

*Electronic Bankruptcy Noticing
Trading Partner
Implementation
Guide
October 2003*

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1. Becoming an Electronic Bankruptcy Noticing Trading Partner

Required Documents

Trading Partner Agreement

Bankruptcy Rule 9036, which authorizes electronic noticing, requires recipients to request electronic noticing services in writing. Creditors wishing to take advantage of electronic noticing must complete and the online sign a Noticing Partner Agreement with the court, or its designee the BNC, to ensure understanding of the EDI process and roles of the parties, and to meet legal requirements.

The process of becoming an Electronic Bankruptcy Noticing Trading Partner using electronic data interchange (EDI) is straightforward. Creditors wishing to take advantage of electronic noticing must complete and sign the online EDI Trading Partner Agreement with the court, or its designee the BNC, to ensure understanding of the EDI process and roles of the parties, and to meet legal requirements. The Trading Partner agreement explains what is expected from you to be involved in EDI noticing. Some major items covered in the agreement:

1. Parallel Mode (Paper/Electronic) production period
2. What constitutes successful delivery of the EDI notices to you
3. Paper backup of noticing if EDI process fails
4. Cancellation of EDI services

Please refer to your copy of the Trading Partner agreement to see the details for each of the above items. For information and technical support call the Bankruptcy Noticing Center at 1-877-837-3424.

2. Technical Implementation

To prepare to receive EDI Court Notices from the BNC, please follow the instructions and suggestions in the following sections describing how to establish an EDI communications pathway between your organization and the BNC.

EDI Communication Options

The BNC uses the Defense Logistic Agency's (DLA) Defense Automatic Addressing System Center (DAASC) for EDI communications with the courts' trading partners. You may choose to receive your EDI court notices via an account on the DAASC Value Added Network (VAN) or at a VAN account of your choice if the VAN is compatible with the DAASC gateway.

When deciding between a third-party VAN and the DAASC VAN as your final EDI collection agent, keep in mind that use of the DAASC VAN for EDI data exchange is free to Trading Partners exchanging data with a state or federal government entity. EDI Court Notices being sent from the U.S. Bankruptcy Courts' fit this free pricing criteria.

Regardless of what option you choose, you will need to be setup on DAASC. The BNC will contact the DLA to sponsor you when the BNC receives your first signed Trading Partner Agreement. The DAASC VAN EDI Help Desk may then contact you to implement your setup on their system. Once you are properly

setup, the Help Desk will alert the BNC that communications are ready to be tested. If you chose to establish an EDI account on their system, the Help Desk will also furnish you with a user ID and password to log into your new mailbox.

DAASC VAN Account

The DAASC VAN allows you to choose from several different communication methods including FTP via the Internet or dial-in, SMTP, Asynchronous dial-in (XModem or Kermit protocols) or Bisynchronous dial-in. The BNC uses FTP via the Internet with FTP dial-in as backup when exchanging data with the DAASC VAN. If you choose to go the FTP route, the DLA offers to you two different implementation options.

The first, and preferred option from the DLA's standpoint, is the "Push" method. When the DAASC VAN receives an EDI notice addressed to you, it will forward the document via FTP to a designated FTP server at your location. To implement this method, the DLA will need access to your FTP server. This means that you will need to furnish DAASC with your FTP server's Internet address and a user id and a password on the server.

The second option is the "Pull" method. Using this option, you log into and poll your mailbox periodically for new incoming EDI documents. Then you transfer the new documents via FTP to your EDI processing system. The "Pull" method may be preferable if your organization does not have an FTP server.

EDI System Communications Setup Considerations

The information provided in this section is intended only to highlight some of the major considerations you will encounter while setting up your EDI system to communicate via FTP with the DAASC VAN. The BNC strongly recommends that you browse the DLA's DAASC website for additional information about communication options. The Internet address for this site is <https://www.daas.dla.mil/daas-edi/edi/index.htm>. From the table of contents, check out the hyperlinks for **EDI X12 Envelopes and Control** and **Internet Access and File Naming Conventions**.

FTP Implementation

Your EDI system should have a backup method for FTP communications with the DAASC VAN. If your system is performing FTP over the Internet with the DAASC VAN, you may want to implement a backup method to establish an FTP session with the DAASC VAN over a dial-up connection. If you will be using dial-up connectivity only, then it is recommended that you have a second phone line for backup, as well as additional DAASC VAN dial-up numbers in place. Please talk to the DAASC VAN EDI Help Desk for more information.

File Naming Conventions

Files delivered by the DAASC VAN system to your mailbox, whether that mailbox is on the DAASC VAN (see "Pull" method) or being placed by DAASC on your organization's FTP server (see "Push" method), will use the following naming convention. Please note that if you are using a VAN other than DAASC, this naming convention may or may not be preserved.

D<userid><nnn...>.jjj

Where:

D - Literal indicating that this is an incoming file

<userid> - Your four letter DAASC VAN User ID

<nnn...> - Unique number generated by the DAASC system

. - Literal separator between root and Julian date
jjj - zero padded Julian date

Proper Retrieval of Incoming EDI from the Mailbox (Applies to "Pull" Method Only)

Retrieve EDI Bankruptcy Court Notices using FTP binary or image mode to ensure that EDI element and/or segment delimiters that may not be ASCII characters are not converted or dropped during transmission

Third-Party VAN Account

If you will be using a VAN other than DAASC, the DAASC VAN EDI Help Desk will establish a VAN interconnect between the DAASC VAN and your VAN. The system will then forward any EDI documents addressed to you from the BNC to your VAN for delivery to your mailbox.

Mapping the U.S. Bankruptcy Courts' ANSI ASC X12 175 Court Notice

The U.S. Bankruptcy Courts' implementation of the ANSI ASC X12 Court Notice transaction set is described in a separate document available from the BNC titled *Electronic Bankruptcy Noticing Mapping Implementation Guide for the ANSI ASC X12 175 Court Notice Transaction Set*. Please refer to this document to assist you in setting up your EDI software to translate and process the EDI Court Notices.

BNC EDI Addressing and Processing

Routing Bankruptcy Notices to be Transmitted EDI

The BNC maintains in its production database several tables that determine whether Court Notices will be generated as a printed notice or as an EDI notice. A three-step procedure is used to determine if a Trading Partner will receive a notice electronically:

- 1) All courts in the BNC system are classified as either an EDI court or not.
- 2) For each court that is currently participating in EDI Bankruptcy Noticing, the BNC maintains records in a table indicating which specific bankruptcy notice forms can be reformatted for EDI transmission.
- 3) For each EDI court/recipient combination, two lists are maintained to determine which notices are going to the given EDI recipient. Please remember that the debtor submits the name and address used by the court to send a notice to you. The BNC will use the following rules to determine if the name and address combination provided by the debtor matches one in the synonym list. The agreed upon synonym list is attached as Exhibit 2 of the Trading Partner Agreement. The matching process is as follows:
 1. The notice recipient name submitted by the debtor is normalized. Commas and periods are converted to spaces. Extraneous spaces are removed from the name.
 2. The normalized name is compared to the name synonyms listed on your Noticing Agreement that are maintained in the BNC database synonym list. A match occurs if the name matches one of the names in the BNC database. Titles count (Mr, Ms, Dr), but the match is not case

sensitive. If no match is made the matching process fails at this point.

3. The notice recipient address submitted by the debtor is examined by USPS-certified address processing software to ensure that it is a valid (deliverable) address. If the address submitted by the debtor is insufficient for the software to produce a valid 9-digit zip code, the matching process fails. If a valid 9-digit zip code is produced, the BNC will modify the zip code provided if necessary.
4. The valid 9-digit zip code produced in step 3 is compared to the 9-digit zip codes provided in your Noticing Agreement that are maintained in the BNC database. If no match is made the matching process fails at this point.
5. If the notice recipient name and address do match the name(s) and address(s) in the BNC database, the BNC will transmit the EDI notice.
6. If the notice recipient name and address do not match the name(s) and address(s) in the BNC database, the BNC will mail the notice via the US Postal Service.

Matching Examples

Note: The name AND address must match in order for the notice to be sent electronically.

Example 1 - Name Matching

| | | |
|---|---|--|
| Name(s) Provided by Noticing Partner | Robert Smith Bob Smith R. Smith Robert Smith, Esq. | |
| Name(s) Provided by Debtor(s) | BNC Matches Name Provided by Debtor | Reason |
| B. Smith | No | Normalizes ".", can't match "B" |
| Mr. Robert Smith | No | |
| Robert Smith esq | Yes | Normalizes ".", can't match "Mr" |
| R Smith | Yes | Normalizes ", " "." & case Normalizes "." |

Example 2 - Address Matching

| Address(s) Provided by Noticing Partner | Address(s) Provided by Debtor(s) | BNC Matches Address Provided | Reason |
|---|----------------------------------|------------------------------|--------|
|---|----------------------------------|------------------------------|--------|

| | | Debtor | |
|--|--|---------------|--|
| 11400 Commerce Park Drive Ste 600 Reston, VA 20191-1549 | 11400 Commerce Park Drive Reston Va 20191 | Yes | Software produces valid 4-digit zip "1549", doesn't need Ste # |
| | 11400 Commerce Park Drive Ste 600 Reston Va 20191 | Yes | Software produces valid 4-digit zip "1549" |
| | 1140 Commerce Park Drive Reston Va 20191 | No | "1140" is invalid street # |
| | 11400 Commerce Park Drive Suite 300 Reston, VA 20191-1526 | Yes | Software produces valid 4-digit zip "1549" to replace "1526", doesn't need Ste # |
| | 11400 Commerce Park Dr Ste 600 Reston VA 20190 | Yes | Software produces valid 9-digit zip "20191-1549" to replace "20190" |
| | Commerce Park Drive Reston VA 20191-1549 | No | No street # |

Receiving ANSI 175 Bankruptcy Notices from the BNC

EDI Bankruptcy Noticing follows the same production schedule as the printed notice process. The BNC polls the courts on Monday through Friday sometime between 2:00 PM and 10:00 PM EST. EDI production typically is run later that night or early the next morning. Provided there were notices to be formatted into EDI received, you can expect to receive one or more ISA envelopes per court per EDI production run.

Confirmation and Acknowledgment of EDI Court Notices Sent

Per the Trading Partner Agreement, the process of sending Court Notices electronically is considered successful if the notices that the BNC sends to you are delivered successfully to your mailbox on the DAASC VAN or your designated VAN. Whenever the BNC sends EDI Notices to your mailbox on the DAASC VAN, the DAASC system generates and deposits a positive EDI acknowledgment back to the BNC. If you are using another VAN, that VAN must immediately forward an acknowledgment of receipt to the DAASC VAN, which in turn places it in the BNC's mailbox.

In the rare case that an acknowledgment is not generated for an EDI envelope sent to you by the BNC, the BNC's EDI Send process is recorded as having

failed for the group of EDI Notices contained in that EDI envelope. In this case, the affected Bankruptcy Notices will be printed and mailed to you within two business days.

EDI Data Enveloping

Within each ISA envelope you receive there will be one functional group (175v3060) that contains all the EDI notices from that district bankruptcy court that are addressed to you (see section 2 "Routing Bankruptcy Notices to go EDI") for that cycle. Within the GS segment we will use the GS Receiver Application ID that you indicate to the BNC when your EDI account is set up with DAASC.

You will notice that ISA Interchange numbers assigned to your EDI will be unique, but will not be sequential. Functional Group numbers, however, will be sequential as would be expected. The GS header field 06 (GS06) contains a sequential number, 1..n, sent by the BNC. Any break in this number sequence indicates that you are missing an ISA envelope (EDI file).

Disseminating Originating Court Information

If you receive EDI notices from more than one court, you will need to look within the actual transaction set data to determine what court is sending you a particular notice. The CDS07 element indicates the court's district code and CDS09 indicates the office code for the court. Please refer to Code Source 36A supplied with the EDI Implementation Maps to convert the codes to the corresponding district and office names.

3. Technical Support

In the event that you should encounter any problems while setting up and/or running your EDI Bankruptcy noticing system with the BNC, please consult the troubleshooting list below.

Troubleshooting

You are not receiving any EDI Bankruptcy Notices

Initial setup and testing of EDI with you should preclude this type of problem. This problem can arise later on if you have your mailbox's "profile" (your ISA Qualifier and ID) changed by the VAN staff without the BNC's knowledge.

You are not sure about the particular meaning of a mapped EDI loop, segment and/or element in the EDI specification

Refer to the appropriate EDI Implementation Map in the *Electronic Bankruptcy Noticing Mapping Implementation Guide for the ANSI ASC X12 175 Court Notice Transaction Set* available from the BNC.

Call the BNC at 1-877-837-3424 with your question.

You are not sure how to interpret a particular EDI Bankruptcy Notice that you've received from a court

Refer to the appropriate EDI Implementation Map in the *Electronic Bankruptcy Noticing Mapping Implementation Guide for the ANSI ASC X12 175 Court Notice Transaction Set* available from the BNC; or call the BNC at 1-877-837-3424 with your question.

You've received paper notices when you were expecting EDI notices

If you receive a notice in the mail that you expected electronically, the cause may be because of a name and address matching discrepancy. This can occur if the particular variation of recipient name and address on the notice as provided by the debtor could not be matched to a name and address combination listed in your EDI Trading Partner Synonym list (Exhibit 2 of the Trading Partner Agreement). Please call the BNC at 1-877-837-3424 with the notice name and address information. The BNC will evaluate the information and provide assistance in updating your Trading Partner Agreement name and address list if appropriate.

In the event of a major communications problem with the DAASC VAN, all the Bankruptcy notices that would normally be sent via EDI will be printed and mailed.

4. Appendices

Sample EDI Notices

First Meeting

Example 1: Joint Bankruptcy Case

ST|175|1001
BGN|05|848117|970325
CDS|7|B||91-99001||FC|ILN|FD|1
LS|CED
CED|N||9C
DTM|519|911202
MSG|AMENDED TO CORRECT SSN
NM1|TO|3|LAST CHANCE AUTO LOANS, INC.
N3|COLLECTIONS DEPARTMENT
N3|100 W MAIN STREET
N3|CHICAGO, IL 60606-6060
REF|J1|111
NM1|XB|1|KRAMDEN, RALPH
N3|1313A DEADEND COURT
N4|MUNDELEIN|IL|60060-2034
REF|J1|654321
REF|SY|111-11-1111
REF|23|1
NM1|JT|1|KRAMDEN, ALICE
N3|1313A DEADEND COURT
N4|MUNDELEIN|IL|60060-2034
REF|SY|222-22-2222
REF|23|2
NM1|XD|1|MINNESOTA FATS
REF|23|1
NM1|XD|1|BEAUFORD T. JUSTICE
REF|23|1
NM1|XD|1|KRAMDEN, MAUREEN
REF|23|2
NM1|XC|1|PERRY MASON
N3|1000 EASY STREET
N3|CHICAGO, IL 60606-6060
REF|23|1
PER|KP||TE|(708) 680-9600
NM1|TY|3|SAMUEL ADAMS
N3|199 E HAWTHORN PARKWAY STE 9999
N3|VERNON HILLS, IL 60061
PER|IC||KP|(800) 555-1212
NM1|JD|1|MARSHALL|THURGOOD|ERWIN|HONORABLE|III|CT|TEM
CED|H|SL|9C
DTM|657|920117|0930
LM|UC
LQ|J1|FM
NM1|XG|2
N3|LAKEVIEW COURTHOUSE
N3|ROOM 999
N3|60 N COURTHOUSE ST
N3|WAUKEGAN, IL 60085
CED|AS|PR
CED|CL|5
DTM|658|920910
DTM|943|920910
NM1|XE|2
N3|UNITED STATES BANKRUPTCY COURT

N3|P.O. BOX A9999
N3|SOME CITY, IL 60999-9999
CED|C|CV||11
DTM|659|940623
CED|P|SL
DTM|656|920317
LM|UC
LQ|J6|ODD
LQ|J6|OD
CED|H|SL
DTM|657|970325|1000
LM|UC
LQ|J1|CB
NM1|XG|2
N3|LAKEVIEW COURTHOUSE
N3|ROOM 999
N3|60 N COURTHOUSE ST
N3|WAUKEGAN, IL 60085
LE|CED
SE|74|1001

341 Example 2: Corporate Bankruptcy Case

ST|175|1002
BGN|00|848046|970325
CDS|7|B||91-99002||FC|ILN|FD|1
LS|CED
CED|N||9C
DTM|519|910107
MSG|NOTE: SPECIAL FIRST MEETING LOCATION
NM1|TO|3|KNICKS AND KNACKS, INC.
N3|ACCOUNTS RECEIVABLE
N3|100 N LAS PALMAS BLVD
N3|HEATWAVE, AZ 99999-9999
REF|J1|123
NM1|XB|2|NED FLANDERS LEFTORIUM, INC.||||||08|2L
N3|500 S MAIN STREET
N3|SPRINGFIELD, IL 60104-1612
REF|J1|123456
REF|TJ|36-2764572
REF|23|1
NM1|XD|1|LEFTIES R US
REF|23|1
NM1|XD|1|SOUTHPAWS, INC
REF|23|1
NM1|XC|1|ROBERT S. SHAPIRO
N3|100 W BIGWIG ST. STE 1000
N3|CHICAGO, IL 60610
REF|23|1
PER|KP||TE|(312) 555-1212
NM1|TY|3|YUL TRUSTME, ESQ
N3|1000 CONFIDENCE RD, STE H
N3|SCHAUMBURG, IL 60173
PER|IC||KP|(847) 555-1212
NM1|JD|1| O'CONNOR|SANDRA|DAY|HONORABLE|IV|CT|SDO
CED|H|SL|9C
DTM|657|920117|0930
LM|UC
LQ|J1|FM
NM1|XG|2
N3|LAKEVIEW COURTHOUSE
N3|ROOM 999
N3|60 N COURTHOUSE ST
N4|WAUKEGAN|IL|60085
CED|AS|PR
CED|CL|5
DTM|658|920910
DTM|943|920910
NM1|XE|2
N3|UNITED STATES BANKRUPTCY COURT
N3|P.O. BOX A9999
N4|SOME CITY|IL|60999-9999
CED|C|CV||11
DTM|659|940623
CED|P|SL
DTM|656|920317
LM|UC
LQ|J6|ODD
LQ|J6|OD
CED|H|SL
DTM|657|970325|1000
LM|UC

LQ|J1|CB
NM1|XG|2
N3|LAKEVIEW COURTHOUSE
N3|ROOM 999
N3|60 N COURTHOUSE ST
N4|WAUKEGAN|IL|60085
LE|CED
SE|67|1002

Discharge

ST|175|1003
BGN|00|848161|970325
CDS|7|B||91-99003||FC|ILN|FD|1
LS|CED
CED|N||DIS
DTM|519|911202
NM1|TO|3|QUICK N EASY HOME EQUITY, INC.
N3|SOUR LOANS DEPARTMENT
N3|2020 BAUMGARDNER RD
N3|CHICAGO, IL 60601-3218
NM1|XB|1|CHANCE, TOM
N3|9999 TULIP LN
N4|MUNDELEIN|IL|60060-2034
REF|J1|123432
REF|SY|888-88-8888
REF|23|1
NM1|JT|1|CHANCE, RITA
N3|9999 TULIP LN
N3|MUNDELEIN, IL 60060-2034
REF|SY|999-99-9999
REF|23|2
NM1|XD|1|CHANCE, THOMASINO
REF|23|1
NM1|XD|1|METERMAID, RITA
REF|23|2
NM1|JD|1|ITO|LANCE||JUDGE||CT|LI
CED|OR|GR|DIS
DTM|657|971104
LM|UC
LQ|J2|DI
LQ|J2|DD
LE|CED
SE|33|1003

Information Contacts

Bankruptcy Noticing Center

1-877-837-3424

DAASC VAN EDI Help Desk

Tel: 937-656-3341

Email: edi@daas.dla.mil