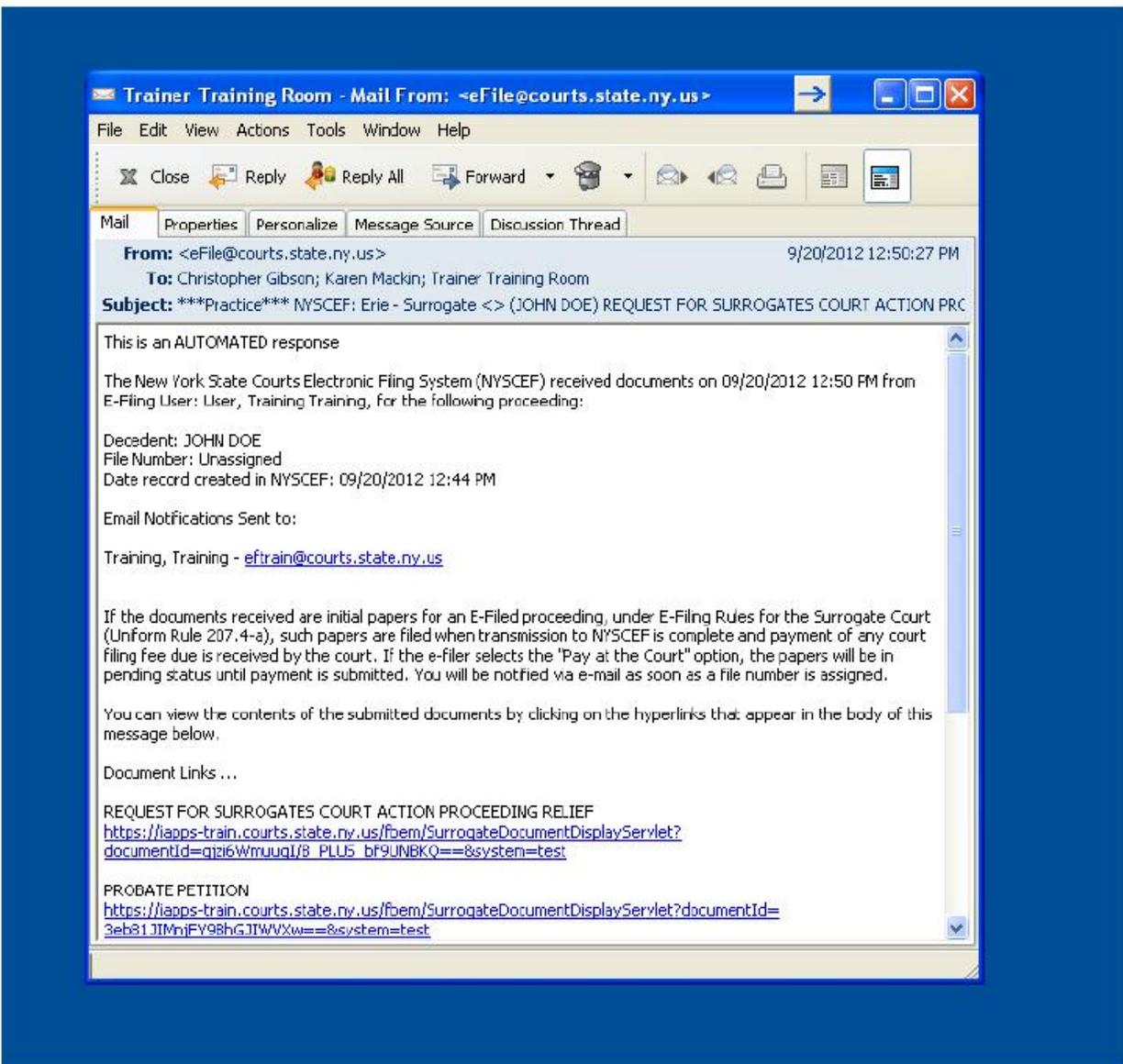
The list of Documents you can file is broken up into groups to make it shorter and more manageable. The groups are divided into the types of estates and the current status of the estate.

If you do not find a particular document in one list try a different selection.

Select Estate Type	Filing Options
<input type="radio"/> Probate	<input type="radio"/> Add documents to an estate file or proceeding
<input type="radio"/> Administration	<input type="radio"/> Close an estate file
<input type="radio"/> Voluntary Administration	
<input type="radio"/> Other	

(If you previously consented to e-filing, or are not e-filing a document to this matter for the first time, the Select Filing Type screen will open directly to the Payment and Document Filing screens. In any case, the process for payment and filing is the same as described above.)

As with an initial e-filing, a Thank You screen confirming the filing will appear and an e-mail confirmation will be sent to you immediately. However, in contrast to an initial filing, this e-mail is also transmitted to all consenting e-filers in the proceeding. This e-mail identifies, by name and primary e-mail address, all e-filers to whom it is being sent. It also contains a link to the e-filed documents:



This notification constitutes e-service on all participating parties. Any non-participating party must be served in hard copy form as allowed by the SCPA. Of course, the names of all such non-participating parties will not appear on the notification.

2. Consenting to E-Filing in an E-Filed Proceeding. If you have been served with a Notice Regarding Availability of Electronic Filing or a Notice of Commencement of Proceeding Subject to Mandatory Electronic Filing, you may wish to consent to e-filing in that proceeding without filing any documents at that time. To do so, click the circle beside “Consent to electronic filing in an E-Filed proceeding” and then click the “Continue” button in the lower right corner of the screen. The Consent screen opens, and you may fill in all the required information.

3. Request for Court Certified Documents in an E-Filed Proceeding. A party who is both a registered NYSCEF user and has consented to e-filing in a NYSCEF proceeding may obtain court certified documents and/or certificates of appointment. Click the circle beside “Request for Court Certified Documents in an E-Filed proceeding” on the Select Filing Type screen and then click the “Continue” button in the lower right corner. Unless you have not previously consented to e-filing (at which point, the Consent screen will open), the Payment screen will appear and payment must be made as described earlier. The Request Documents screen then appears:

NYSCEF Surrogate's Court

User: One Trainee - Address: TEST Address, Troy
File Number - Caption: JOHN DOE

Domicile:	Address1	Address2	City	State	Zip
	123		CITY	NY	11111
Record Id	Court	Judge Assigned	Value of The Estate		
3485	Chautauqua County Surrogate's Court		\$50,000 but under \$100,000		
Comments or Instructions					

Request for Court-Certified Documents in an E-Filed proceeding

Enter number of Court-Certified documents requested in the quantity field(s) below and click "Request Court-Certified Documents"
If you are not requesting Court-Certified documents, click "Next"

Description	Quantity
Preliminary Certificates	<input type="text" value="0"/>
Temporary Certificates	<input type="text" value="0"/>
Full Certificates	<input type="text" value="0"/>
Trust Certificates	<input type="text" value="0"/>
Exemplifications	<input type="text" value="0"/>
Certifications	<input type="text" value="0"/>

A box is provided for you to designate the type and number of documents you are requesting. You should fill the number in the quantity field for the type of certificate requested and then click the "Request Court Certified Documents" button. Note: The Clerk cannot produce certificates or court certified documents without having received payment. Therefore, you should select an electronic payment method when making this request.

V. THE FILE NUMBER INQUIRY FUNCTION

The File Number Inquiry link on the Surrogate's Court Main Menu allows a registered user to search for an existing proceeding. However, this function is not a search function in the traditional sense. All documents filed in the Surrogate's Court

through NYSCEF are treated as “secure,” meaning they are remotely accessible only by e-filers participating in the particular proceeding. Therefore, you may view e-filed documents only if you are a registered NYSCEF user and only in those proceedings in which you are participating in e-filing.

By clicking the [File Number Inquiry](#) link on the Main Menu, the following screen opens:

The screenshot shows the NYSCEF Surrogate's Court search interface. At the top, there is a navigation bar with links for HOME, and FAQ, RULES, FORMS, and Contact Us. Below this is a dark blue menu bar with buttons for Practice System, Main Menu, To-Do List, File Document, Inquiry, Modify Profile, and Logout. The main heading is "NYSCEF Surrogate's Court" with the user information "User: Jeffrey Carucci - Address: 60 Centre Street, New York". The search section is titled "Search" and includes a "Select a Court:" dropdown menu. Below this, it says "Search By One Of The Criteria Listed Below:" with "Search" and "Reset" buttons. There are two search options: "Enter a File Number:" with a text input field, and "Enter a Decedent Name:" with fields for (First), (Middle), (Last), and (Suffix), each with a text input field. "Search" and "Reset" buttons are also present at the bottom of the search section.

Select the court from the drop-down menu and then designate a method of search – by File Number or by Decedent Name – by clicking the appropriate circle. Then fill in the required information. If NYSCEF locates a responsive record, it will display the file information in a Result screen.

NYSCEF Surrogate's Court

User: Jeffrey Caruoli - Address: 80 Centre Street, New York

Search

Select a Court: Erie County Surrogate's Court

Search By One Of The Criteria Listed Below:

Search Reset

Enter a File Number: 2009-1234

Enter a Decedent Name: (First) (Middle) (Last) (Suffix)

Search Reset

Search Results:

File Number	Name	Date of Death	Address
2009-1234	J B	01/01/2009	123 MAIN BUFFALO, NY 14202

This Search Result screen shows the File Number as a link, along with the name of the decedent and other information. Click on the File Number link, and a screen displaying the Document List will open:

NYSCEF Surrogate's Court

User: Jeffrey Caruoci - Address: 80 Centre Street, New York

File Details: 2009-3456

FILE SUMMARY

File #: **2009-3456**
Court: **Erie County Surrogate's Court**
Decedent: **John Doe**

Create Date: **07/23/2009**
Created By: **Test Atty 4**
E-Filing ID: **2283**

File Detail

Documents



[Transfer/Remove Documents](#)



[Edit File](#)

To view document details, click the **Rec #** link.

Rec #	Document Description	Status	Date Received Filing User	Payment Info
1	DEATH CERTIFICATE atty cert	AE	7/23/2009 Test Atty 4	\$0 - 7/23/2009
2	REQUEST FOR SURROGATES COURT ACTION PROCEEDING RELIEF	AE	7/23/2009 Test Atty 4	\$1,250 - 7/23/2009
3	PROBATE PETITION	AE	7/23/2009 Test Atty 4	\$0 - 7/23/2009
4	REQUEST FOR COURT CERTIFIED DOCUMENTS Please click on Record # to review Request for Court Certified Documents.	AP	7/23/2009 Test Atty 4	\$6 - 7/23/2009

This e-docket consists of all e-filings in the proceeding up to that point. The documents are identified by number and appear in chronological order. Links for each entry in the “Record #,” “Document,” and “Filing User” columns access information about that filing or filer. Clicking a link in the “Document” column will open that document on screen. Clicking a link in the “Filing User” column will display information about that e-filer: name, firm, address, phone number, fax number, primary e-mail address (in bold), and any additional addresses.

The screenshot shows a web browser window with the URL <https://iapps-train.courts.state.ny.us/fbem/AttorneyInformationServlet?attorneyId=56164>. The page title is "Attorney Information". The main content is a table with the following data:

User Name:	Test Atty 4
Attorney Firm Name:	
Work Address:	1 Pine Street Buffalo, NY 14202
Work Phone Number:	518.285.0000
Work Fax Number:	
Email Address(es):	eftrain@courts.state.ny.us (Primary)

Below the table, there is a link labeled "Test Atty 4". At the bottom of the page, there is a "Return to Search" button and a note: "NOTE: Documents open as PDFs" with a "Download Adobe Reader" link.

Clicking a link in the “Record #” column for a particular document accesses the Document Detail for that document, as shown below:

NYSCEF Surrogate's Court

User: One Trainee - Address: TEST Address, Troy

Document Detail: 2009-3456

FILE SUMMARY

File #:	2009-3456	Create Date:	07/23/2009
Court:	Erie County Surrogate's Court	Created By:	Test Atty 4
Decedent:	John Doe	E-Filing ID:	2283

Document Details

Record Number: **3**
Document Type: **PROBATE PETITION**
Description:
Status: **AE**
Filed By/Date: **Test Atty 4 (7/23/2009)**
Payment Amount/Date: **\$0 - 7/23/2009**

The Document Detail screen displays information about that particular document: record number, document type, description, status, filed by/date, and payment information. A document may have a “PE” notation adjacent to it, meaning that the document is awaiting action by the clerk. Payment information, if any, will be listed here as well.

The File Detail screen has information about the file, including: court proceeding type, estate value, assigned judge, record ID, and decedent information. It lists the consenting parties, their roles, whether certificates have been requested, and authorized agent information, if any.

NYSCEF Surrogate's Court

User: One Trainee - Address: TEST Address, Troy

File Details: 2009-3456

FILE SUMMARY

File #:	2009-3456	Create Date:	07/23/2009
Court:	Erie County Surrogate's Court	Created By:	Test Atty 4
Decedent:	John Doe	E-Filing ID:	2283

File Detail Documents

File

File Number:	2009-3456
Court:	Erie County Surrogate's Court
Proceeding Type:	Probate
Estate Value:	\$50,000 but under \$100,000
Assigned Judge:	
Record ID:	2283
Created By:	Test Atty 4 on 07/23/2009
Comments:	will in court

Decedent

Name:	John Doe
AKA's:	john doe
Date of Death:	01/01/2009
Domicile:	123 MAIN STREET BUFFALO, NY, 14202

Consented Parties

Party Name	Role	Consented By
TEST TEST TEST	PUBLIC ADMINISTRATOR	One Trainee (8/21/2012)

VI. SURROGATE'S COURT TO DO LIST

The Surrogate's Court To Do List is the third of the three functions appearing in the Surrogate's Court E-Filing section of the Main Menu. Currently, this function is for court users only and is not available to filers.

VII. SERVICE OF DOCUMENTS THROUGH NYSCEF

Under the Rules, an attorney or party seeking to obtain jurisdiction over a party to a proceeding (e.g., by service of initiating documents) must serve that party by any of the methods permitted by the SCPA (§ 207.4-a(g)(1)). However, once one or more parties, other than the original e-filing party, consents to e-filing, NYSCEF serves e-filed documents upon all consenting parties.

When a document is filed with NYSCEF, the system immediately transmits an e-mail notification to all participating e-filers in the matter at the primary e-mail address for each. The e-mail identifies the filers who are the recipients of the notification and provides a link to the document. The e-filer causes this notification to be sent by posting the document on NYSCEF. Under the Rules, this posting constitutes service of the document on all participating parties (Rule § 207.4-a(g)(2)). NYSCEF also transmits the same notification to all additional e-mail addresses on file for the proceeding.

The primary e-mail address of a user in the NYSCEF system is the address to which service is made. As a result, you should be sure that an up-to-date primary e-mail address always exists in the system.

Note: parties who are not participating in e-filing must be served in hard copy.

VIII. YOUR ACCOUNT

NYSCEF users have the ability and the obligation to manage their account information. You also must immediately report to the E-Filing Resource Center any concern that your User Name and Password have been compromised.

To view additional account information, log in to the NYSCEF system and on the Main Menu page click “Modify Profile” under User Options. Note that the primary e-mail address for your account is the e-mail service address registered with the Office of Court Administration. To change your primary address for service, choose the “Forms” link at the bottom of the screen, where you will find the Change of Primary E-Mail Address form. Complete the form and transmit it to the E-Filing Resource Center. Other account information may be changed and saved. Mail to nyscef@nycourts.gov

IX. FORGOT YOUR PASSWORD

If you have forgotten either your User name or Password, click the link at the bottom of the Login screen:

HOME	and FAQ	RULES	FORMS	Contact Us
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New York State E-Filing System

NYSCEF Login



You are entering a secure area of the New York State Unified Court System. Only registered e-filing users may access filed information or submit documents for filing through use of an e-filing user's password. Filing documents without proper authorization may result in Civil or Criminal penalties.

Login ID *	<input type="text"/>
Password	<input type="password"/>

Login

To obtain a Login Id and Password, see our [Create Account](#) page.

If you have forgotten your User Id and/or Password, please [click here](#)

You will be directed to the Forgotten Password screen, where you will be asked to enter either your e-mail address (as long as the e-mail address is associated with only one User name) or your User Name. Once you click the “Submit” button, your password will be reset and your User Name and a new password will be e-mailed to you.

X. NEED ADDITIONAL HELP?

If you still have questions about NYSCEF that this manual has not answered, please contact the E-Filing Resource Center at (646) 386-3033 or nyscef@nycourts.gov or by clicking on the “Contact Us” link at the bottom of any NYSCEF screen.