

STATE OF MINNESOTA

IN SUPREME COURT

CX-89-1863, C6-84-2134

OFFICE OF  
APPELLATE COURTS

SEP 5 1991

**FILED**

IN RE THE UNIFORM LOCAL RULES  
TASK FORCE PROPOSALS:

PROMULGATION OF THE  
MINNESOTA GENERAL RULES OF PRACTICE  
FOR THE DISTRICT COURTS

**ORDER**

PROMULGATION OF AMENDMENTS TO  
MINNESOTA RULES OF CIVIL PROCEDURE

WHEREAS, the Supreme Court Task Force on Uniform Local Rules has proposed amendments to the Code of Rules for the District Courts and Rules 11, 38.03, 55.01, 63.03, and 83 of the Rules of Civil Procedure and has submitted the proposed amendments to the Supreme Court; and

WHEREAS, the Supreme Court held a hearing on these amendments on February 1, 1991, and is fully advised in the premises;

IT IS HEREBY ORDERED that:

1. The Code of Rules for the District Court, the Rules for Uniform Decorum in the District Courts of Minnesota, the Minnesota Civil Trialbook, the Rules of Family Court Procedure, the Minnesota Probate Rules, the Rules for the Conciliation Courts, the Conciliation Court Personal Receivership Rules--St. Louis County, and Rule 38.03 of the Rules of Civil Procedure for the District Court are repealed, effective January 1, 1992.
2. All Local Rules for each of the ten Judicial Districts are repealed, effective January 1, 1992, except the following:
  - a. Second Judicial District Local Rules 5, 24 and 25;
  - b. Fourth Judicial District Local Rules 1.01(d) and 5;
  - c. Tenth Judicial District Local Rule 14; and
  - d. Hennepin County Conciliation Court Special Rules of Procedure.

3. The attached General Rules of Practice for the District Courts and the attached amended Rules of Civil Procedure for the District Courts be, and the same are, adopted, prescribed and promulgated to be effective on January 1, 1992, for the regulation of the practice and procedure in the District Courts of the State of Minnesota. The inclusion of Task Force notes, if any, is made for convenience and does not reflect court approval of the comments made therein.
4. In all pending actions in which any paper has been filed with the District Court prior to January 1, 1992, the filing date for purposes of Rules 111 and 304 of the attached General Rules of Practice for the District Courts shall be deemed to be January 1, 1992, unless otherwise ordered by the District Court.

DATED: *September 5, 1991*

BY THE COURT:



A.M. Keith  
Chief Justice

AMENDED MINNESOTA  
RULES OF CIVIL PROCEDURE

**Rule 11.        Signing of Pleadings, Motions and Other Papers; Sanctions**

Every pleading, motion and other paper of a party represented by an attorney shall be personally signed by at least one attorney of record in the attorney's individual name and shall state the attorney's address, telephone number, and attorney registration number. A party who is not represented by an attorney shall personally sign the pleading, motion or other paper and state the pleader's address and telephone number. Except when otherwise specifically provided by rule or statute, pleadings need not be verified by affidavit or accompanied by affidavit. The signature of an attorney or party constitutes a certification that the pleading, motion or other paper has been read; that to the best of the signer's knowledge, information and belief formed after reasonable inquiry it is well grounded in fact and is warranted by existing law or a good faith argument for the extension, modification, or reversal of existing law, and that it is not interposed for any improper purpose, such as to harass or cause unnecessary delay or needless increase in the cost of litigation. If a pleading, motion or other paper is not signed, it shall be stricken unless it is signed promptly after the omission is called to the attention of the pleader or movant. If a pleading, motion or other paper is signed in violation of this rule, the court, upon motion or upon its own initiative, shall impose upon the person who signed it, a represented party, or both, an appropriate sanction, which may include an order to pay to the other party or parties the amount of the reasonable expenses incurred because of the filing of the pleading, motion or other paper, including reasonable attorney fees.

**Task Force Comment—1991 Adoption**

This rule amendment is patterned after 4th Dist. R. 1.01(c) & (e).

The Task Force believes that the simple additional requirement for signing pleadings, widely followed in practice, should best be made part of this rule governing signing of pleadings, motions and other papers.

**Rule 38        Jury Trial of Right.**

\* \* \*

**Rule 38.03**        [Rule 38.03 is repealed, effective January 1, 1992]

**Task Force Comment—1991 Adoption**

This amendment to repeal this rule is appropriate because the use of notes of issue filed by the parties will be replaced by the court-initiated scheduling. See proposed Minn. Gen. R. Prac. 111.

**Rule 55.01        Judgment**

\* \* \*

(a) When the plaintiff's claim against a defendant is upon a contract for the payment of money only, or for the payment of taxes and penalties and interest thereon owing to the state, the court administrator, upon request of the plaintiff and upon affidavit of the amount due, which may not exceed the amount demanded in the complaint or in a written notice served on the defendant in accordance with Rule 4 if the complaint seeks an unspecified amount pursuant to Rule 8.01, shall enter judgment for the amount due and costs against the defendant.

\* \* \*

(e) When judgment is entered in an action upon a promissory note, draft or bill of exchange under the provisions of this rule, such promissory note, draft or bill of exchange shall be filed with the court administrator and made a part of the files of the action.

**Task Force Comment—1991 Adoption**

Rule 55.01(e) is derived from Rule 12(c) of the Code of Rules for the District Courts.

The change in subsection (a) is intended to deal with the situation of notice of the amount of judgment sought in those cases where the complaint seeks only an unspecified amount in excess of \$50,000 pursuant to Minn. R. Civ. P. 8.01 (rule limits ad damnum clauses for unliquidated damages) and Minn. Stat. § 544.36 (1990) (statute providing same limitation).

**Rule 63            Disability or Disqualification of Judge; Notice to Remove; Assignment of a Judge**

\* \* \*

**Rule 63.03        Notice to Remove.**

Any party or attorney may make and serve on the opposing party and file with the administrator a notice to remove. The notice shall be served and filed within ten days after the party receives notice of which judge or judicial officer is to preside at the trial or hearing, but not later than the commencement of the trial or hearing.

No such notice may be filed by a party or party's attorney against a judge or judicial officer who has presided at a motion or any other proceeding of which the party has notice. A judge or judicial officer who has presided at a motion or other proceeding may not be removed except upon an affirmative showing of prejudice on the part of the judge or judicial officer.

After a party has once disqualified a presiding judge or judicial officer as a matter of right, that party may disqualify the substitute judge or judicial officer, but only by making an affirmative showing of prejudice. A showing that the judge or judicial officer might be excluded for bias from acting as a juror in the matter constitutes an affirmative showing of prejudice.

Upon the filing of a notice to remove or if a litigant makes an affirmative showing of prejudice against a substitute judge or judicial officer, the chief judge of the judicial district shall assign any other judge of any court within the district, or a judicial officer in the case of a substitute judicial officer, to hear the cause.

**Task Force Comment—1991 Adoption**

This amendment to Minn. R. Civ. P. 63.03 is intended to provide a uniform mechanism for removing any judicial officer, whether a judge or referee. This rule would replace various inconsistent provisions of the existing rules. 4th Dist. R. 16.01 requires objections to any referee to be filed one court day before the hearing. 2d Dist. R. 23 requires objection within 10 days after notice of assignment and not later than commencement, consistent with the statute and rule governing judges.

**Rule 83.            Rules by District Courts**

Any court may recommend rules governing its practice not in conflict with these rules or with the General Rules of Practice for the District Courts, and those rules shall become effective as ordered by the Supreme Court.

**Task Force Comment—1991 Adoption**

This rule replaces existing Minn. R. Civ. P. 83.



The purpose of this rule is to insure a mechanism to maintain uniformity in the local rules. The Task Force believes it is imperative that some method be enforced to provide for uniformity of rules that may be adopted in the future. This rule will allow either local rules, or statewide rules based on proposed local rules, and will permit the Supreme Court to review and coordinate the adoption of those rules. In the absence of this provision, uniformity would be achieved on the day these rules are adopted, but would disappear as soon as one court adopted a rule to supplement or vary the new Code of Rules.

The American Bar Association Standards Relating to Court Administration also favor the promulgation of uniform rules of practice issued by a central court. Standard 1.11(c) provides:

(c) Uniform standards of justice. The procedures by which the court system administers justice should be based on principles applicable throughout the system, and, so far as practicable, should be uniform in their particulars. The court system should have:

(i) Uniform rules of procedure, promulgated by a common authority;

(ii) Rules of court administration that are uniform so far as possible and have local variations only as approved by an appropriate central authority in the court system;

ABA Standards Relating to Court Administration, Standard 1.11(c)(i) & (ii) (1990).

General Rules of Practice for the District Courts

Table of Contents

TITLE I -- RULES APPLICABLE TO ALL COURT PROCEEDINGS

Rule 1	Scope of Rules; Modification; Service on Parties; Applicability to <u>Pro Se</u> Parties . . .	1
Rule 2	Court Decorum . . . . .	1
Rule 3	Ex Parte Orders . . . . .	2
Rule 4	Pictures and Voice Recordings . . . . .	2
Rule 5	Appearance by Out of State Lawyers . . . . .	3

TITLE II -- RULES GOVERNING CIVIL ACTIONS

PART A -- PLEADINGS, PARTIES, AND LAWYERS

Rule 101	Scope of Rules . . . . .	4
Rule 102	Form of Pleadings . . . . .	4
Rule 103	Proof of Service . . . . .	4
Rule 104	Certificate of Representation and Parties . . . . .	4
Rule 105	Withdrawal of Counsel . . . . .	5
Rule 106	Hearing on Motion to Remove Judge for Actual Prejudice or Bias . . . . .	6
Rule 107	Procedure for Challenge for Having a Referee Hear a Matter . . . . .	6
Rule 108	Guardian Ad Litem . . . . .	7
Rule 109	Application for Leave to Answer or Reply . . . . .	7
Rule 110	[Reserved] . . . . .	7

PART B -- SCHEDULING

Rule 111	Scheduling of Cases . . . . .	8
Rule 112	Joint Statement of the Case . . . . .	9
Rule 113	[Reserved] . . . . .	11
Rule 114	[Reserved] . . . . .	11

PART C -- MOTIONS

Rule 115	Motion Practice . . . . .	11
----------	---------------------------	----

PART D -- MISCELLANEOUS MOTION PRACTICE

Rule 116	Orders to Show Cause . . . . .	15
Rule 117	Default Hearings . . . . .	15
Rule 118	Injunctive Relief Against Municipalities. . . . .	15
Rule 119	[Reserved] . . . . .	15
Rule 120	[Reserved] . . . . .	15

PART E -- TRIAL MANAGEMENT

Rule 121	Notice of Settlement . . . . .	15
Rule 122	Continuance . . . . .	16
Rule 123	Voir Dire of Jurors in Cases in Which Insurance Company Interested in Defense or Outcome of Action . . . . .	16
Rule 124	Reporting of Opening Statement and Final Arguments . . . . .	17
Rule 125	Automatic Stay . . . . .	17
Rule 126	Judgment--Entry by Adverse Party . . . . .	17
Rule 127	Expert Witness Fees . . . . .	18
Rule 128	Retrieval or Destruction of Exhibits . . . . .	18
Rule 129	Use of Administrator's Files . . . . .	18

Rule 130	[Reserved]	18
Rule 131	[Reserved]	18
Rule 132	[Reserved]	18
Rule 133	[Reserved]	18
Rule 134	[Reserved]	18

**PART F -- SPECIAL PROCEDURES**

Rule 135	Restraining Order--Bond	18
Rule 136	Garnishments and Attachments--Bonds to Release--Entry of Judgment Against Garnishee	19
Rule 137	Receivers	19
Rule 138	Banks in Liquidation	20
Rule 139	Lawyers as Sureties	21
Rule 140	Supplemental Proceedings	21
Rule 141	Condemnation	21
Rule 142	Trustees--Accounting--Petition For Appointment	22
Rule 143	Actions by Representatives--Attorneys' Fees	23
Rule 144	Actions for Death by Wrongful Act	23
Rule 145	Actions on Behalf of Minors and Incompetent Persons	24

**PART G -- APPENDIX OF FORMS**

FORM 104	CERTIFICATE OF REPRESENTATION AND PARTIES	29
FORM 111.02	INFORMATIONAL STATEMENT (Civil Matters--Non-Family)	31
FORM 112.01	JOINT STATEMENT OF THE CASE	33
FORM 142.02	TRUSTEE'S ACCOUNTING	35

**PART H -- MINNESOTA CIVIL TRIALBOOK**

Section 1	Scope; Policy	39
Section 2	Court Decorum	39
Section 3	Role of Judges	40
Section 4	Role of Lawyers	40
Section 5	Pre-Trial Conferences	41
Section 6	Voir Dire of Jurors	43
Section 7	Preliminary Instructions	43
Section 8	Opening Statement and Final Arguments	44
Section 9	Availability of Witnesses	45
Section 10	Examination of Witnesses	45
Section 11	Interpreters	47
Section 12	Exhibits	47
Section 13	Custody of Exhibits	48
Section 14	Sealing and Handling of Confidential Exhibits	49
Section 15	Instructions	49
Section 16	Questions by Jurors	50
Section 17	Special Verdicts	51
Section 18	Polling and Discharge	51

**TITLE III -- REGISTRATION OF LAND TITLES**

**PART A -- PROCEEDINGS FOR INITIAL REGISTRATION**

Rule 201	Applicability of Rules	52
Rule 202	Applications--Indorsements	52
Rule 203	Abstracts of Title	52
Rule 204	Title Based Upon an Adjudication Not Final, or Upon Estoppel	52

Rule 205	Examiner's Report--Petition and Order for Summons	52
Rule 206	Papers to be Filed--Effect of Notice and Appearance	52
Rule 207	Affidavit of No Answer and Court Administrator's Certificate of Default	53
Rule 208	Hearings in Default Cases--Filing Papers	53
Rule 209	Issues Raised by Answer--Reply	53
Rule 210	Trial of Contested Issues	53
Rule 211	Interlocutory Decree Establishing Boundaries	53
Rule 212	Protection of Interests Acquired Pendente Lite--Provision for Immediate Registration After Hearing	53

**PART B -- PROCEEDINGS SUBSEQUENT TO INITIAL REGISTRATION**

Rule 213	Title of Proceedings	54
Rule 214	Trial and Hearing	54
Rule 215	New Certificates, Amendments, Etc.	54
Rule 216	New Duplicate Certificate	54

**PART C -- MISCELLANEOUS PROVISIONS**

Rule 217	Cases Not Requiring Special Order of Court	54
Rule 218	State Tax Deeds	55
Rule 219	Deeds of Housing and Urban Development	55
Rule 220	Birth Certificates	55
Rule 221	Death Certificates	55
Rule 222	Condominiums	56

**TITLE IV -- RULES OF FAMILY COURT PROCEDURE**

Rule 301	Applicability of Rules	57
Rule 302	Commencement; Continuance; Time; Parties	57
Rule 303	Motions; Ex Parte Relief; Orders to Show Cause; Orders and Decrees	59
Rule 304	Scheduling Of Cases	64
Rule 305	Prehearing Conferences	65
Rule 306	Default	66
Rule 307	Final Hearings	67
Rule 308	Final Decree	68
Rule 309	Contempt	69
Rule 310	Mediation	70
Rule 311	Forms	73
Rule 312	Review of Referee's Findings or Recommendations	73

**APPENDIX OF FORMS**

FORM 1	APPLICATION FOR TEMPORARY RELIEF	75
FORM 2	PREHEARING STATEMENT	79
FORM 3	APPENDIX A	84
FORM 4A	NOTICE FOR IMPLEMENTATION OF BIENNIAL COST OF LIVING ADJUSTMENT	91
FORM 4B	COST OF LIVING ADJUSTMENT CALCULATION	92
FORM 5A	NOTICE TO OBLIGOR OF MEDICAL SUPPORT ENFORCEMENT	93
FORM 5B	NOTICE TO EMPLOYER OR UNION OF MEDICAL SUPPORT	94
FORM 6A	NOTICE OF INCOME WITHHOLDING	95
FORM 6B	ORDER FOR IMMEDIATE INCOME WITHHOLDING	96
FORM 7	NOTICE OF ORDER TO PAYOR OF FUNDS	97
FORM 8A	NOTICE OF ENTRY AND DOCKETING OF MAINTENANCE JUDGMENT	98
FORM 8B	AFFIDAVIT OF DEFAULT OF MAINTENANCE	99
FORM 8C	SUPPLEMENTAL AFFIDAVIT OF DEFAULT OF MAINTENANCE JUDGMENT	100

FORM 8D	NOTICE OF ENTRY AND DOCKETING OF SUPPORT JUDGMENT .....	101
FORM 8E	AFFIDAVIT OF DEFAULT OF SUPPORT JUDGMENT .....	102
FORM 9	INFORMATIONAL STATEMENT (Family Court Matters) .....	103

TITLE V -- PROBATE RULES

Rule 401	Applicability of Rules .....	106
Rule 402	Definitions .....	106
Rule 403	Documents .....	106
Rule 404	Notice in Formal Proceedings .....	107
Rule 405	Interim Orders .....	107
Rule 406	Uncontested Formal Proceedings .....	108
Rule 407	Appointment .....	108
Rule 408	Informal Proceedings .....	108
Rule 409	Formal Testacy and Appointment Proceedings .....	110
Rule 410	Transfer of Real Estate .....	110
Rule 411	Closing Estates .....	111
Rule 412	Fees, Vouchers, and Tax Returns .....	111
Rule 413	Subsequent Proceedings .....	111
Rule 414	Fiduciaries .....	112
Rule 415	Registrar .....	112
Rule 416	Guardianships and Conservatorships .....	112

TITLE VI -- CONCILIATION COURT RULES

Rule 501	Applicability of Rules .....	115
Rule 502	Jurisdiction .....	115
Rule 503	Powers; Issuance of Process .....	115
Rule 504	Computation of Time .....	115
Rule 505	Judge(s); Administrator; Reporting .....	116
Rule 506	Commencement of Action .....	116
Rule 507	Fees; Affidavit in Lieu of Fees .....	116
Rule 508	Complaint; Contents; Verification .....	117
Rule 509	Summons; Trial Date .....	117
Rule 510	Counterclaim .....	117
Rule 511	Counterclaim in Excess of Court's Jurisdiction .....	118
Rule 512	Trial .....	118
Rule 513	Absolute or Conditional Costs; Filing of Orders .....	119
Rule 514	Notice of Order for Judgment .....	119
Rule 515	Entry of Judgment .....	119
Rule 516	Costs and Disbursements .....	119
Rule 517	Payment of Judgment .....	120
Rule 518	Docketing of Judgment in District Court .....	120
Rule 519	Judgment Payable in Installments .....	120
Rule 520	Vacation of Judgment Order and Judgment .....	121
Rule 521	Removal to District Court; Appeal .....	121
Rule 522	Issues; Amendments in District Court .....	122
Rule 523	Procedure in District Court .....	123
Rule 524	Costs in District Court .....	123
Rule 525	Appeal .....	123

APPENDIX OF FORMS

Form UCF-8	Statement of Claim and Summons .....	125
Form UCF-9	Judgment and Notice of Judgment .....	127
Form UCF-10	Defendant's Counterclaim and Notice of Hearing .....	129
Form UCF-22	Financial Disclosure Form .....	130

**TITLE VII -- HOUSING COURT RULES--HENNEPIN AND RAMSEY COUNTIES**

Rule 601	Applicability of Rules .....	132
Rule 602	Housing Court Referee .....	132
Rule 603	Parties .....	132
Rule 604	Complaint .....	133
Rule 605	Return of Summons .....	133
Rule 606	Filing of Affidavits .....	133
Rule 607	Calendar Call .....	134
Rule 608	Withheld Rent .....	134
Rule 609	Restitution .....	134
Rule 610	Motions .....	134
Rule 611	Review of Referee's Decision .....	134
Rule 612	Discovery .....	135

**TITLE VIII -- RULES RELATING TO CRIMINAL MATTERS**

Rule 701	Applicability of Rules .....	136
Rule 702	Bail .....	136
Rule 703	Certificates of Representation .....	137
Rule 704	Timely Appearances .....	137
Rule 705	Complaints and Warrants--Submission to Second Judge .....	138
Rule 706	Custody of Exhibits .....	138

**TITLE IX -- JURY MANAGEMENT RULES**

Rule 801	General Policy .....	139
Rule 802	Definitions .....	139
Rule 803	Jury Commissioner .....	139
Rule 804	Jury Administration Plan .....	140
Rule 805	Random Selection Procedures .....	140
Rule 806	Jury Source List .....	140
Rule 807	Jury Questionnaire and Summons. One-Step Process .....	141
Rule 808	Qualifications for Jury Service .....	141
Rule 809	Discrimination Prohibited .....	142
Rule 810	Excuses and Deferrals .....	142
Rule 811	Term of Jury Service .....	142
Rule 812	Juror Use .....	143
Rule 813	Challenging Compliance with Selection Procedure .....	143
Rule 814	Records .....	143

**GENERAL RULES OF PRACTICE  
FOR THE DISTRICT COURTS**

**TITLE I – RULES APPLICABLE TO ALL COURT PROCEEDINGS**

**Rule 1 Scope of Rules; Modification; Service on Parties; Applicability to Pro Se Parties**

**Rule 1.01 Scope.** These rules shall apply in all trial courts of the state. These rules may be cited as Minn. Gen. R. Prac. \_\_\_\_.

**Rule 1.02 Modification.** A judge may modify the application of these rules in any case to prevent manifest injustice.

**Rule 1.03 Service on Parties.** When a paper is to be served on a party under these rules, service shall be made on the party's lawyer if represented, otherwise on the nonrepresented party directly

**Rule 1.04 Responsibility of Parties Appearing Pro Se.** Whenever these rules require that an act be done by a lawyer, the same duty is required of a party appearing pro se.

Cross Reference: Minn. R. Civ. P. 5.02, 83.

**Rule 2 Court Decorum**

**Rule 2.01 Conduct of judges and lawyers.** Dignity and solemnity shall be maintained in the courtroom. Lawyers shall appear in court in appropriate courtroom attire. There shall be no unnecessary conversation, loud whispering, newspaper or magazine reading or other distracting activity in the courtroom while court is in session.

**Rule 2.02 Addressing Court or Jury.** Except when making objections, lawyers shall rise and remain standing while addressing the court or the jury. In addressing the court, the lawyer shall refer to the judge as "Your Honor" or "The Court." Counsel shall not address or refer to jurors individually or by name or occupation, except during voir dire. During court proceedings, counsel shall not exhibit familiarity with the judge, jurors, witnesses, parties or other counsel, nor address them by first names (except for children).

**Rule 2.03 Approaching Bench.** The lawyers should address the court from counsel table. If a lawyer finds it necessary to discuss some question out of the hearing of the jury at the bench, the lawyer may so indicate to the court and, if invited, approach the bench for the purpose indicated. Lawyers shall not lean upon the bench or appear to engage the court in a familiar manner.

Cross Reference: Minn. Civ. Trialbook §§ 2-4.

**Task Force Comment—1991 Adoption**

Rule 2.01 is derived from Rules 2-3 of the Rules of Uniform Decorum respectively.

Rule 2.02 is derived from Rule 13 of the Rules of Uniform Decorum, and existing Trialbook ¶¶ 29 and 58. The provisions of rule 2.02 require counsel to stand when addressing comments, objections, or arguments to the judge or jury.

Rule 2.03 is derived from Rule 14 of the Rules of Uniform Decorum.

### **Rule 3 Ex Parte Orders**

**Rule 3.01 Notice.** In any application for ex parte relief, the court may require a demonstration or explanation of the efforts made to notify affected parties, or the reasons why such efforts were not made. The reasons supporting ex parte relief should be recited in the order.

**Rule 3.02 Prior Application.** Before an ex parte order is issued, an affidavit shall be submitted with the application showing:

- (1) No prior applications for the relief requested or for a similar order have been made;
- or,
- (2) The court and judge to whom the prior application was made; the result of the prior application; and what new facts are presented with the current application.

Failure to comply with this rule may result in vacation of any order entered.

#### **Task Force Comment--1991 Adoption**

Rule 3.01 is new, although it codifies the practice of the vast majority of judges.

Rule 3.02 is derived from Rule 10 of the Code of Rules for the District Courts. This rule applies in all trial court proceedings, including criminal actions. The Minnesota Supreme Court Advisory Committee on Criminal Procedure joins the Task Force in recommending that this rule apply in all trial court proceedings.

The review of the efforts made to provide notice is an integral part of permitting ex parte relief to be granted. The rule does not specify what showing must be made and does not state how it is to be made because the Task Force recognizes that a wide variety of circumstances apply to the seeking and obtaining of ex parte orders. In some circumstances, there may be proper reasons to justify ex parte relief even if notice could be given, and in those limited instances, a showing of those reasons should be made and reviewed by the court. The more common situation will involve description of the efforts made to give notice. The court may require the information in written or affidavit form, may take oral testimony, or may base the decision on the statements of counsel, either in person or by telephone. The Task Force also believes that if notice to affected parties is deemed unnecessary, the order should state the facts supporting ex parte relief without notice.

### **Rule 4 Pictures and Voice Recordings**

No pictures or voice recordings, except the recording made as the official court record, shall be taken in any courtroom, area of a courthouse where courtrooms are located, or other area designated by published local rule, during a trial or hearing of any case or special proceeding incident to a trial or hearing, or in connection with any grand jury proceeding.

This rule shall be superseded by specific rules of the Minnesota Supreme Court relating to use of cameras in the courtroom or use of videotaped recording of proceedings to create the official record of any case.

#### **Task Force Comment--1991 Adoption**

This rule is derived from the current local rules of three districts.

It appears that this rule is desired by the benches of three districts and it may be useful to have an articulated standard for the guidance of lawyers, litigants, the press, and the public.

The Supreme Court has adopted rules allowing cameras in courtrooms in limited circumstances, and it is inappropriate to have a written rule that does not accurately state the standards which lawyers are expected to follow. See In re Modification of Canon 3A(7) of the Minnesota Code of Judicial Conduct, No. C7-81-300 (Minn. S. Ct. May 22, 1989). The court has recently ordered an experimental program for videotaped recording of



proceedings for the official record in the Third, Fifth and Seventh Judicial Districts. In re Videotaped Records of Court Proceedings in the Third, Fifth, and Seventh Judicial Districts, No. C4-89-2099 (Minn. S. Ct. Nov. 17, 1989) (order). The proposed local rule is intended to allow the local courts to comply with the broader provisions of the Supreme Court Orders, but to prevent unauthorized use of cameras in areas of the courthouse where there is no right to access with cameras.

**Rule 5 Appearance by Out of State Lawyers**

Lawyers duly admitted to practice in the trial courts of any other jurisdiction may appear in any of the courts of this state provided (a) the pleadings are also signed by a lawyer duly admitted to practice in the State of Minnesota, and (b) such lawyer admitted in Minnesota is also present before the court, in chambers or in the courtroom or participates by telephone in any hearing conducted by telephone. In a subsequent appearance in the same action the out-of-state lawyer may, in the discretion of the court, conduct the proceedings without the presence of Minnesota counsel.

Any lawyer appearing pursuant to this rule shall be subject to the disciplinary rules and regulations governing Minnesota lawyers and by applying to appear or appearing in any action shall be subject to the jurisdiction of the Minnesota courts.

**Task Force Comment--1991 Adoption**

This rule is derived from 3rd Dist. R. 1.

This rule is intended to supplement Minn. Stat. § 481.02 (1990) and would supersede the statute to the extent the rule may be inconsistent with it. This rule recognizes and preserves the power and responsibility of the court to determine the proper role to be played by lawyers not admitted to practice in Minnesota.

## TITLE II -- RULES GOVERNING CIVIL ACTIONS

### PART A -- PLEADINGS, PARTIES, AND LAWYERS

#### Rule 101 Scope of Rules

Rules 101 through 145 shall apply in all civil actions, except those governed by the Rules of Juvenile Procedure.

#### Rule 102 Form of Pleadings

**Rule 102.01 Format.** All pleadings or other papers required to be filed shall be double spaced and legibly handwritten, typewritten, or printed on one side on plain unglazed paper of good texture. Every page shall have a top margin of not less than one inch, free from all typewritten, printed, or other written matter. The original papers produced and filed by facsimile transmission as allowed by the Rules of Civil Procedure and in accordance with any supplemental Supreme Court rules or orders shall also be filed.

**Rule 102.02 Paper Size.** All papers served or filed by any party shall be on standard size 8½ X 11 inch paper.

**Rule 102.03 Backings Not Allowed.** No pleading, motion, order, or other paper offered to the court administrator for filing shall be backed or otherwise enclosed in a covering. Any papers that cannot be attached by a single staple in the upper lefthand corner shall be clipped or tied by an alternate means at the upper lefthand corner.

**Cross Reference:** Minn. R. Civ. P. 5.05, 10.

#### Task Force Comment--1991 Adoption

This rule is based on 4th Dist. R. 1.01 (a) & (b), with changes.

Although the rule permits the filing of handwritten documents, the clearly preferred practice in Minnesota is for typewritten documents. Similarly, commercially printed papers are rarely, if ever, used in Minnesota trial court practice, and the use of printed briefs in appellate practice is discouraged.

#### Rule 103 Proof of Service

When service has been made before filing, proofs of service shall be affixed to all papers so that the identity of the instrument is not obscured. If a document is filed before service, proof of service shall be filed promptly after service is made.

**Cross Reference:** Minn. R. Civ. P. 4.06, 5.04.

#### Task Force Comment--1991 Adoption

This rule derived from Rule 13 of the Code of Rules for the District Courts.

The second sentence is new, drafted to provide for filing of documents where service is to be made after filing.

#### Rule 104 Certificate of Representation and Parties

A party filing a civil case shall, at the time of filing, notify the court administrator in writing of the name, address, and telephone number of all counsel and unrepresented parties, if known (see form 104 appended to these rules). If that information is not then known to the filing party, it shall be provided to

the court administrator in writing by the filing party within seven days of learning it. Any party impleading additional parties shall provide the same information to the court administrator. The court administrator shall, upon receipt of the completed certificate, notify all parties or their lawyers, if represented by counsel, of the date of filing the action and the file number assigned.

**Cross Reference:** Minn. R. Civ. P. 5.04.

**Task Force Comment—1991 Adoption**

This rule is derived from 7th Dist. R. 7 (eff. Jan. 1, 1990).

The final sentence is derived from 2d Dist. R. 2(b).

This rule formalizes the requirement to provide information about all parties when an action is filed. Its need derives from the commencement of actions by service and the fact that many pleadings are routinely not filed. The certificate of representation and parties serves a purpose of allowing the court to give notice of assignment of a judge to the case (in those districts making that assignment prior to trial), thereby triggering for all parties the 10-day period to remove an assigned judge under Minn. R. Civ. P. 63.

This requirement now exists in the Fourth and Seventh districts, and seems to be the type of requirement the Task Force seeks to make uniform statewide. The required information may be submitted in typed form or on forms available from the court administrator. A sample form is included in the Appendix of Forms as Form 104.

**Rule 105      Withdrawal of Counsel**

After a lawyer has appeared for a party in any action, withdrawal will be effective only if written notice of withdrawal is served on all parties who have appeared, or their lawyers if represented by counsel, and is filed with the court administrator. The notice of withdrawal shall include the address and phone number where the party can be served or notified of matters relating to the action.

Withdrawal of counsel does not create any right to continuance of any scheduled trial or hearing.

**Task Force Comment—1991 Adoption**

The Task Force believes that uniformity in withdrawal practice and procedure would be desirable. Existing practice varies, in part due to differing rules and in part due to differing practices in the absence of a rule of statewide application. The primary concern upon withdrawal is the continuity of the litigation. Withdrawal should not impose additional burdens on opposing parties. The Task Force considered various rules that would make it more onerous for lawyers to withdraw, but determined those rules are not necessary nor desirable. Consistent with the right of parties to proceed pro se, they may continue to represent themselves where their lawyers have withdrawn. This rule establishes the procedure for withdrawal of counsel; it does not itself authorize withdrawal nor does it change the rules governing a lawyer's right or obligation to withdraw in any way. See Minn. R. Prof. Cond. 1.16. The rule does not affect or lessen a lawyer's obligations to the client upon withdrawal. Those matters are governed by the Minnesota Rules of Professional Conduct. See Minn. R. Prof. Cond. 1.16. Enforcement of those rules is best left to the Lawyers Professional Responsibility Board.

The rule makes it clear that the withdrawal of counsel does not, in itself, justify continuance of any trial or hearing. Of course, withdrawal or substitution of counsel may be part of a set of circumstances justifying the exercise of the court's discretion to grant a continuance.

**Rule 106 Hearing on Motion to Remove Judge for Actual Prejudice or Bias**

All motions for removal of a judge, referee, or judicial officer, on the basis of actual prejudice or bias shall be heard in the first instance by the judge sought to be removed. If that judge denies the motion, it may subsequently be heard and reconsidered by the Chief Judge of the district or another judge designated by the Chief Judge.

**Cross Reference:** Minn. R. Civ. P. 63.02.

**Task Force Comment--1991 Adoption**

Minn. R. Civ. P. 63.02 does not currently specify the procedure to be followed when a motion is made to remove a judge from hearing a case on the grounds of actual bias or prejudice. This rule requires the motion to be heard initially by the judge sought to be removed, and allows the chief judge of the district to reconsider the motion if it is denied by the affected trial judge. The rule does not require the party seeking removal to bring the motion for reconsideration before the chief judge; it merely permits that reconsideration. Bringing the motion for reconsideration should not be construed as any condition precedent to appellate review, whether by appeal or extraordinary writ.

The rule intentionally allows a motion for reconsideration only if the trial court denies the motion for removal. If the motion is granted, it should only be addressed further on appeal.

The procedure for review by the chief judge of the district is not entirely satisfactory. Consideration should be given to facilitating appeal of these issues to the appellate courts, but the Task Force did not directly address this question because of the current limited jurisdiction of the appellate courts to hear appeals of decisions by judges declining to recuse themselves.

**Rule 107 Procedure for Challenge for Having a Referee Hear a Matter**

Any party objecting to having any referee hear a contested trial, hearing, motion or petition shall serve and file the objection within ten days of notice of the assignment of a referee to hear any aspect of the case, but not later than the commencement of any hearing before a referee.

**Cross Reference:** Minn. R. Civ. P. 63.

**Task Force Comment--1991 Adoption**

This rule serves to comply with the requirements of Minn. Stat. § 484.70, subd. 6 (1990), which provides:

No referee may hear a contested trial, hearing, motion or petition if a party or lawyer for a party objects in writing to the assignment of the referee to hear the matter. The court shall, by rule, specify the time within which an objection must be filed.

This rule is intended to specify the procedure for filing this notice. The procedure and time limits are derived from the requirements of Minn. R. Civ. P. 63.03 for removing a judge by notice to remove. The Task Force believes it is desirable to use the same procedures, time limits, and time calculation rules for these different types of removal.

This rule should apply to all referee assignments with the exception of referees assigned in Housing Court in Ramsey and Hennepin Counties. These courts are governed by Rule 602 of these rules.

**Rule 108      Guardian Ad Litem**

**Rule 108.01      Role of Guardian.** Whenever the court appoints a guardian ad litem, the guardian ad litem shall be furnished copies of all pleadings, documents and reports by the party or agency which served or submitted them. A party or agency submitting, providing or serving reports and documents to or on a party or the court, shall provide copies promptly thereafter to the guardian ad litem.

Upon motion, the court may extend the guardian ad litem's powers as it deems necessary. Except upon a showing of exigent circumstances, the guardian ad litem shall submit any recommendations, in writing, to the parties and to the court at least 10 days prior to any hearing at which such recommendations shall be made. For purposes of all oral communications between a guardian ad litem and the court, the guardian ad litem shall be treated as a party.

**Rule 108.02      Guardian Not Lawyer for Any Party.** The guardian ad litem shall not be a lawyer for any party to the action.

**Cross Reference:** Minn. R. Civ. P. 17.

**Task Force Comment--1991 Adoption**

This rule requires all discussions with a guardian ad litem regarding a case to be made as if the guardian ad litem were a party. It does not prohibit general discussions or briefing of guardians ad litem or potential guardians ad litem from taking place ex parte.

In personal injury actions, neither the lawyer nor any member of the lawyer's firm should be guardian. For the same reason, such a lawyer should not accept a referral fee with respect to the guardianship.

**Rule 109      Application for Leave to Answer or Reply**

**Rule 109.01      Requirement of Affidavit of Merits.** Any application for leave to answer or reply after the time limited by statute or rule, or to open a judgment and for leave to answer and defend, shall be accompanied by a copy of the answer or reply, and an affidavit of merits and be served on the opposite party.

**Rule 109.02      Contents of Required Affidavits.** In an affidavit of merits made by the party, the affiant shall state with particularity the facts relied upon as a defense or claim for relief, that the affiant has fully and fairly stated the facts in the case to counsel, and that the affiant has a good and substantial defense or claim for relief on the merits, as the affiant is advised by counsel after such statement and believes true, and the affiant shall also give the name and address of such counsel.

An affidavit shall also be made by a lawyer who shall state that from the showing of the facts made by the party to the lawyer believes that such party has a good and substantial defense or claim for relief on the merits.

**Cross Reference:** Minn. R. Civ. P. 4.043, 6.02, 59.03, 59.05, 60.02.

**Task Force Comment--1991 Adoption**

This rule is derived from Rule 22 of the Code of Rules for the District Courts.

**Rule 110      [Reserved]**

## PART B -- SCHEDULING

### Rule 111 Scheduling of Cases

**Rule 111.01 Scope.** The purpose of this rule is to provide a uniform system for scheduling matters for disposition and trial in civil cases, excluding only the following:

- (a) Conciliation court actions and conciliation court appeals where no jury trial is demanded;
- (b) Family court matters arising under Minn. Stat. ch. 257, 260, 518, 518A, 518B, and 518C;
- (c) Public assistance appeals under Minn. Stat. § 256.045, subd. 7;
- (d) Unlawful detainer actions pursuant to Minn. Stat. §§ 566.01, et seq.;
- (e) Implied consent proceedings pursuant to Minn. Stat. § 169.123;
- (f) Juvenile court proceedings;
- (g) Civil commitment proceedings subject to the Special Rules of Procedure Governing Proceedings Under the Minnesota Commitment Act of 1982;
- (h) Probate court proceedings;
- (i) Periodic trust accountings pursuant to Minn. Gen. R. Prac. 142;
- (j) Proceedings under Minn. Stat. § 609.748 relating to harassment restraining orders; and
- (k) Proceedings for registration of land titles pursuant to Minn. Stat. ch. 508.

The court may invoke the procedures of this rule in any action where not otherwise required.

**Rule 111.02 The Party's Informational Statement.** Within sixty days after an action has been filed, each party shall submit, on a form to be available from the court (see form 111.02 appended to these rules), the information needed by the court to manage and schedule the case. The information provided shall include:

- (a) The status of service of the action;
- (b) Whether the statement is jointly prepared;
- (c) Description of case;
- (d) Whether a jury trial is requested or waived;
- (e) Discovery contemplated and estimated completion date;
- (f) Whether assignment to an expedited, standard, or complex track is requested;
- (g) The estimated trial time;
- (h) Any proposals for adding additional parties;
- (i) Other pertinent or unusual information that may affect the scheduling or completion of pretrial proceedings;
- (j) Whether alternative dispute resolution is recommended;
- (k) A proposal for establishing any of the deadlines or dates to be included in a scheduling order pursuant to Minn. Gen. R. Prac. 111.03.

### Rule 111.03 Scheduling Order

(a) **When Issued.** No sooner than sixty days and no longer than ninety days after an action has been filed, the court shall enter its scheduling order. The court may issue the order after either a telephone or in-court conference, or without a conference or hearing if none is needed.

(b) **Contents.** The scheduling order shall establish a date for the completion of discovery. The order may also establish any of the following:

- (1) Deadlines for joining additional parties, whether by amendment or third-party practice;
- (2) Deadlines for bringing non-dispositive or dispositive motions;
- (3) Deadlines or specific dates for submitting particular issues to the court for consideration;

- (4) A deadline for completing any independent physical, mental or blood examination pursuant to Minn. R. Civ. P. 35;
- (5) A date for a formal discovery conference pursuant to Minn. R. Civ. P. 26.06, a pretrial conference or conferences pursuant to Minn. R. Civ. P. 16, or a further scheduling conference.
- (6) Deadlines for filing any pre-trial submissions, including proposed instructions, verdicts, or findings of fact, witness lists, exhibits lists, statements of the case or any similar documents;
- (7) Whether the case is a jury trial, or court trial if a jury has been waived by all parties;
- (8) A date for submission of a Joint Statement of the Case pursuant to Minn. Gen. R. Prac. 112; or
- (9) A trial date.

**Rule 111.04 Amendment.** A scheduling order pursuant to this rule may be amended at a pre-trial conference or upon motion for good cause shown. Except in unusual circumstances, a motion to extend deadlines under a scheduling order shall be made before the expiration of the deadline. The court may issue more than one scheduling order.

**Cross Reference:** Minn. R. Civ. P. 16, 26.06, 35, 36, 38; Minn. Civ. Trialbook § 5.

#### **Task Force Comment—1991 Adoption**

This rule is new. This rule is intended to establish a uniform, mandatory practice of dealing with scheduling in every case by some court action. The rule does not establish, however, a single means of complying with the scheduling requirement nor does it set any rigid or uniform schedules.

Although the rule allows parties to submit scheduling information separately, this information may also be submitted jointly and required to be submitted jointly. In many cases, the efficient handling of the case may be fostered by the parties meeting to discuss scheduling issues and submitting a joint statement.

The rule contemplates establishment of a separate deadline for completion of an independent medical examination because the Task Force believes that it is frequently desirable to allow such an examination to take place after the conclusion of other discovery. The rule does not create any specific schedule for independent medical examinations, but allows, and encourages, the court to consider this question separately. The timing of these examinations is best not handled by rigid schedule, but rather, by the exercise of judgment on the part of the trial judge based upon the views of the lawyers, any medical information bearing on timing and the status of other discovery, as well as the specific factors set forth in Minn. R. Civ. P. 35. The Task Force considered a new rule expressly to exempt the use of requests for admissions pursuant to Minn. R. Civ. P. 36 from discovery completion deadlines in the ordinary case. The Task Force determined that a separate rule exempting requests for admissions from discovery deadlines in all cases was not necessary, but encourages use of extended deadlines for requests for admissions in most cases. The primary function served by these requests is not discovery, but the narrowing of issues, and their use is often most valuable at the close of discovery. *See R. Haydock & D. Herr, Discovery Practice* § 7.2 (2d ed. 1988). Because requests for admissions serve an important purpose of narrowing the issues for trial and resolving evidentiary issues relating to trial, it is often desirable to allow use of these requests after the close of other discovery.

#### **Rule 112 Joint Statement of the Case**

**Rule 112.01 When Required.** As a case progresses, the court may find it advisable to implement the scheduling order and procedures of Minn. Gen. R. Prac. 111 by requiring the parties to report on the status of the case. This report shall be made in the form entitled Joint Statement of the Case (see Form

112.01 appended to these rules). The court may also choose to direct the filing of separate statements of the case. If the parties are directed to file a joint statement of the case, the plaintiff shall initiate and schedule the meeting and shall be responsible for filing the Joint Statement of the Case within these time limits.

**Rule 112.02 Contents.** The Joint Statement of the Case shall contain the following information to the extent applicable:

- (a) a statement that all parties have been served, that the case is at issue, and that all parties have joined in the filing of the Statement of the Case.
- (b) an estimated trial time.
- (c) whether a jury trial has been requested, and if so, by which party.
- (d) counsels' opinion whether the case should be handled as an expedited, standard, or complex case (determination to be made by the court).
- (e) a concise statement of the case indicating the facts that Plaintiff(s) intend to prove and the legal basis for all claims.
- (f) a concise statement of the case indicating the facts that Defendant(s) intend to prove and the legal basis for all defenses and counterclaims.
- (g) names and addresses of all witnesses known to the lawyer or client who may be called at the trial by each party, including expert witnesses and the particular area of expertise each expert will be addressing.

**Rule 112.03 Contents--Personal Injury Actions.** In cases involving personal injury, the Joint Statement of the Case shall also include a statement by each claimant, whether by complaint or counter-claim, setting forth the following:

- (a) a detailed description of claimed injuries, including claims of permanent injury. If permanent injuries are claimed, the name of the doctor or doctors who will so testify;
- (b) an itemized list of special damages to date including, but not limited to, auto vehicle damage and method of proof thereof; hospital bills, x-ray charges, and other doctor and medical bills to date; loss of earnings to date fully itemized; and
- (c) whether parties will exchange medical reports (*See* Minn. R. Civ. P. 35.04).

**Rule 112.04 Contents--Vehicle Accidents.** In cases involving vehicle accidents, the Joint Statement shall also include the following:

- (a) a description of vehicles and other instrumentalities involved with information as to ownership or other relevant facts; and
- (b) name of insurance carriers involved, if any.

**Rule 112.05 Hearing.** If no Joint Statement has been timely filed, the court may set the matter for hearing.

**Cross Reference:** Minn. R. Civ. P. 16, 35.04; Minn. Civ. Trialbook § 5.

#### **Task Force Comment--1991 Adoption**

This rule is new. The procedures implemented by this rule supplement the procedures of Rule 111.

The rule does not require that a joint statement of the case be used. The court can direct the parties to file separate statements, although the same format should be followed for such separate statements of the case.

The requirement that the parties confer to prepare a statement does not require a face-to-face meeting; the conference can be by telephone if that is suited to the needs of the particular case.



**PART C – MOTIONS**

**Rule 115 Motion Practice**

**Rule 115.01 Scope and Application.** This rule shall govern all civil motions, except those in family court matters governed by Minn. Gen. R. Prac. 301 through 312 and in commitment proceedings subject to the Special Rules of Procedure Governing Proceedings Under the Minnesota Commitment Act of 1982.

(a) **Definitions.** Motions are either dispositive or non-dispositive, and are defined as follows:

(1) Dispositive motions are motions which seek to dispose of all or part of the claims or parties, except motions for default judgment. They include motions to dismiss a party or claim, motions for summary judgment and motions under Minn. R. Civ. P. 12.02(a)-(f).

(2) Non-dispositive motions are all other motions, including but not limited to discovery, third party practice, temporary relief, intervention or amendment of pleadings.

(b) **Time.** The time limits in this rule are to provide the court adequate opportunity to prepare for and promptly rule on matters, and the court may modify the time limits, provided, however, that in no event shall the time limited be less than the time established by Minn. R. Civ. P. 56.03. Whenever this rule requires documents to be filed with the court administrator within a prescribed period of time before a specific event, filing may be accomplished by mail, subject to the following: (1) 3 days shall be added to the prescribed period; and (2) filing shall not be considered timely unless the documents are deposited in the mail within the prescribed period. Service of documents on parties by mail is subject to the provisions of Minn. R. Civ. P. 5.02 and 6.05.

**Rule 115.02 Obtaining Hearing Date; Notice to Parties.** A hearing date and time shall be obtained from the court administrator or a designated motion calendar deputy. A party obtaining a date and time for a hearing on a motion or for any other calendar setting, shall promptly give notice advising all other parties so that cross motions may, insofar as possible, be heard on a single hearing date.

**Rule 115.03 Dispositive Motions.**

(a) No motion shall be heard until the moving party serves a copy of the following documents on opposing counsel and files the original with the court administrator at least 28 days prior to the hearing:

- (1) Notice of motion and motion;
- (2) Proposed order;
- (3) Any affidavits and exhibits to be submitted in conjunction with the motion; and
- (4) Memorandum of law.

(b) The party responding to the motion shall serve a copy of the following documents on opposing counsel and shall file the originals with the Court Administrator at least 9 days prior to the hearing:

- (1) Memorandum of law; and
- (2) Supplementary affidavits and exhibits.

(c) **Additional Requirement for Summary Judgment Motions.** For summary judgement motions, the memorandum of law shall include:

(1) A statement by the moving party of the issues involved which are the grounds for the motion for summary judgment;

(2) A statement identifying all documents (such as depositions or excerpts thereof, pleadings, exhibits, admissions, interrogatory answers, and affidavits) which comprise the record on which the motion is made. Opposing parties shall identify in their responding Memorandum of Law any additional documents on which they rely;

(3) A recital by the moving party of the material facts as to which there is no genuine dispute, with a specific citation to that part of the record supporting each fact, such as deposition page and line or page and paragraph of an exhibit. A party opposing the motion shall, in like manner, make a recital of any material facts claimed to be in dispute; and

(4) The party's argument and authorities. These additional requirements apply also to a motion under Minn. R. Civ. P. 12 if factually based. Part (3) is excluded from the page limitations of this rule.

**Rule 115.04 Non-dispositive Motions.**

(a) No motion shall be heard until the moving party serves a copy of the following documents on the other party or parties and files the original with the court administrator at least 14 days prior to the hearing:

(1) Notice of motion and motion;

(2) Proposed order;

(3) Any affidavits and exhibits to be submitted in conjunction with the motion; and

(4) Any memorandum of law the party intends to submit.

(b) The party responding to the motion shall serve a copy of the following documents on the moving party and other interested parties and shall file the original with the court administrator at least 7 days prior to the hearing:

(1) Any memorandum of law the party intends to submit; and

(2) Any relevant affidavits and exhibits.

**Rule 115.05 Page Limits.** No memorandum of law submitted in connection with either a dispositive or nondispositive motion shall exceed 35 pages, exclusive of the recital of facts required by Minn. Gen. R. Prac. 115.03(c)(3), except with permission of the court. For motions involving discovery requests, the moving party's memorandum shall set forth only the particular discovery requests and the response or objection thereto which are the subject of the motion, and a concise recitation of why the response or objection is improper.

**Rule 115.06 Failure to Comply.** If the moving papers are not properly served and filed, the hearing may be cancelled by the court. If responsive papers are not properly served and filed in a non-dispositive motion, the court may deem the motion unopposed and may grant the relief requested without a hearing. For a dispositive motion, the court, in its discretion, may refuse to permit oral argument by the party not filing the required documents, may allow reasonable attorney's fees, or may take other appropriate action.

**Rule 115.07 Relaxation of Time Limits.** If irreparable harm will result absent immediate action by the court, or if the interests of justice otherwise require, the court may waive or modify the time limits established by this rule.

**Rule 115.08 Witnesses.** No testimony will be taken at motion hearings except under unusual circumstances. Any party seeking to present witnesses at a motion hearing shall obtain prior consent of

the court and shall notify the adverse party in the motion papers of the names and addresses of the witnesses which that party intends to call at the motion.

**Rule 115.09 Telephone Hearings.** When a motion is authorized by the court to be heard by telephone conference call, the moving party shall be responsible either to initiate the conference call or to comply with the court's instructions on initiation of the conference call. If necessary, adequate provision shall be made by the court for a record of the telephone hearing.

**Rule 115.10 Settlement Efforts.** No motion will be heard unless the parties have conferred either in person, or by telephone, or in writing in an attempt to resolve their differences prior to the hearing. The moving party shall initiate the conference. The moving party shall certify to the court, before the time of the hearing, compliance with this rule or any reasons for not complying, including lack of availability or cooperation of opposing counsel. Whenever any pending motion is settled, the moving party shall promptly advise the court.

**Cross Reference:** Minn. R. Civ. P. 7, 56.

#### **Task Force Comment—1991 Adoption**

This rule is derived primarily from Rule 15 of the Local Rules of the Seventh District. Provisions are also included from Rule 8 of the Local Rules of the Second District (2d Dist. R. 8(h)(1) & 8(j)(1)).

This rule is intended to create uniform motion practice in all districts of the state. The existing practices diverge in many ways. The inconsistent requirements for having a motion heard impose significant burdens on litigants and their counsel. The Task Force is confident that this new rule will make civil practice more efficient and fairer, consistent with the goals of the rules of civil procedure set forth in Minn. R. Civ. P. 1.

The time limits set forth in this rule were arrived at after extensive discussion. The Task Force attempted to balance the needs of the courts to obtain information on motions sufficiently in advance of the hearing to permit judicial preparation and the needs of counsel and litigants to have prompt hearings after the submission of motions. The time limits for dispositive motions are admittedly longer than the 10-day requirement set forth in Minn. R. Civ. P. 56.03. The Task Force is of the view that these requirements are not necessarily inconsistent because the rules serve two different purposes. The civil procedure rule establishes a minimum notice period to the adversary, while this provision in the general rules of practice sets forth a standard to facilitate the court's consideration of the motions. The time requirements of this rule may be readily modified by the court, while the minimum notice requirements of Minn. R. Civ. P. 56.03 is mandatory unless waived by the parties themselves. *See McAllister v. Independent School District No. 306*, 276 Minn. 549, 149 N.W.2d 81 (1967). The time limits have been slightly modified from the Task Force's original to reflect the motion practice deadlines now established and followed in the federal court by Minnesota. The local rules of the United States District Court for the District of Minnesota were recently amended, effective Feb. 1, 1991. *See Rule LR7.1 (b)(1) (D. Minn.)* (moving papers for dispositive motions now due 28 days before hearing). The Task Force believes it is desirable to remove minor differences between state and federal court practice where no overriding purpose exists for the differences.

The statements of facts required by this rule are made for the purpose of the then-pending motion only, and are not to be judicial admissions for other purposes. The Task Force modified the existing local rule in the seventh district to remove any provision that might suggest that summary judgment motions would be treated as defaults if the required statements of fact were not submitted or that might be interpreted to reduce the factual record for summary judgment motions from that specified in Minn. R. Civ. P. 56.05. This

will avoid the conflict dealt with by the Minnesota Court of Appeals in *Bunkowske v. Briard*, 461 N.W.2d 392 (Minn. Ct. App. 1990). Counsel seeking to have the court consider matters located elsewhere in the court file will need to identify those materials in the statements of facts required by the rule, but will not have to refile the documents.

Rule 115.10 is a new requirement in the statewide rules, but is a familiar one to most lawyers. Many state and federal courts require parties to meet and confer in an attempt to resolve discovery disputes. See Second Dist. Rule 8(h); Fourth Dist. Rule 2.02; R. Haydock & D. Herr, *Discovery Practice* § 8.2 & n.3 (2d ed. 1988) (federal court local rules collected). The Task Force believes that it is reasonable and worthwhile to require informal efforts to attempt to resolve all motion disputes, not just discovery disputes. The Task Force also believes, however, that a rule requiring a face-to-face meeting in all situations would be unwise. This rule requires that some appropriate efforts be made to resolve motion disputes before hearing with the court, but does not specify a specific mechanism. In some instances, a face-to-face meeting will be productive; in other cases a short phone call will suffice to exhaust any possibility of resolution of the matter. The Task Force considered exempting dispositive motions from the requirements of the rule in view of the likely futility of conferring with adversaries over matters that would be dispositive, but determined that the effort expended in conferring in these matters is justified by the likely resolution or narrowing of some disputes or focusing of the dispute for judicial resolution.

Rule 115.02 is a new provision intended both to give parties notice of hearings in advance of the minimum required by other rules. It is intended primarily to prevent a party from obtaining a hearing date and time weeks in advance of a hearing but then delaying giving notice until shortly before the hearing. This practice appears to give an unnecessary tactical advantage to one side. Additionally, by requiring that more than the minimum notice be given in many cases, it will be possible for the responding parties to set on for hearing any additional motions they may have. This may result in the more efficient hearing of multiple motions on a single hearing date.

The definitions of "dispositive" and "non-dispositive" motions should be fairly easy to follow in practice. The definitions are similar to those used in Minnesota federal court practice, see Local Rule 4 (D. Minn), reprinted in Minn. Rules of Ct. 885-86 (West. 1990). Federal court practice treats motions for interlocutory injunctive relief as dispositive because these matters are heard with other dispositive motions before judges rather than magistrates, but there is no reason to treat these motions as dispositive in state-court practice. Indeed, most such motions in state court are heard on expedited schedules set at the time of initial appearance.

The language of rule 115.06 permits the court, but does not require it, to strike a motion where the rule is not followed. The permissive language is included to make it clear the court retains the discretion to hear matters even if the rules have been ignored, but should not be viewed as suggesting that the court needs to provide a hearing on whether such a motion will be stricken. Courts may administratively provide that hearings on motions not served and filed in accordance with the rule will be automatically or routinely cancelled.

The Task Force considered the adoption of the Seventh District's rule that called for the trial judge to "make every effort" to rule on non-dispositive motions on the day of hearing and dispositive motions within 30 days of hearing. Seventh Dist. R. 15(8). That provision was adopted as part of the revision of motion practice in that district whereby earlier briefing was required with the expected result of earlier decision. Although the purpose of that rule is laudable, the Task Force decided it is not good practice to adopt rules that are purely hortatory in nature, and do not impose any specific requirements or standards. Nonetheless, the Task Force hopes that those benefits of early briefing will flow from the proposed changes on a statewide basis. The Task Force also noted that a statute governs the outer limits of the time for decision. See Minn. Stat. § 546.27, subd. 1 (1990) (establishing 90-day period for decision).

## PART D – MISCELLANEOUS MOTION PRACTICE

### Rule 116 Orders to Show Cause

An order to show cause will be issued only in a case where a statute or rule of civil procedure provides that such an order may be issued or where the court deems it necessary to require the party to appear in person at the hearing.

**Cross Reference:** Minn. R. Civ. P. 7.

#### Task Force Comment—1991 Adoption

This rule is derived from existing Rule 21 of the Code of Rules for the District Courts.

### Rule 117 Default Hearings

**Rule 117.01 Scheduling Hearings.** Default hearings are scheduled as motions, and a date and time for default hearings shall be obtained from the court administrator or a designated motion assignment deputy.

**Rule 117.02 Proof of Claim.** A party entitled to judgment by default shall move the court for judgment in that party's favor, setting forth by affidavit the facts which entitle that party to relief. Either the party or the party's lawyer may make the affidavit, which may include reliable hearsay.

**Cross Reference:** Minn. R. Civ. P. 54.03, 55.01.

#### Task Force Comment—1991 Adoption

The procedure for scheduling a hearing on a default is the same as that under Rule 115.02 for scheduling motion hearings.

### Rule 118 Injunctive Relief Against Municipalities.

No applications for temporary restraining orders against any city, county, state or governmental agency will be granted without prior oral or written notice to the adverse party. The applications shall be accompanied by a written statement describing the manner of notice.

**Cross Reference:** Minn. R. Civ. P. 65.

#### Task Force Comment—1991 Adoption

This rule is derived from Second District Rule 8(j)(1).

Rules 119; 120 [Reserved]

## PART E – TRIAL MANAGEMENT

### Rule 121 Notice of Settlement

When any action in which any pleading or other paper has been filed is settled, counsel shall immediately advise the appropriate assignment office, and shall also advise the office of the judge assigned to the case or then assigned to hear any matter relating to the case.

**Cross Reference:** Minn. R. Civ. P. 40, 41.

**Task Force Comment--1991 Adoption**

This rule is based on 2d Dist. R.9(a). Other districts have similar rules. This new rule, derived from current local rule provisions, makes explicit what courts now expect and which common courtesy requires.

**Rule 122 Continuance**

If a trial setting has been established by scheduling order after hearing the parties, the court shall decline to consider requests for continuance except those made by motion or when a judge determines that an emergency exists. A single request for a reasonable continuance of a trial setting set by notice without hearing should be granted by the court upon agreement of all parties, provided that the request is made within 20 days after notice of the setting to the parties. All other requests for continuance shall be made by motion with notice to all parties.

**Cross Reference:** Minn. R. Civ. P. 40.

**Task Force Comment--1991 Adoption**

This rule reflects the result of extensive discussions by the Task Force. This rule is intended to create a uniform continuance practice statewide, consistent with the widely differing assignment practices. The rule creates a presumptive right to one continuance only in cases where a trial setting is made mechanically and without consultation of the parties and their lawyers and then only if all parties agree. If the setting has been made after hearing parties, there would be no presumed continuance. In any case, the court can deny requests for continuance.

**Rule 123 Voir Dire of Jurors in Cases in Which Insurance Company Interested in Defense or Outcome of Action**

In all civil jury cases, in which an insurance company or companies are not parties, but are interested in the defense or outcome of the action, the presiding judge shall, upon the request of any party, be advised of the name of such company or companies, out of the hearing of the jury, as well as the name of the local agent of such companies. When so disclosed, no inquiry shall be permitted by counsel as to such names in the hearing of the jury, nor shall disclosure be made to the jury that such insurance company is interested in the action.

During examination of the jurors by the court, the jurors shall, upon request of any party, be asked collectively whether any of them have any interest as policyholders, stockholders, officers, agents or otherwise in the insurance company or companies interested in the defense or outcome of the action, but such question shall not be repeated to each individual juror. If none of the jurors indicate any such interest in the company or companies involved, then no further inquiry shall be permitted with reference thereto.

If any of the jurors manifest an interest in any of the companies involved, then the court shall further inquire of such juror or jurors as to any interest in such company, including any relationship or connection with the local agent of such interested company, to determine whether such interests or relationship disqualifies such juror.

**Cross Reference:** Minn. R. Civ. P. 47; Minn. Civ. Trialbook § 6.

**Task Force Comment--1991 Adoption**

This rule is derived from Rule 31 of the Code of Rules for the District Courts. The rule is modified to specify that the court conducts the examination of potential jurors about their possible involvement with any interested insurers, thereby allowing the subject to be covered without the potential for introducing prejudice, rather than revealing it. The court

should exercise its discretion to make certain that any affirmative answers to the court's questions be fully explored. *See Hunt v. Regents of Univ. of Minn.*, 460 N.W.2d 28, 33-34 (Minn. 1990).

**Rule 124 Reporting of Opening Statement and Final Arguments**

Opening statements and final arguments shall be reported.

**Cross Reference:** Minn. R. Civ. P. 39.04; Minn. Civ. Trialbook § 8.

**Task Force Comment--1991 Adoption**

This rule is new. The practice of various courts in reporting opening statements and final arguments has not been uniform. The Task Force strongly recommends that the rules provide for reporting of all opening statements and final arguments so that these portions of the trial proceedings are available for transcription. Most judges now follow this practice. In some cases, parties exercising their right to make a record of these trial proceedings have been presented with bills from the official court reporter for this service. In the absence of an order for a transcript, the Task Force believes no extra charges should properly be made for the mere making of a record of what transpires in the trial court.

**Rule 125 Automatic Stay**

The court administrator shall stay entry of judgment for thirty days after the court orders judgement unless the court orders otherwise. Upon expiration of the stay, the court administrator shall promptly enter judgment.

**Cross Reference:** Minn. R. Civ. P. 58.

**Task Force Comment--1991 Adoption**

This rule is derived from 7th Dist. R. 11, and is similar to the local rules in other districts.

This rule reflects a common practice in the trial courts, even in those districts that do not have a specific rule requiring a stay. The Task Force believes it is a desirable to make this practice both uniform and explicit. The stay allows parties to file post-trial motions and to perfect an appeal without entry of judgment or formal collection efforts. At the end of the 30-day period, stay is governed by Minn. R. Civ. P. 62.03 and the supersedeas bond requirements of the Minnesota Rules of Civil Appellate Procedure.

**Rule 126 Judgment--Entry by Adverse Party**

When a party is entitled to have judgment entered in that party's favor upon the verdict of a jury, report of a referee, or decision or finding of the court, and neglects to enter the same for 10 days after the rendition of the verdict or notice of the filing of the report, decision or finding; or after the expiration a stay, the opposite party may cause judgment to be entered on five days' notice to the party entitled thereto.

**Cross Reference:** Minn. R. Civ. P. 58.

**Task Force Comment--1991 Adoption**

This rule is derived from existing Rule 17 of the Code of Rules for the District Courts.

**Rule 127      Expert Witness Fees**

On affidavit showing that a fee equalling or exceeding \$300.00 per day has been billed, the court administrator may tax \$300.00 per day for an expert witness fee as a disbursement in a civil case, subject to increase or decrease by a judge. The amount allowed shall be in such amount as is deemed reasonable for such services in the community where the trial occurred and in the field of endeavor in which the witness has qualified as an expert. No allowance shall be made for preparation or in conducting of experiments outside the courtroom by an expert.

**Cross Reference:** Minn. R. Civ. P. 54.

**Task Force Comment--1991 Adoption**

This rule is derived from Rule 11 of the Code of Rules for the District Courts.

**Rule 128      Retrieval or Destruction of Exhibits**

It shall be the duty of the lawyer or party offering exhibits in evidence to remove all exhibits from the custody of the court upon final disposition of a case. Failure to do so within 15 days of being notified to do so will be deemed authorization to destroy such exhibits.

**Cross Reference:** Minn. R. Civ. P. 43, 77; Minn. Civ. Trialbook §§ 13, 14.

**Task Force Comment--1991 Adoption**

This rule is derived from 2d Dist. R. 11, with changes.

**Rule 129      Use of Administrator's Files**

No papers on file in a cause shall be taken from the custody of the court administrator except upon order of the court.

**Cross Reference:** Minn. R. Civ. P. 77; Minn. Civ. Trialbook §§ 13, 14.

**Task Force Comment--1991 Adoption**

This rule is derived from Rule 12(b) of the Code of Rules for the District Courts, without substantial change.

**Rules 130 - 134 [Reserved]**

**PART F -- SPECIAL PROCEDURES**

**Rule 135      Restraining Order--Bond**

Before any restraining order shall be issued, except in aid of writs of execution or replevin, in harassment proceedings, in actions for dissolution of marriage or orders for protection in domestic abuse proceedings, or in any other case exempted by law, the applicant shall give a bond in the penal sum of at least \$2,000, executed by the applicant or by some person for the applicant as a principal, approved by the court and conditioned for the payment to the party restrained of such damages as the restrained person shall sustain by reason of the order, if the court finally decides that the applicant was not entitled thereto.

**Cross Reference:** Minn. R. Civ. P. 65.



**Task Force Comment--1991 Adoption**

This rule is derived from Rule 24 of the Code of Rules for the District Courts.

By statute, governmental entities are not required to post bonds for temporary restraining orders. Minn. Stat. § 574.18 (1990). In addition, the court may waive the bond requirement when granting an order temporarily restraining an action on a contract for the conveyance of real estate. Minn. Stat. § 559.211 (1990). Accordingly, a specific provision allowing waiver of the bond requirement is included in the rule for cases provided by law.

**Rule 136 Garnishments and Attachments--Bonds to Release--Entry of Judgment Against Garnishee**

**Rule 136.01 Bond.** Garnishments or attachments shall not be discharged through a personal bond under Minn. Stat. § 571.61, without one day's written notice of the application therefor to the adverse party; but if a surety company's bond is given, notice shall not be required.

**Rule 136.02 Requirement of Notice.** Judgment against a garnishee shall be entered only upon notice to the garnishee and the defendant, if known to be within the jurisdiction of the court, showing the date and amount of the judgment against the defendant, and the amount for which plaintiff proposes to enter judgment against the garnishee after deducting such fees and allowances as the garnishee is entitled to receive. If the garnishee appears and secures a reduction of the proposed judgment, the court may make an appropriate allowance for fees and expense incident to such appearance.

**Cross Reference:** Minn. R. Civ. P. 64.

**Task Force Comment--1991 Adoption**

This rule is derived from Rule 15 of the Code of Rules for the District Courts.

**Rule 137 Receivers**

**Rule 137.01 Venue.** All actions or proceedings for the sequestration of the property of corporations or for the appointment of receivers thereof, except actions or proceedings instituted by the Attorney General in behalf of the state, shall be instituted in the county in which the principal place of business of said corporation is situated; provided, that for the convenience of witnesses and to promote the ends of justice the venue may be changed by order of court.

**Rule 137.02 Appointment of Receivers.** Receivers, trustees, guardians and others appointed by the court to aid in the administration of justice shall be wholly impartial and indifferent to all parties in interest, and selected with a view solely to their character and fitness. Except by consent of all parties interested, or where it clearly appears that prejudice will otherwise result, no person who is or has been during the preceding year a stockholder, director or officer of a corporation shall be appointed as receiver for such corporation. Receivers shall be appointed only upon notice to interested parties, such notice to be given in the manner ordered by the court; but if it shall be clearly shown that an emergency exists requiring the immediate appointment of a temporary receiver, such appointment may be made ex parte.

**Rule 137.03 Bond.** Every receiver after appointment shall give a bond to be approved by the court in such sum and conditioned as the court shall direct, and shall make and file with the court administrator an inventory and estimated valuation of the assets of the estate in the receiver's custody; and, unless otherwise ordered, appraisers shall then be appointed and their compensation fixed by order of the court.

**Rule 137.04 Claims.** Claims of creditors of corporations, the subject of sequestration or receivership proceedings, shall be duly verified and filed in the office of the court administrator. The court, by order,

shall fix the time for presentation, examination and adjustment of claims and the time for objecting thereto, and notice of the order shall be given by such means, including publication if deemed desirable, as the court therein shall direct. Written objections to the allowance of any claim may be made by the party to the proceeding by serving a copy of such objection upon the claimant or the claimant's lawyer. Where no objection is made within the time fixed by said order, the claim may stand admitted and be allowed without proof. Issues of law and fact shall be tried as in other cases.

**Rule 137.05 Annual Inventory and Report.** Every receiver shall file an annual inventory and report showing the condition of the estate and a summary of the proceedings to date. The clerk shall keep a list of receiverships and notify each receiver and the court when such reports are due.

**Rule 137.06 Lawyer as Receiver.** When a lawyer has been appointed receiver, no lawyer for such receiver shall be employed except upon the order of the court, which shall be granted only upon the petition of the receiver, stating the name of counsel whom the receiver wishes to employ and showing the necessity for such employment.

**Rule 137.07 Employment of Counsel.** No receiver shall employ more than one counsel, except under special circumstances requiring the employment of additional counsel; and in such cases only after an order of the court made on a petition showing such circumstances, and on notice to the party or person on whose behalf or application the receiver was appointed. No allowance shall be made to any receiver for expenses paid or incurred in violation of this rule.

**Rule 137.08 Use of Funds.** No receiver or other trustee appointed by the court, nor any lawyer acting for such receiver or trustee, shall withdraw or use any trust funds to apply on the receiver's compensation for services except on written order of court, duly made after such notice as the court may direct, and filed in the proceeding.

**Rule 137.09 Allowance of Fees.** All applications for the allowance of fees to receivers and their lawyers shall be accompanied by an itemized statement of the services performed and the amount charged for each item shown.

Compensation of receivers and their lawyers shall be allowed only upon the order of the court after such notice to creditors and others interested as the court shall direct, of the amounts claimed, as compensation and of the time and place of hearing the application for their allowance.

**Rule 137.10 Final Account.** Every receiver shall take a receipt for all disbursements made by him in excess of one dollar, shall file the same with the final account, and shall recite such filing in a verified petition for the allowance of such account. Final accounts shall disclose the status of the property of the estate as to unpaid or delinquent taxes and the same shall be paid by the receiver to the extent that the funds in the receiver's custody permit, over and beyond costs and expenses of the receivership.

Cross Reference: Minn. R. Civ. P. 66.

#### **Task Force Comment--1991 Adoption**

This rule is derived from Rule 23 of the Code of Rules for the District Courts.

#### **Rule 138 Banks in Liquidation**

Petitions for orders approving the sale or compounding of doubtful debts, or the sale of real or personal property, or authorizing a final dividend, of any bank, state or national, in liquidation, shall be heard after notice to all interested persons given as herein provided.

Upon the filing of the petition, the court shall enter an order reciting the substance of the petition and the time and place for hearing thereon, and advising all interested parties of their right to be heard.

A copy of the order shall be published once in a legal newspaper published near the location of the bank in liquidation, which publication shall be made at least ten days prior to the time fixed for the hearing; or the court may direct notice to be given by such other method as it shall deem proper. If it shall appear to the court that delay may prejudice the rights of those interested, the giving of notice may be dispensed with.

**Cross Reference:** Minn. R. Civ. P. 66.

**Task Force Comment--1991 Adoption**

This rule is derived from Rule 5 of the Code of Rules for the District Court.

**Rule 139 Lawyers as Sureties**

No practicing lawyer shall be accepted as surety on a bond or undertaking required by law.

**Cross Reference:** Minn. R. Civ. P. 67.

**Task Force Comment--1991 Adoption**

This rule is derived from Rule 4 of the Code of Rules for the District Courts.

**Rule 140 Supplemental Proceedings**

**Rule 140.01 Previous Applications.** If an ex parte application is made, any previous applications for a supplemental proceeding order concerning the pending case shall be disclosed to the court in the form of an affidavit.

**Rule 140.02 Referee.** Referees in supplementary proceedings and in garnishment disclosures shall be notaries public or lawyers and shall not be the creditor's lawyer or an employee or partner of the creditor or of the creditor's lawyer and said referees must take and subscribe the appropriate oath.

**Rule 140.03 Continuances.** Orders in supplementary proceedings shall specify the name of the Referee and provide that in the examination of the judgment debtor the Referee shall not grant more than two continuances.

**Cross Reference:** Minn. R. Civ. P. 69.

**Task Force Comment--1991 Adoption**

This rule is derived from 4th Dist. R. 12

**Rule 141 Condemnation**

**Rule 141.01 Objection To Commissioner.** Within ten (10) days after the order appointing the commissioners has been filed, the petitioner or any respondent may serve on all other parties and file with the appointing judge an affidavit objecting to the appointment of any one or more of the commissioners and setting forth the reasons for the objection. Within five (5) days after receiving such an objection, the judge in the exercise of discretion may appoint a new commissioner to replace any commissioner concerning whom objection has been made. If the judge does not appoint a new commissioner within five (5) days, the objection shall be deemed overruled.

**Rule 141.02 Notice of Appeal.** In condemnation cases the notice of appeal from the award of the Commissioners shall be accompanied by a certificate of representation as required by Minn. Gen. R. Prac. 104.

**Task Force Comment--1991 Adoption**

This rule is derived from 4th Dist. R. 10 and is intended to supplement statutes providing for the appointment of commissioners and the filing of a notice of appeal. See Minn. Stat. §§ 117.075 & .145 (1990).

**Rule 142 Trustees--Accounting--Petition For Appointment**

**Rule 142.01 Petition for Confirmation of Trustee.** Except in those cases in which a trust company or national banking association having trust powers is the trustee or one of the trustees, the petition for confirmation of the appointment of the trustee or trustees shall include an inventory, including a description of the assets of the trust known to the petitioners and an estimate by them of the market value of such assets at the date of the petition. The petition shall also set forth the relationship, if any, of the trustee or trustees to the beneficiaries of the trust.

**Rule 142.02 Annual Account.** Every trustee subject to the jurisdiction of the district court shall file an annual account, duly verified, of the trusteeship with the court administrator within 60 days after the end of each accounting year. Such accounts may be submitted on form 142.02 appended to these rules, and shall contain the following:

(a) Statements of the total inventory or carrying value and of the total fair market value of the assets of the trust principal as of the beginning of the accounting period. In cases where a previous account has been rendered, the totals used in these statements shall be the same as those used for the end of the last preceding accounting period.

(b) A complete itemized inventory of the assets of the trust principal as of the end of the accounting period, showing both the inventory or carrying value of each asset and also the fair market value thereof as of such end of the accounting period, unless, because such value is not readily ascertainable or for other sufficient reason, this provision cannot reasonably be complied with. Where the fair market value of any item at the end of the accounting period is not used, a notation of such fact and the reason therefor shall be indicated on the account.

(c) An itemized statement of all income transactions during the period of such account.

(d) A summary statement of all income transactions during the period of such account, including the totals of distributions of income to beneficiaries and the totals of trustees' fees and attorneys' fees charged to income.

(e) An itemized statement of all principal transactions during the period of such account.

(f) A reconciliation of all principal transactions during the period of such account, including the totals of distributions of principal to beneficiaries and the totals of trustees' fees and attorneys' fees charged to principal as well as the totals of liquidations and reinvestments of principal cash.

(g) A list of all assets that realized a net income less than one per cent of the inventory value or acquisition cost, and an explanation of the amount of net income realized and the reasons for retaining the assets.

**Rule 142.03 Taxes.** Final accounts shall also disclose the state of the property of the trust estate as to unpaid or delinquent taxes and such taxes shall be paid by the trustee to the extent that the funds in the trust permit, over and beyond the cost and expenses of the trust administration, except where a special

showing is made by the trustee that it is in the best interests of the trust and is lawful for the unpaid or delinquent taxes not to be paid.

**Rule 142.04 Service on Beneficiaries.** There shall also be filed with the court administrator proof of mailing of such account to the last addresses known to the trustee of, or of the service of such account upon, such of the following beneficiaries or their natural or legal guardians as are known to, or reasonably ascertainable by, the trustee:

- (a) Beneficiaries entitled to receive income or principal at the date of the accounting; and
- (b) Beneficiaries who, were the trust terminated at the date of the accounting, would be entitled to share in distributions of income or principal.

**Rule 142.05 Court Administrator Records; Notice.** The court administrator shall keep a list of trusteeships and notify each trustee and the court when any such annual account has not been filed within 120 days from the end of the accounting year.

**Rule 142.06 Hearing.** Hearings upon annual accounts may be ordered upon the request of any interested party. A hearing shall be held on such annual accounts at least once every five years upon notice as set forth in Minn. Stat. § 501.35; provided, that in trusts of the value of \$20,000 or less, the five year hearing requirement may be waived by the court in its discretion. Any hearing on an account may be ex parte if each party in interest then in being shall execute waiver of notice in writing which shall be filed with the court administrator, but no account shall be finally allowed except upon a hearing on the record in open court. Such five year hearings shall be held within 150 days after the end of the accounting period of each fifth annual unallowed account, and the court administrator shall notify each trustee and the Court if the hearing is not held within such 150 day period.

**Task Force Comment--1991 Adoption**

This rule was derived from Rule 28 of the Code of Rules for the District Courts.

**Rule 143 Actions by Representatives--Attorneys' Fees**

In actions for personal injury or death by wrongful act, brought by persons acting in a representative capacity, contracts for attorney's fees shall not be regarded as determinative of fees to be allowed by the court.

**Cross Reference:** Minn. R. Civ. P. 17.

**Task Force Comment--1991 Adoption**

This rule is Rule 1 of the Code of Rules for the District Court, without change.

**Rule 144 Actions for Death by Wrongful Act**

**Rule 144.01 Application for Appointment of Trustee.** Every application for the appointment of a trustee of a claim for death by wrongful act under Minn. Stat. § 573.02, shall be made by the verified petition of the surviving spouse or one of the next of kin of the decedent. The petition shall show the dates and places of the decedent's birth and death; the decedent's address at the time of death; the name, age and address of the decedent's surviving spouse and each next of kin; and the name, age, occupation and address of the proposed trustee. The petition shall also show whether or not any previous application has been made in any court for the appointment of a trustee for such claim, and if a previous application has been made, the facts with reference thereto and its disposition shall also be stated. The written consent of the proposed trustee to act as such shall be endorsed on or filed with such petition.

**Rule 144.02 Notice and Hearing.** The petition for appointment of trustee will be heard upon such notice, given in such form and in such manner and upon such persons as may be determined by the court, unless waived by all next of kin or the court.

**Rule 144.03 Caption.** The petition, any order entered thereon, and the trustee's oath, will be entitled: "In the matter of the appointment of a trustee for the next of kin of \_\_\_\_\_, Decedent."

**Rule 144.04 Transfer of action.** If the trustee, after appointment and qualification, commences an action for death by wrongful act in a county other than that in which the trustee was appointed, a certified copy of the petition, the order entered thereon and the oath shall be filed in the court where such action be commenced, at the time the summons and complaint are filed therein, and the court file and jurisdiction over the trust will thereupon be transferred to such court.

**Rule 144.05 Distribution of proceeds.** Application for the distribution of money recovered under Minn. Stat. § 573.02 shall be by verified petition of the trustee. Such petition shall show the amount which has been received upon action or settlement; a detailed statement of disbursements paid or incurred, if any; the amount, if any, claimed for services of the trustee and of the trustee's lawyer; the amount of the funeral expenses and of demands for the support of the decedent; the name, age and address of the surviving spouse and each next of kin and the share to which each is entitled.

If an action was commenced, such petition shall be heard by the court in which the action was tried, or in the case of a settlement, by the court in which the action was pending at the time of settlement. If an action was not commenced, the petition shall be heard by the court in which the trustee was appointed. The court hearing the petition shall approve, modify, or disapprove the proposed disposition and shall specify the persons to whom the proceeds are to be paid.

The petition for distribution will be heard upon notice, given in form and manner and upon such persons as may be determined by the court, unless waived by all next of kin or the court. The court by order, or by decree of distribution, will direct distribution of the money to the persons entitled thereto by law. Upon the filing of a receipt from each distributee for the amount assigned to that distributee, the trustee shall be discharged.

The foregoing procedure will, so far as can be applicable, also govern the distribution of money recovered by personal representatives under the Federal Employers' Liability Act (45 U.S.C. § 51) and under Minn. Stat. § 219.77.

**Cross Reference:** Minn. R. Civ. P. 17.

#### **Task Force Comment--1991 Adoption**

This rule is derived from Rule 2 of the Code of Rules for the District Courts. The Task Force has amended the rule to refer to "next of kin" rather than "heirs."

The Task Force considered the advisability of amending rule 144.05 to require the court to consider and either approve, modify, or disapprove the settlement itself, in addition to the disposition of proceeds as required under the existing rule. Although it appears that good reasons exist to change the rule in this manner, the Minnesota Supreme Court has indicated that the trial court has no jurisdiction to approve or disapprove the settlement amounts agreed upon by the parties. The court can only approve the distribution of those funds among the heirs and next of kin. *See Minneapolis Star & Tribune Co. v. Schumacher*, 392 N.W.2d 197, 200 n.1 (Minn. 1986).

#### **Rule 145 Actions on Behalf of Minors and Incompetent Persons**

**Rule 145.01 When Petition and Order are Required.** No part of the proceeds of any action or claim for personal injuries on behalf of any minor or incompetent person shall be paid to any person except

under written petition to the court and written order of the court as hereinafter provided. This rule governs a claim or action brought by a parent of a minor, by a guardian ad litem or general guardian of a minor or incompetent person, or by the guardian of a dependent, neglected or delinquent child, and applies whether the proceeds of the claim or action have become fixed in amount by a settlement agreement, jury verdict or court findings, and even though the proceeds have been reduced to judgment.

**Rule 145.02 Contents and Filing of Petition.** The petition shall be verified by the parent or guardian, shall be filed before the court makes its order, and shall include the following:

- (a) The name and birth date of the minor or other incompetent person.
- (b) A brief description of the nature of the claim if a complaint has not been filed.
- (c) An attached affidavit or letter of a health care provider showing the nature of the injuries, the extent of recovery and the prognosis if the court has not already heard testimony covering these matters.
- (d) Whether the parent, or the minor or incompetent person, has collateral sources covering any part of the principal and derivative claims, including expenses and attorneys fees, and whether subrogation rights have been asserted by any collateral source.

**Rule 145.03 Representation.**

(a) If the lawyer who presents the petition has been retained by the tortfeasor or its insurer, the lawyer shall disclose to the court and to the petitioner the nature of the representation, how he or she is being paid, the frequency with which the lawyer has been retained by the tortfeasor or insurer, and whether the lawyer is giving legal advice to the petitioner. The petition shall not be denied by the court solely because of the petitioner's representation.

(b) The court may, at its discretion, refer the petitioner to a lawyer selected by the petitioner (or by the court if petitioner requests or declines to select a lawyer), to evaluate the proposed settlement and advise the court whether the settlement is reasonable considering all relevant facts. The opinion shall be in writing, and the court shall provide a copy to the petitioner and all tortfeasors or their representative, regardless of whether a filing fee has been paid by the tortfeasor. This appointment shall be made pursuant to Minn. R. Evid. 706.

(c) The lawyer accepting the referral must agree not to represent the petitioner or the minor or accept a referral fee in the event that the petition is denied by the court.

(d) For the legal opinion thus rendered to the court, the tortfeasor or the insurer shall pay a reasonable sum ordered by the court; however, the insurer or tortfeasor may be reimbursed from settlement proceeds up to one half of the sum so ordered, also upon order of the court. An order for attorney's fees payment in excess of \$300.00 can issue only upon a court hearing with notice to the insurer or tortfeasor and the petitioner.

(e) The opinion of the referred-to lawyer shall not be binding upon the court.

**Rule 145.04 Hearing on the Petition.** The minor or incompetent person and the petitioner shall personally appear before the court at the hearing on the petition unless their appearance is specifically waived by the court because the action has been fully or partially tried or for other good cause. The reporter shall, when ordered by the court, keep a record of the hearing. The hearing shall be ex parte unless otherwise ordered.

**Rule 145.05 Terms of the Order.** The court's order shall:

(a) Approve, modify or disapprove the proposed settlement or disposition and specify the persons to whom the proceeds are to be paid.

(b) State the reason or reasons why the proposed disposition is approved if the court is approving a settlement for an amount which it feels is less than what the injuries and expenses, might seem to call for, e.g., limited insurance coverage, dubious liability, comparative fault or other similar considerations.

(c) Determine what expenses may be paid from the proceeds of any recovery by action or settlement, including the attorney's fee. Attorney's fees will not be allowed in any amount in excess of one-third of the recovery, except on a showing that: (1) an appeal to an appellate court has been perfected and a brief by the plaintiff's lawyer has been printed therein and (2) there has been an expenditure of time and effort throughout the proceeding which is substantially disproportionate to a one-third fee. No sum will be allowed, in addition to attorney fees, to reimburse any expense incurred in paying an investigator for services and mileage, except in those circumstances where the attorney's fee is not fully compensatory or where the investigation must be conducted in any area so distant from the principal offices of the lawyer so employed that expense of travel and related expense would be substantially equal to, or in excess of, usual investigating expenses.

(d) Specify what disposition shall be made of the balance of the proceeds of any recovery after payment of the expenses authorized by the court.

(1) The court may authorize investment of all or part of such balance of the proceeds in securities of the United States, or in an annuity or other form of structured settlement, including a medical assurance agreement, but otherwise shall order the balance of the proceeds deposited in one or more banks, savings and loan associations or trust companies where the deposits will be fully covered by Federal deposit insurance.

(2) In lieu of such disposition of the proceeds, the order may provide for the filing by the petitioner of a surety bond approved by the court conditioned for payment to the ward in a manner therein to be specified of such moneys as the ward is entitled to receive, including interest which would be earned if the proceeds were invested.

(e) If part or all of the balance of the proceeds is ordered deposited in one or more financial institutions, the court's order shall direct:

(1) that the defendant pay the sum to be deposited directly to the financial institution;

(2) that the deposit book or other deposit document be issued in the name of the minor or incompetent person;

(3) that the deposit book (or other deposit document) be transmitted by the financial institution to the court administrator for safekeeping within 5 days after its receipt of the deposit;

(4) that the financial institution shall not make any disbursement from the deposit except upon order of the court;

(5) that a copy of the court's order shall be delivered to said financial institution by the petitioner with the remittance for deposit. The financial institution(s) and the type of investment therein shall be as specified Minn. Stat. § 540.08, as amended. Two or more institutions shall be used if necessary to have full Federal deposit insurance coverage of the proceeds plus future interest.

In every case, minor settlement orders shall include a provision substantially as follows:

IT IS FURTHER ORDERED that the deposit shall remain with the designated financial institution until       date       at which time the minor shall reach the age of majority, and time deposits should be established with a maturity date on or before that date. On the date of majority the financial institution is hereby authorized to release the funds       (name of beneficiary)       upon presentation of the deposit book or other deposit document that has been obtained from the court administrator, without further order of this Court;

(6) that the petitioner shall, at the time of depositing, supply the financial institution with a tax identification number or a social security number for the minor; and

(7) that the petitioner shall be ordered to file or cause to be filed timely state and federal income tax returns on behalf of the minor.

(f) Authorize or direct the investment of proceeds of the recovery in securities of the United States only if practicable means are devised comparable to the provisions of paragraphs



(d) and (e) above, to insure that funds so invested will be preserved for the benefit of the minor or incompetent person, and the original security instrument be deposited with the court administrator consistent with paragraph (e) above.

**Rule 145.06 Structured Settlements.** If the settlement involves the purchase of an annuity or other form of structured settlement, the court shall:

(a) Determine the cost of the annuity or structured settlement to the tortfeasor by examining the proposal of the annuity company or other generating entity;

(b) Require that the company issuing the annuity or structured settlement have a financial rating equivalent to A.M. Best Co. Class A-8 or better, or that a trust making periodic payments be funded by United States Government obligations;

(c) Order that the original annuity policy be deposited with the court administrator, and the policy be returned to the owner of the policy when:

- (1) The minor reaches majority;
- (2) The terms of the policy have been fully performed; or
- (3) The minor dies, whichever occurs first.

(d) In its discretion, permit the annuity company to make a "qualified assignment" within the meaning and subject to the conditions of Section 130(c) of the Internal Revenue Code;

(e) Order the tortfeasor or its insurer, or both of them, to guarantee the payments contracted for in the annuity or other form of structured settlement; and

(f) Provide that:

- (1) The person receiving periodic payments is entitled to each periodic payment only when the payment becomes due;
- (2) That the person shall have no rights to the funding source; and
- (3) That the person cannot designate the owner of the annuity nor have any right to control or designate the method of investment of the funding medium; and

(g) Direct that the appropriate party or parties will be entitled to receive appropriate receipts, releases or a satisfaction of judgment, pursuant to the agreement of the parties.

**Rule 145.07 General Guardians.** When an action is brought by a general guardian appointed and bonded by a court of competent jurisdiction, the requirements of this rule may be modified as deemed desirable by the court because of bonding or other action taken by the appointing court, except that there must be compliance with the settlement approval requirements of Section 540.08 of the Minnesota Statutes or amendments thereof.

**Cross Reference:** Minn. R. Civ. P. 17.

#### **Task Force Comment--1991 Adoption**

This rule is derived from Minn. Stat. § 540.08 (1990) and Rule 3 of the Code of Rules for the District Courts. There are also substantial new provisions.

The Task Force considered it a thoughtful recommendation that a minor's social security number be required to be included on all minor settlement petitions. Such a requirement would make it easier to locate a minor at the time of reaching majority. The Task Force ultimately concluded, however, the privacy interests dictate that the inclusion of this number should not be mandatory. The information may nonetheless be required by the financial institution with which the funds are deposited, and many lawyers will routinely include it in petitions in order to facilitate locating the minor should the need arise.

Rule 145.02(d) is new. It is designed to advise the court of factors to take into consideration when approving or disapproving a settlement on behalf of the minor or incompetent person.

Rule 145.03 is new. It addresses a situation where a tortfeasor or insurer has negotiated a settlement with a minor's family or guardian, and court approval of that settlement is

necessary. Oftentimes the plaintiff does not wish to incur attorney's fees to obtain that approval, so as a part of the settlement, the tortfeasor or the insurer makes the arrangements to draft and present the petition. The court needs to be satisfied that the settlement is fair. The Task Force discussed at length whether or not a lawyer hired and paid by an insurer or tortfeasor should be permitted to represent the minor or incompetent person to obtain the approval of the court. It was decided that the petitioner should not be compelled to obtain counsel, and that "arranged counsel" may appear, provided that there is full disclosure to the petitioner of the interests of the insurer or tortfeasor.

Rule 145.03(b) is new and is designed to provide a procedure for the court to obtain advice to evaluate the reasonableness of a settlement. The court may appoint a lawyer selected by the petitioner or the court may designate a lawyer of its own choice. In either case, where a referral is made under this section, the lawyer accepting the referral may not represent the petitioner to pursue the claim, should the petition be denied by the court. Rule 145.03(d) provides that the cost of the consultation provided for in rule 145.03(b) shall be born equally by the petitioner and the tortfeasor or insurer.

Finally, rule 145.03(d) provides that any opinions rendered by a selected lawyer on behalf of the minor or incompetent person are advisory only.

Rule 145.05(d) expands the types of investments that may be used in managing the settlement proceeds while retaining the requirements of security of investment. It incorporates Minn. Stat. § 540.08 (1990) regarding structured settlements, and it allows that settlements may include a medical assurance agreement. A medical assurance agreement is a contract whereby future medical expenses of an undetermined amount will be paid by a designated person or entity.

Rule 145.06 is new. It establishes criteria for approval of structured settlements, and it requires the court to determine the cost of the annuity to insure that the periodic payments reflect a cost comparable to a reasonable settlement amount. Where a minor or incompetent receives a verdict representing future damages greater than \$100,000.00 and the guardian determines that a structured settlement pursuant to Minn. Stat. § 549.25 (1990) would be in the best interests of the minor or incompetent person, this rule shall apply to the implementation of the election pursuant to the statute.

PART G -- APPENDIX OF FORMS

FORM 104 CERTIFICATE OF REPRESENTATION AND PARTIES

State of Minnesota

District Court

COUNTY

JUDICIAL DISTRICT CASE NO.

CERTIFICATE OF REPRESENTATION AND PARTIES

\*\* (ONLY THE INITIAL FILING LAWYER/PARTY NEEDS TO COMPLETE THIS FORM) \*\*

Date Case Filed: \_\_\_\_\_

\_\_\_\_\_ vs. \_\_\_\_\_

This certificate must be filed pursuant to Rule 104 of the General Rules of Practice for the District Courts, which states: "A party filing a civil case shall, at the time of filing, notify the court administrator in writing of the name, address, and telephone number of all counsel and unrepresented parties, if known (see form 104 appended to these rules). If that information is not then known to the filing party, it shall be provided to the court administrator in writing by the filing party within seven days of learning it. Any party impleading additional parties shall provide the same information to the court administrator. The court administrator shall, upon receipt of the completed certificate, notify all parties or their lawyers, if represented by counsel, of the date of filing the action and the file number assigned."

LIST ALL LAWYERS/PRO SE PARTIES INVOLVED IN THIS CASE.

LAWYER FOR PLAINTIFF(S)

LAWYER FOR DEFENDANT(S) (If not known, name party and address)

Name of Party

Name of Party

Atty Name (Not firm name)

Atty Name (Not firm name)

Address

Address

Phone Number

Phone Number

MN Atty ID No.

MN Atty ID No.

(Please use other side for additional lawyers/parties.)

\_\_\_\_\_  
Date

Lawyer for:

\_\_\_\_\_  
Name of Party

\_\_\_\_\_  
Atty Name (Not firm name)

\_\_\_\_\_  
Address

\_\_\_\_\_

\_\_\_\_\_  
Phone Number

\_\_\_\_\_  
MN Atty ID No.

Lawyer for:

\_\_\_\_\_  
Name of Party

\_\_\_\_\_  
Atty Name (Not firm name)

\_\_\_\_\_  
Address

\_\_\_\_\_

\_\_\_\_\_  
Phone Number

\_\_\_\_\_  
MN Atty ID No.

\_\_\_\_\_  
Filing Lawyer/Party

Lawyer for:

\_\_\_\_\_  
Name of Party

\_\_\_\_\_  
Atty Name (Not firm name)

\_\_\_\_\_  
Address

\_\_\_\_\_

\_\_\_\_\_  
Phone Number

\_\_\_\_\_  
MN Atty ID No.

Lawyer for:

\_\_\_\_\_  
Name of Party

\_\_\_\_\_  
Atty Name (Not firm name)

\_\_\_\_\_  
Address

\_\_\_\_\_

\_\_\_\_\_  
Phone Number

\_\_\_\_\_  
MN Atty ID No.

FORM 111.02 INFORMATIONAL STATEMENT (Civil Matters--Non-Family)

State of Minnesota

District Court

COUNTY

JUDICIAL DISTRICT CASE NO.

Case Type: \_\_\_\_\_

Plaintiff

and

INFORMATIONAL STATEMENT FORM

Defendant

- 1. All parties (have) (have not) been served with process.
2. All parties (have) (have not) joined in the filing of this form.
3. Brief description of the case:
4. It is estimated that the discovery specified below can be completed within \_\_\_ months from the date of this form. (Check all that apply, and supply estimates where indicated.)
a. Interrogatories No \_\_\_ Yes \_\_\_
b. Document Requests No \_\_\_ Yes \_\_\_, estimated number: \_\_\_
c. Factual Depositions No \_\_\_ Yes \_\_\_, estimated number: \_\_\_
d. Medical Evaluations No \_\_\_ Yes \_\_\_, estimated number: \_\_\_
e. Experts Subject to Discovery No \_\_\_ Yes \_\_\_, estimated number: \_\_\_
5. Assignment as an \_\_\_ expedited \_\_\_ standard \_\_\_ complex case is requested. (If not standard case assignment, include brief statement setting forth the reasons for the request.)
6. The dates and deadlines specified below are suggested.
a. \_\_\_ Deadline for joining additional parties, whether by amendment or third party practice.
b. \_\_\_ Deadline for bringing non-dispositive motions.

- c. \_\_\_\_\_ Deadline for bringing dispositive motions.
- d. \_\_\_\_\_ Deadline for submitting \_\_\_\_\_ to the court.  
(specify issue)
- e. \_\_\_\_\_ Deadline for completing independent physical examination pursuant to Minn. R. Civ. P. 35.
- f. \_\_\_\_\_ Date for formal discovery conference pursuant to Minn. R. Civ. P. 26.06.
- g. \_\_\_\_\_ Date for pretrial conference pursuant to Minn. R. Civ. P. 16.
- h. \_\_\_\_\_ Date for scheduling conference.
- i. \_\_\_\_\_ Date for submission of a Joint Statement of the Case pursuant to Minn. Gen. R. Prac. 112.
- j. \_\_\_\_\_ Trial Date.
- k. \_\_\_\_\_ Deadline for filing (proposed instructions), (verdicts), (findings of fact), (witness list), (exhibit list).
- l. \_\_\_\_\_ Deadline for \_\_\_\_\_  
(specify)

7. Estimated trial time: \_\_\_\_\_ days \_\_\_\_\_ hours (estimates less than a day must be stated in hours).

8. A jury trial is: ( ) waived by consent of \_\_\_\_\_ pursuant to R. Civ. P. 38.02.  
(specify party)

( ) requested by \_\_\_\_\_. (NOTE: Applicable fee must be enclosed.)  
(specify party)

9. Alternative dispute resolution (is) (is not) recommended, in the form of: \_\_\_\_\_ (specify e.g., arbitration, mediation)

10. Please list any additional information which might be helpful to the court when scheduling this letter.

\_\_\_\_\_  
\_\_\_\_\_

Signed: \_\_\_\_\_  
Lawyer for (Plaintiff) (Defendant)

Signed: \_\_\_\_\_  
Lawyer for (Plaintiff) (Defendant)

Attorney Reg. #: \_\_\_\_\_  
Firm: \_\_\_\_\_  
Address: \_\_\_\_\_  
Telephone: \_\_\_\_\_  
Date: \_\_\_\_\_

Attorney Reg. #: \_\_\_\_\_  
Firm: \_\_\_\_\_  
Address: \_\_\_\_\_  
Telephone: \_\_\_\_\_  
Date: \_\_\_\_\_

**FORM 112.01 JOINT STATEMENT OF THE CASE**

**State of Minnesota**

**District Court**

COUNTY

JUDICIAL DISTRICT  CASE NO.

Case Type: \_\_\_\_\_

\_\_\_\_\_  
Plaintiff

and

**JOINT STATEMENT OF THE CASE**

\_\_\_\_\_  
Defendant

1. All parties have been served with process. The case is at issue and all parties have joined in the filing of this Joint Statement of the Case.
2. Estimated trial time: \_\_\_ days \_\_\_ hours (estimates less than a day must be stated in hours).
3. Jury is requested by the \_\_\_ plaintiff \_\_\_ defendant. [If this is a change from a court to a jury request, then a \$30 fee must be paid when filing this document.]
4. Concise statement of the case including facts plaintiff(s) intend to prove and legal basis for claims:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. Concise statement of the case indicating facts defendant(s) intend to prove and legal basis for defenses and counterclaim:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

6. List the names and addresses of witnesses known to either party that either party may call. Indicate the party who expects to call the witness and whether the party intends to qualify that witness as an expert. (Attach additional sheets if necessary.)

Party	Name/Addresses of Witnesses	Please Indicate if Expert Witness	
_____	_____	_____	Yes
_____	_____	_____	Yes
_____	_____	_____	Yes

7. In claims involving personal injury, attach a statement by each claimant, whether by complaint or counterclaim, setting forth a detailed description of claimed injuries and an itemized list of special damages as required by the rule. Indicate whether parties will exchange medical reports.

8. In claims involving vehicle accidents, attach a statement describing the vehicles with information as to ownership and the name of insurance carriers, if any.

[Signature Blocks]

(If more space is needed to add additional information or parties, attach a separate sheet typed in the same format.)

The undersigned counsel have met and conferred this \_\_\_\_\_ day of \_\_\_\_\_ and certify the foregoing is true and correct.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature



**FORM 142.02 TRUSTEE'S ACCOUNTING**

**State of Minnesota**

**District Court**

COUNTY
--------

JUDICIAL DISTRICT	CASE NO.
-------------------	----------

In Re the Trust Created by

\_\_\_\_\_ **TRUSTEE'S ANNUAL ACCOUNT**

Annual account pursuant to Rule 142.02 of the Minnesota General Rules of Practice for the District Courts for the year beginning \_\_\_\_\_ and ending \_\_\_\_\_:

**RECONCILIATION OF PRINCIPAL**

	Debit	Credit
Assets at beginning of accounting period:	\$ _____	
Increases:		
Proceeds of assets sold	\$ _____	
Less inventory value	_____	
Assets acquired	_____	
Premiums amortized	_____	
Other increases (List)	_____	
_____	_____	
Decreases:		
Inventory value of assets sold	\$ _____	
Less proceeds of sale	_____	
Cost to trust of acquired assets		\$ _____
Income taxes chargeable against principal		\$ _____
Discounts amortized		_____
Trustees' fees		_____
Attorneys' fees		_____
Distributions to beneficiaries		_____
Other decreases (List)		_____
_____		_____
Assets at end of accounting period	_____	_____
	\$ _____	\$ _____

**STATEMENT OF MARKET VALUE OF  
PRINCIPAL ASSETS**

Beginning of period	\$ _____
End of period	\$ _____

(See notations as to any departures from fair market values at appropriate date elsewhere in this or the preceding account)

**SUMMARY OF INCOME**

	<u>Debit</u>	<u>Credit</u>
Balance (overdraft) at beginning of Accounting period	\$ _____	
Increases:		
Interest	_____	
Dividends	_____	
Real estate income	_____	
Discounts amortized	_____	
Other increases (List)	_____	
_____	_____	
Decreases:		
Premiums amortized		\$ _____
Accrued interest on assets purchased		_____
Real estate expenses		_____
Trustees' fees		_____
Attorneys' fees		_____
Income taxes chargeable against income		_____
Miscellaneous expenses		_____
Distributions to beneficiaries		_____
Other decreases (List)		_____
_____		_____
Balance (overdraft) at end of Accounting period		_____
	_____	_____
	\$ _____	\$ _____

**ITEMIZATION OF INCOME TRANSACTIONS**

(Per separate schedule attached)

**ITEMIZATION OF PRINCIPAL TRANSACTIONS**

(Per separate schedule attached)

**INVENTORY OF PRINCIPAL ASSETS AT END  
OF ACCOUNTING PERIOD**

	<u>Inventory Value</u>	<u>Market Value*</u>
Bonds (list)	\$ _____	\$ _____
_____	_____	_____
_____	_____	_____
Preferred stocks (list)	_____	_____
_____	_____	_____
_____	_____	_____
Common stocks (list)	_____	_____
_____	_____	_____
_____	_____	_____
Common trust funds (list)	_____	_____
_____	_____	_____
_____	_____	_____
Real estate (list)	_____	_____
_____	_____	_____
_____	_____	_____
Other (list)	_____	_____
_____	_____	_____
_____	_____	_____
Cash (list)	_____	_____
_____	_____	_____
_____	_____	_____
	\$ _____	\$ _____

\*(Note any exceptions to fair market value at end of accounting period and reasons therefor)

**IDENTIFICATION OF ASSETS WITH  
A NET INCOME OF LESS THAN 1%**

The following assets realized a net income less than one per cent of the inventory value or acquisition cost (and an explanation of the amount of net income realized and reasons why the assets should be retained is attached): \_\_\_\_\_

\_\_\_\_\_

**IDENTIFICATION OF UNPAID OR DELINQUENT TAXES**

The following property of the trust estate is subject to unpaid or delinquent taxes as indicated:

Property

Amount and Type of Tax

STATE OF MINNESOTA

**VERIFICATION**

COUNTY OF \_\_\_\_\_

\_\_\_\_\_, being duly sworn on oath, says that he/she has read the foregoing Annual Account and knows the contents thereof, and that the same is true and correct to the best of his/her knowledge.

Subscribed and sworn to before me on

this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_.

\_\_\_\_\_  
Notary Public

\_\_\_\_\_  
Trustee's signature

Trustee's address:

\_\_\_\_\_  
\_\_\_\_\_

## PART H -- MINNESOTA CIVIL TRIALBOOK

### Section 1 Scope; Policy

This trialbook is a declaration of practical policies and procedures to be followed in the civil trials in all the trial courts of Minnesota. It has been written to standardize practices and procedures throughout the state with the hope, and expectation, that trial time and expense will be reduced and that justice to the litigants and public acceptance of trial procedures will be increased.

It is recommended that the policies and procedures be generally and uniformly used. However, it is recognized that situations will arise where their use would violate the purpose for which they were drafted. In such circumstances, the policies and procedures should be disregarded so that justice, not form, may prevail. The provisions of this Trialbook may be cited as Minn. Civ. Trialbook § \_\_\_\_.

### Section 2 Court Decorum

(a) **Flag.** The flags of the United States and the State of Minnesota shall be displayed on or in close proximity to the bench when court is in session.

(b) **Formalities in opening court.** At the opening of each court day, the formalities to be observed shall consist of the following: court personnel shall direct all present to stand, and shall say clearly and distinctly:

Everyone please rise! The District Court of the \_\_\_\_\_ Judicial District,  
County of \_\_\_\_\_, State of Minnesota is now open. Judge \_\_\_\_\_  
presiding. Please be seated.

(Rap gavel or give other signal immediately prior to directing audience to  
be seated.)

At any time thereafter during the day that court is reconvened court personnel shall give warning by gavel or otherwise, and as the judge enters, cause all to stand until the Judge is seated.

(The above subsection (b) (to) or (to not) apply to midmorning and midafternoon recesses of the court at the option of the judge.)

(c) **The Jury.** Jurors should take their places in the jury box before the judge enters the courtroom. Court personnel shall assemble the jurors when court is reconvened.

When a jury has been selected and is to be sworn, the presiding judge or clerk shall request everyone in the courtroom to stand.

(d) **Court Personnel.** Court personnel shall maintain order as litigants, witnesses and the public assemble in the courtroom, while court is in session and during recesses. Court personnel shall direct them to seats and refuse admittance to the courtroom in such proceedings where the courtroom is occupied to its full seating capacity.

(e) **Swearing of witnesses.** When the witness is sworn, court personnel shall request the witness's full name, and after being sworn, courteously invite the witness to be seated on the witness stand.

(f) **Manner of administration of oath.** Oaths and affirmations shall be administered to jurors and witnesses in a slow, clear, and dignified manner. Witnesses should stand near the bench, or witness stand as sworn. The swearing of witnesses should be an impressive ceremony and not a mere formality.

**Cross Reference:** Minn. Gen. R. Prac. 2.

#### Task Force Comment--1991 Adoption

Subsection (a) is derived from Rule 1 of the Rules of Uniform Decorum respectively.

Subsection (b) is derived from Rules 4 and 5 of the Rules of Uniform Decorum.

Subsection (c) is derived from Rule 6 of the Rules of Uniform Decorum.

Subsection (d) is derived from Rule 8 of the Rules of Uniform Decorum.

Subsection (e) is derived from Rule 9 of the Rules of Uniform Decorum.

Subsection (f) is derived from Rule 10 of the Rules of Uniform Decorum.

### Section 3 Role of Judges

(a) **Dignity.** The judge shall be dignified, courteous, respectful and considerate of the lawyers, the jury and witnesses. The judge shall wear a robe at all trials and courtroom appearances. The judge shall at all times treat all lawyers, jury members, and witnesses fairly and shall not discriminate on the basis of race, color, creed, religion, national origin, sex, marital status, sexual preference, status with regard to public assistance, disability, or age.

(b) **Punctuality.** The judge shall be punctual in convening court, and prompt in the performance of judicial duties.

(c) **Impartiality.** The judge shall maintain absolute impartiality, and shall neither by word or sign indicate favor to any party to the litigation. The judge shall be impersonal in addressing the lawyers, parties, jurors and court personnel.

(d) **Intervention.** The judge should generally refrain from intervening in the examination of witnesses or argument of counsel; however, the court shall intervene upon its own initiative to prevent a miscarriage of justice or obvious error of law.

(e) **Decorum in court.** The judge shall be responsible for order and decorum in the court and shall ensure at all times that parties and witnesses in the case are treated with proper courtesy and respect.

(f) **Accurate record.** The judge shall be in complete charge of the proceedings at all times and shall ensure that everything is done to obtain a clear and accurate record of the proceedings. The judge shall ensure that the witnesses testify clearly so that the reporter may obtain a correct record of all proceedings in court.

(g) **Comment upon verdict.** The judge should not comment favorably or adversely upon the verdict of a jury when it may indirectly influence the action of the jury in causes remaining to be tried.

Cross Reference: Minn. Gen. R. Prac. 2.

#### Task Force Comment--1991 Adoption

Subsection (a) is derived from Rules 23 and 24 of the Rules of Uniform Decorum. The quoted material from the Code of Judicial Conduct is deleted from the section as surplusage.

Subsection (b) is derived from Rule 25 of the Rules of Uniform Decorum.

Subsection (c) is derived from Rules 26 and 29 of the Rules of Uniform Decorum.

Subsection (d) is derived from Rule 27 of the Rules of Uniform Decorum.

Subsection (e) is derived from Rule 30 of the Rules of Uniform Decorum.

Subsection (f) is derived from Rule 31 of the Rules of Uniform Decorum.

The Task Force considered the recommendations of the Minnesota Supreme Court Task Force on Gender Fairness, and recommends that this section be adopted to implement, in part, the recommendations of that body. See Minnesota Supreme Court Task Force for Gender Fairness in the Courts, 15 Wm. Mitchell L. Rev. 825 (1989). The section specifically incorporates the definition of discriminatory conduct in the Minnesota Human Rights Act, Minn. Stat. § 363.01, subd. 1(1) (1990). The Task Force has added to the statutory definition of discrimination the category of sexual preference.

### Section 4 Role of Lawyers

(a) **Officer of court.** A lawyer is an officer of the court and he or she shall at all times uphold the honor and maintain the dignity of the profession, maintaining at all times a respectful attitude toward the court.

(b) **Non-Discrimination.** Lawyers shall treat all parties, participants, other lawyers, and court personnel fairly and shall not discriminate on the basis of race, color, creed, religion, national origin, sex, marital status, sexual preference, status with regard to public assistance, disability, or age.

**Cross Reference:** Minn. Gen. R. Prac. 2.

**Task Force Comment--1991 Adoption**

Subsection (a) is derived from Rule 12 of the Rules of Uniform Decorum.

Subsection (d) is new.

The Task Force considered the recommendations of the Minnesota Supreme Court Task Force on Gender Fairness, and recommends that this section be adopted to implement, in part, the recommendations of that body. See Minnesota Supreme Court Task Force for Gender Fairness in the Courts, 15 Wm. Mitchell L. Rev. 825 (1989). The section specifically incorporates the definition of discriminatory conduct in the Minnesota Human Rights Act, Minn. Stat. § 363.01, subd. 1(1) (1990). The Task Force has added to the statutory definition of discrimination the category of sexual preference.

**Section 5 Pre-Trial Conferences**

(a) **Settlement procedures.** Settlement conferences are encouraged and recommended for case disposition. However, because of the diversity of approaches to be used, specific procedures are not set forth.

Lawyers will be notified by the court of the procedures to be followed in any action where settlement conferences are to be held.

(b) **Procedures to be followed.** In those courts where a formal pre-trial conference is held prior to assignment for trial, a trial date shall be set and the conference shall cover those matters set forth in paragraphs (d) and (e) of this section.

(c) **Settlement discussions with court.** The court may request counsel to explore settlement between themselves further and may engage in settlement discussions.

(d) **Pre-trial chambers conferences.** At an informal chambers conference before trial the trial court shall:

- (1) determine whether settlement possibilities have been exhausted;
- (2) determine whether all pleadings have been filed;
- (3) ascertain the relevance to each party of each cause of action; and,
- (4) with a view to ascertaining and reducing the issues to be tried, shall inquire:
  - (i) whether the issues in the case may be narrowed or modified by stipulations or motions;
  - (ii) whether dismissal of any of the causes of actions or parties will be requested;
  - (iii) whether stipulations may be reached as to those facts about which there is no substantial controversy;
  - (iv) whether stipulations may be reached for waiver of foundation and other objections regarding exhibits, tests, or experiments;
  - (v) whether there are any requests for producing evidence out of order;
  - (vi) whether motions in limine to exclude or admit specified evidence or bar reference thereto will be requested; and
  - (vii) whether there are any unusual or critical legal or evidentiary issues anticipated;
- (5) direct the parties to disclose the number and names of witnesses they anticipate calling, and to make good faith estimates as to the length of testimony and arguments;
- (6) inquire whether the number of experts or other witnesses may be reduced;
- (7) ascertain whether there may be time problems in presentation of the case, e.g., because of other commitments of counsel, witnesses, or the court and advise counsel of the hours and days for trial; and
- (8) ascertain whether counsel have graphic devices they want to use during opening statements; and

(9) ascertain whether a jury, if previously demanded, will be waived. If a jury is requested, the judge shall make inquiries with a view to determining:

- (i) the areas of proposed voir dire interrogation to be directed to prospective jurors, and whether there is any contention that the case is one of "unusual circumstances";
- (ii) the substance of a brief statement to be made by the trial court to the prospective jurors outlining the case, the contentions of the parties, and the anticipated issues to be tried;
- (iii) the number of alternate jurors (it is suggested that the identity of the alternates not be disclosed to the jury); and
- (iv) in multiple party cases, whether there are issues as to the number of "sides" and allocation of peremptory challenges.

(e) **Formal conference.** After conclusion of the informal chambers conference and any review of the court file and preliminary research the court finds advisable, a formal record shall be made of:

- (1) arguments and rulings upon motions, bifurcation, and order of proof;
- (2) statement of stipulations, including whether graphic devices can be used during opening statement; and
- (3) in a jury trial, specification of:
  - (i) the brief statement the trial court proposes to make to prospective jurors outlining the case, contentions of the parties, and anticipated issues to be tried;
  - (ii) the areas of proposed voir dire interrogation to be directed to the prospective jurors;
  - (iii) whether any of the defendants have adverse interests to warrant individual peremptory challenges and number of them;
  - (iv) the number of alternate jurors, if any, and the method by which the alternates shall be determined;
  - (v) the need for any preliminary jury instructions.

**Cross Reference:** Minn. R. Civ. P. 116; Minn. Gen. R. Prac. 111, 112.

#### **Task Force Comment--1991 Adoption**

Subsection (a) is derived from existing Trialbook ¶ 6. The deleted language is unnecessary as it merely repeats other requirements.

Subsection (b) is derived from existing Trialbook ¶ 7.

Subsection (c) is derived from existing Trialbook ¶ 8.

Subsection (d) is derived from existing Trialbook ¶ 9.

Subsection (e) is derived from existing Trialbook ¶ 10.

This section sets forth many of the matters which can, and often should, be discussed in pretrial proceedings. The section does not enumerate all the subjects that can be discussed or resolved in pretrial conferences or other pretrial proceedings. The pretrial conference is intended to be a flexible device and the trial judge has considerable discretion to tailor the pretrial conference to suit the needs of an individual case. Many matters that may be useful in pretrial conferences are discussed in the Federal Judicial Center's Manual for Complex Litigation (2d ed. 1985).

The Task Force considered proposals and concerns expressed on the subject of the role of trial judges, both in jury trial matters and bench trial matters. The Task Force believes this is a difficult issue, and one on which trial judges and counsel should have guidance. The Task Force recommends that this problem area be given further study by the Minnesota Supreme Court and interested bar associations.



## **Section 6      Voir Dire of Jurors**

(a) **Swearing Jurors to Answer.** The entire panel shall be sworn by the clerk to truthfully answer the voir dire questions put to them. The clerk shall then draw the names of the necessary persons who shall take their appropriate seats in the jury box.

(b) **Statement of the Case To and Examination of Prospective Jurors.** The court shall make a brief statement to the prospective jurors introducing the counsel and parties and outlining the case, contentions of the parties, and anticipated issues to be tried and may then permit the parties or their lawyers to conduct voir dire or may itself do so. In the latter event, the court shall permit the parties or their lawyers to supplement the voir dire by such further nonrepetitive inquiry as it deems proper.

(c) **Challenges for Cause.** A challenge for cause may be made at any time during voir dire by any party or at the close of voir dire by all parties.

(d) **Peremptory Challenges.** Each adverse party shall be entitled to two peremptory challenges, which shall be made alternately beginning with the defendant. The parties to the action shall be deemed two, plaintiffs being one party, defendants the other. If the court finds that two or more defendants have adverse interests, the court shall allow each adverse defendant additional peremptory challenges. When there are multiple adverse parties, the court shall determine the order of exercising peremptory challenges.

(e) **Voir Dire of Replacements.** When a prospective juror is excused, the replacement shall be asked by the court:

(1) whether he or she heard and understood the brief statement of the case previously made by the judge;

(2) whether he or she heard and understood the questions;

(3) whether, other than to personal matters such as prior jury service, area of residence, employment, and family, the replacement's answers would be different from the previous answers in any substantial respect.

If the replacement answers in the affirmative to (3) above, the court shall inquire further as to those differing answers and counsel may make such supplemental examination as the court deems proper.

(f) **Alternates.** In any trial the court may allow alternate jurors to be seated. The alternate or alternates shall be the last juror or jurors seated. Any alternates shall be excused before the jury retires to deliberate and shall not participate in deliberations unless all parties agree on the record or in writing to have alternates participate in deliberations.

**Cross Reference:** Minn. R. Civ. P. 47; Minn. Gen. R. Prac. 123.

### **Task Force Comment--1991 Adoption**

Subsections (a), (b), (d), and (f) are derived from existing Trialbook ¶ 11-15.

Subsection (c) is derived from the analogous provision of the rules of criminal procedure, Minn. R. Crim. P. 26.02(3)(a)(4). The present provisions relating to jury selection are spread among numerous different sets of rules. The civil rules have not heretofore specified a time for exercise of peremptory challenges. Some judges ask a party conducting voir dire examination before the conclusion of the jury selection process to "pass the jury for cause." This section will make it clear that challenges for cause can be made at any time, even after voir dire by other parties.

Although the section provides for administration of oaths to jurors, an affirmation should be used as to any juror or panel member preferring it.

## **Section 7      Preliminary Instructions**

After the jury is sworn, but before opening statements, the judge shall instruct the jurors generally as follows:

(1) to refrain from communicating in writing or by other means about the case, to use the jury room rather than remaining in the courtroom or hallway, and to avoid approaching, or

conversations with counsel, litigants, or witnesses, and that they must not discuss the case, or any aspect of it among themselves or with other persons;

(2) that if a juror has a question or communication for the court (e.g., as regards time scheduling), it should be taken up with, or transmitted through, the appropriate court personnel who is in charge of the jurors as to their physical facilities and supplies;

(3) that the jurors will be supplied with note pads and pencils, on request, and that they may only take notes on the subject of the case for their personal use, though they may bring such notes with them into the jury room once they commence deliberations in the case. The jury should receive a cautionary instruction that they are to rely primarily on their collective recollection of what they saw and heard in the courtroom and that extensive note taking may distract them from properly fulfilling this function;

(4) as to law which the judge determines to be appropriate; and

(5) that, as with other statements of counsel, the opening statement is not evidence but only an outline of what counsel expect to prove.

Upon submission of the case to the jury, the judge shall instruct the jury that they shall converse among themselves about the case only in the jury room and only after the entire jury has assembled.

**Cross Reference:** Minn. R. Civ. P. 39.03

#### **Task Force Comment--1991 Adoption**

This section was derived from existing Trialbook ¶ 16, without significant change.

### **Section 8 Opening Statement and Final Arguments**

(a) **Scope of Opening.** Counsel on each side, in opening the case to the jury, shall only state the facts proposed to be proven. During opening statement counsel may use a blackboard or paper for illustration only. There shall be no display to the jury of, nor reference to, any chart, graph, map, picture, model or any other graphic device unless, outside the presence of the jurors:

- (1) it has been admitted into evidence; or
- (2) such display or reference has been stipulated to; or
- (3) leave of court for such reference or display has been obtained.

(b) **Final Arguments.** Final arguments to the jury shall not misstate the evidence. During final argument counsel may use a blackboard or paper for illustration only. A graphic device, such as a chart, summary or model, which is to be used for illustration only in argument shall be prepared and shown to opposing counsel before commencement of the argument. Upon request by opposing counsel, it shall remain available for reference and be marked for identification.

(c) **Objections.** Objections to remarks by counsel either in the opening statement to the jury or in the closing argument shall be made while such statement or argument is in progress or at the close of the statement or argument. Any objection shall be argued outside the juror's hearing. If the court is uncertain whether there has been a misstatement of the evidence in final argument, the jurors shall be instructed to rely on their own recollections.

**Cross Reference:** Minn. R. Civ. P. 39.04; Minn. Gen. R. Prac. 124.

#### **Task Force Comment--1991 Adoption**

Subsection (a) is derived from Rule 27(a) of the Code of Rules for the District Court and existing Trialbook ¶ 17.

Subsection (b) is derived from existing Trialbook ¶¶ 30 and 44.

Subsection (c) is derived from Rule 27(f) of the Code of Rules and existing Trialbook ¶ 31.

**Section 9 Availability of Witnesses**

(a) **Exchange of Information as to Future Scheduling.** In order to facilitate efficient scheduling of future witnesses and court time, all parties shall communicate with one another and exchange good faith estimates as to the length of witness examinations together with any other information pertinent to trial scheduling.

(b) **"On-Call" Witnesses.** It is the responsibility of an "on-call" witness proponent to have the witness present in court when needed.

(c) **Completion of Witness' Testimony.** Except with the court's approval, a witness' testimony shall be pursued to its conclusion and not interrupted by the taking of other evidence.

Upon the conclusion of a witness's testimony the court should inquire of all counsel whether the witness may be excused from further attendance and if affirmative responses are given, the court may then excuse the witness.

(d) **Excluding Witnesses.** Exclusion of witnesses shall be in accordance with Minn.R.Evid. 615.

(e) **Issuance of Warrants.** A warrant for arrest or body attachment for failure of a witness to attend shall not be released for service unless it is shown by the applicant party, in a hearing outside the presence of jurors, that (1) service of the process compelling attendance was made at a time providing the witness with reasonable notice and opportunity to respond, and (2) no reasonable excuse exists for the failure to attend or, if the reason for the failure to attend is unknown to the applicant party, due diligence was used in attempting to communicate with such witness to ascertain the reason for the failure to attend.

**Cross Reference:** Minn. R. Civ. P. 43.

**Task Force Comment--1991 Adoption**

Subsection (a) is derived from existing Trialbook ¶ 54.

Subsection (b) is derived from existing Trialbook ¶ 55.

Subsection (c) is derived from existing Trialbook ¶ 56.

Subsection (d) is derived from existing Trialbook ¶ 57, with significant change.

Subsection (e) is derived from existing Trialbook ¶ 61.

Subsection (d) now simply makes it clear that Minn. R. Evid. 615 governs the sequestration of witnesses. The existing provision of existing Trialbook ¶ 57 appears to be inconsistent with the Rules of Evidence, and should be superseded.

**Section 10 Examination of Witnesses**

(a) **Objections.** Lawyers shall state objections succinctly, stating only the specific legal grounds for the objection without argument. Argument, if allowed by the court, and any offer of proof shall be made outside of the hearing of the jury and on the record.

(b) **Caution to Witnesses.** Before taking the stand and outside of the hearing of the jury, a witness called by counsel shall be cautioned by such counsel to be responsive to the questions and to wait in answering until a question is completed and a ruling made on any objection. Lawyers should advise their clients and witnesses of the formalities of court appearances.

Counsel may request the court to caution a witness while on the stand as to the manner of answering questions.

(c) **Questions Not to be Interrupted.** A question shall not be interrupted by objection unless then patently objectionable.

(d) **Effect of Asking Another Question.** An examiner shall not repeat the witness' answer to the prior question before asking another question.

An examiner shall wait until the witness has completed answering before asking another question. If a question is asked before the preceding question of the same examiner is answered or any objection is ruled upon, it shall be deemed a withdrawal of the earlier question.

(e) **Number of Examinations.** On the trial of actions only one counsel on each side shall examine or cross-examine a witness, and one counsel only on each side shall sum up the case to the jury, unless the judge otherwise orders.

(f) **Counsel's Use of Graphic Devices.** Counsel may use a graphic device to diagram, calculate, or outline chronology from witnesses' testimony.

(g) **Familiarity with witnesses, jurors and opposing counsel.** Lawyers and judges shall not exhibit undue familiarity with adult witnesses, parties, jurors or opposing counsel, or each other and the use of first names shall be avoided. In arguments to the jury, no juror shall be singled out and addressed individually. When addressing the jury, the lawyers shall first address the court, who shall recognize the lawyer.

(h) **Matters to be Out of Jury's Hearing.** The following matters shall be held outside the hearing of jurors. Counsel wishing to argue such matters shall request leave from the court. The first time this request is granted in a trial, the judge shall advise the jurors that matters of law are for the court rather than the jury and that discussions as to law outside the jurors' hearing are necessary and proper for counsel to request.

(1) **Arguments:** Evidentiary arguments and offers of proof as provided for in section 10(a) of this Trialbook;

(2) **Offers to Stipulate:** Counsel shall not confer about stipulations within possible jury hearing, nor without leave of the court when such conference would impede trial progress;

(3) **Requests for Objects:** Other than requests to a witness during testimony, requests by a party to opposing counsel for objects or information purportedly in the possession of the opposing counsel or party shall be made outside the hearing of jurors;

(4) **Motions:** Motions for judgments on the pleadings, to exclude evidence, directed verdict, and mistrial shall be made and argued outside the hearing of the jurors. If the ruling affects the issues to be tried by the jury, the court, after consulting with counsel, shall advise the jurors. Immediately upon granting a motion to strike any evidence or arguments to the jury, the court shall instruct the jury to disregard the matter stricken; and

(5) **Sensitive Areas of Inquiry:** Areas of inquiry reasonably anticipated to be inflammatory, highly prejudicial, or inadmissible, shall be brought to the attention of opposing counsel and the court outside the hearing of jurors before inquiry. A question of a witness shall be framed to avoid the suggestion of any inadmissible matter.

(i) **Questioning by Judge.** The judge shall not examine a witness until the parties have completed their questions of such witness and then only for the purpose of clarifying the evidence. When the judge finishes questioning, all parties shall have the opportunity to examine the matters touched upon by the judge. If a lawyer wants to object to a question posed by the court, he or she shall make an objection on the record outside the presence of the jury. The lawyer shall make a "motion to strike" and ask for a curative instruction.

(j) **Advice of Court as to Self-Incrimination.** Whenever there is a likelihood of self-incrimination by a witness, the court shall advise the witness outside the hearing of the jurors of the privilege against self-incrimination.

(k) **Policy Against Indication as to Testimony.** Persons in the courtroom shall not indicate by facial expression, shaking of the head, gesturing, shouts or other conduct disagreement or approval of testimony or other evidence being given, and counsel shall so instruct parties they represent, witnesses they call, and persons accompanying them.

(l) **Policy on Approaching the Bench.** Except with approval of the court, persons in the courtroom shall not traverse the area between the bench and counsel table, and counsel shall so instruct parties they represent, witnesses they call, and persons accompanying them.

(m) **Use of Depositions and Interrogatories.** A party, before reading into evidence from depositions or interrogatories, shall cite page and line numbers to be read, and pause briefly for review by opposing counsel and the court and for any objections. The court may require designation of portions of depositions to be used at trial in a pretrial order.

**Cross Reference:** Minn. R. Civ. P. 43.

### Task Force Comment--1991 Adoption

Subsections (a)-(d) are derived from ¶¶ 48-53 of the existing Trialbook, in order.

Subsection (e) is derived from Rule 27(d) of the Code of Rules.

Subsection (f) is derived from ¶ 59 of the existing Trialbook.

Subsection (g) is derived from ¶ 58 of the existing Trialbook.

Subsection (h) is derived from ¶ 18 of the existing Trialbook.

Subsections (i)-(l) are derived from ¶¶ 62-65 of the existing Trialbook, in order.

Subsection (m) is derived from existing Trialbook, ¶ 22.

### Section 11 Interpreters

The party calling a witness for whom an interpreter is required shall advise the court in advance of the need for an interpreter. Parties shall not use a relative or friend as an interpreter in a contested proceeding, except as approved by the court.

Cross Reference: Minn. R. Civ. P. 43.

### Task Force Comment--1991 Adoption

This section is derived from existing Trialbook ¶ 60.

### Section 12 Exhibits

(a) **Pre-Trial Exchange of Lists of Exhibits.** Each party shall prepare a list of exhibits to be offered in evidence, and exchange copies of such lists with other counsel prior to the pre-trial conference. Such lists shall briefly describe each exhibit anticipated to be offered in evidence. Prior to the commencement of trial, copies of all documents on the list of exhibits shall be made available by the proponent for examination and copying by any other party.

(b) **Counsel to Organize Numerous Exhibits.** If it can reasonably be anticipated that numerous exhibits will be offered in a trial, all counsel shall meet with designated court personnel shortly prior to or during a recess of the trial for the purpose of organizing and marking the exhibits.

All exhibits shall be marked for identification before any reference by counsel or by a witness.

(c) **Marking of Exhibits First Disclosed During Trial.** When an exhibit is first disclosed, the proponent shall have it marked for identification before referring to it.

(d) **Uniform Methods of Marking Exhibits.** Exhibits proposed by any party shall be marked in a single series of arabic numbers, without designation of the party offering each exhibit. Exhibit numbers may be consecutive or may be pre-assigned in blocks to each party.

(e) **Collections of Similar and Related or Integrated Documents.** Each collection of similar and related or integrated documents shall be marked with a single designation. If reference is made to a specific document or page in such collection, it shall be marked with a letter the arabic exhibit number assigned to the collection, e.g., "1-a," "21-b," "2-g," etc.

(f) **Oral Identification of Exhibits at First Reference.** Upon first reference to an exhibit the proponent shall briefly refer to its general nature, without describing the contents.

(g) **When Exhibits to be Given to Jurors.** Exhibits admitted into evidence, subject to cursory examination, such as photographs and some other demonstrative evidence, may be handed to jurors only after leave is obtained from the court.

Other exhibits admitted into evidence, not subject to cursory examination, such as writings, shall not be handed to jurors until they retire to the jury room upon the cause being submitted to them. If a party contends that an exhibit not subject to cursory examination is critical and should be handed to jurors in the jury box during the course of the trial, counsel shall request leave from the court. Such party shall be prepared to furnish sufficient copies of the exhibit, if reasonably practicable, for all jurors in the event

such leave is granted; and upon concluding their examination, the jurors should return the copies to the bailiff. In lieu of copies, and if reasonably practicable, enlargements or projections of such exhibits may be utilized. The court may permit counsel to read short exhibits or portions of exhibits to the jury.

**(h) Exhibits Admitted in Part.** If an exhibit admitted into evidence contains some inadmissible matter, e.g., a reference to insurance, excluded hearsay, opinion or other evidence lacking foundation, the court, outside the hearing of the jury, shall specify the excluded matter and withhold delivery of such exhibit to the jurors unless and until the inadmissible matter is physically deleted.

Such redaction may be accomplished by photocopying or other copying which deletes the inadmissible portions, and in such event, the proponent of such exhibit shall prepare and furnish a copy.

If redaction by such copying is not accomplished, the parties shall seek to reach a stipulation as to other means; and failing so to do, the admissible matter may be read into evidence with leave of the court.

**(i) Evidence Admitted for a Limited Purpose.** When evidence is received for a limited purpose or against less than all other parties, the court shall so instruct the jury at the time of admission and, if requested by counsel, during final instructions.

**Cross Reference:** Minn. R. Civ. P. 43.

#### **Task Force Comment--1991 Adoption**

Subsection (a) is derived from existing Trialbook ¶ 37.

Subsection (b) is derived from existing Trialbook ¶ 38.

Subsection (c) is derived from existing Trialbook ¶ 39.

Subsection (d) is derived, with change, from existing Trialbook ¶ 40.

Subsection (e) is derived from existing Trialbook ¶ 41.

Subsection (f) is derived from existing Trialbook ¶ 42.

Subsection (g) is derived from existing Trialbook ¶ 19.

Subsection (h) is derived from existing Trialbook ¶ 20.

Subsection (i) is derived from existing Trialbook ¶ 21.

The change made in subsection (d) expands on the uniformity attempted in the existing Trialbook. This new section requires a uniform method of marking exhibits, without the cumbersome prefixes that are frequently now encountered. The Task Force believes that a uniform numbering system will benefit the courts and litigants. The new system will permit exhibits to be used without labeling to show "ownership" or "lineage" of the exhibit. This system will also facilitate numbering of exhibits in multi-party cases, where the current practice creates complicated numbers at trial and burdensome citations on appeal. Lawyers and judges with experience in using this system believe it works fairly, predictably, and efficiently. The section permits flexibility in assignment of exhibit numbers, allowing them to be issued seriatim at trial or in blocks of numbers assigned to each party prior to trial.

The provisions of subsection (g) are not intended to limit in any way the discretion of the trial court as to what evidence is allowed to go to the jury room. Any evidence that is fragile, perishable, or hazardous may properly not be allowed into the jury deliberation room.

### **Section 13 Custody of Exhibits**

**(a) Return of Exhibits to Court Personnel.** Immediately after conclusion of the examination of a witness regarding an exhibit shown to a witness, counsel shall return it to the court personnel.

**(b) Exhibits after Trial.** Upon the completion of trial, the administrator shall index and retain all exhibits until the case is finally disposed of and all times for appeal have expired and they are either retrieved by the party offering them or destroyed pursuant to Minn. Gen.R. Prac. 128. In the event

an appeal is taken, the court administrator shall deliver the exhibits to the Clerk of Appellate Courts in accordance with the procedures of the appellate courts.

(c) **Bulky Exhibits.** Any time after trial and upon the agreement of all parties, the court administrator may arrange the return of bulky exhibits to the party offering them at trial.

**Cross Reference:** Minn. R. Civ. P. 43, 77; Minn. Gen. R. Prac. 128, 129.

**Task Force Comment--1991 Adoption**

Subsection (a) is derived from existing Trialbook ¶ 43.

Subsection (b) is new, although the subject is covered in a number of current rules.

**Section 14 Sealing and Handling of Confidential Exhibits**

When briefs, depositions, and other documents or an exhibit such as a trade secret, formula or model are to be treated as confidential, if size permits, such an exhibit shall be placed in a sealed envelope clearly labeled as follows:

"This envelope contains Exhibits \_\_\_\_\_ which are confidential and sealed by order of the court. This envelope shall not be opened, nor the contents hereof revealed, except by order of the court."

Such an envelope and other confidential exhibits shall be kept in a locked container such as a file cabinet or some other secure location under the supervision of the administration until released by order of the court.

If testimony is taken which would reveal the substance of confidential exhibits, the courtroom shall be cleared of all persons other than parties, their lawyers, and court personnel. Those present, including jurors, shall be directed by the court to refrain from disclosing the substance of the confidential exhibits.

The pertinent portions of the reporter's notes or transcript shall be kept in a locked container after being placed in a sealed envelope clearly labeled as follows:

"This envelope contains confidential references sealed by order of the court. This envelope shall not be opened, nor the contents hereof revealed, except by order of the court."

Briefs and other papers submitted in or after trial ordinarily should not describe the substance of confidential exhibits but should refer to them only by number or letter designation pursuant to the uniform method of marking exhibits.

**Cross Reference:** Minn. R. Civ. P. 26.03, 43, 77; Minn. Gen. R. Prac. 128, 129.

**Task Force Comment--1991 Adoption**

This section is derived from existing Trialbook ¶ 47. For a discussion of balancing tests applicable to requests to seal documents, see *Minneapolis Star & Tribune Co. v. Schumacher*, 392 N.W.2d 197, 202-206 (Minn. 1986).

**Section 15 Instructions**

(a) **When Jury Instructions to be Submitted.** Jury instructions shall be submitted in accordance with Minn. R. Civ. P. 51. Written requests for instructions shall list authorities.

(b) **Conference Regarding Instructions and Verdicts.** Before final argument and after submission to the court of all proposed jury instructions and verdict forms, a conference shall be held outside the presence of jurors.

A reporter is not required at the beginning of the conference while the court reviews with counsel any proposed instructions or verdict forms and discusses:

(1) whether any proposed instructions or verdict forms are inappropriate and will be voluntarily withdrawn;

(2) whether there is any omission of instructions or verdict forms which are appropriate and shall be offered and given without objection; and

(3) whether there is any other modification of instructions or verdict forms to which the parties will stipulate.

Thereafter, the conference shall be reported and the court shall:

(1) specify those instructions and verdict forms the court proposes to give, refuse, or modify, whether at the request of a party or on its own initiative;

(2) hear formal argument, and rule upon any objections to, and offers of, the proposed instruction and verdict forms.

**(c) Specifying Disposition of Instructions.** Upon determining the instructions to be given, refused, or modified, the court shall indicate the disposition and sign or initial them.

**(d) Stipulations Regarding Further Procedure.** At a conference prior to the submission of the case to the jury, the court may request that the parties consider stipulating:

(1) that in the absence of any counsel the court may, upon request of the jury, read to the jury any and all instructions previously given;

(2) that in the absence of the court after the original submission of the case to the jury, any judge of the court may act in the court's place up to and including the time of dismissal of the jury;

(3) that a stay of entry of judgment for an agreed upon number of days shall be granted after a verdict;

(4) that a sealed verdict may be returned; and

(5) that the presence of the clerk and reporter, the right to poll the jury, and the right to have the verdict immediately recorded and filed in open court are waived.

**(e) Changing Jury Instructions.** If, after the chambers conference and at any time before giving the instructions and verdict form to the jurors, the court determines to make any substantive change the court shall so advise all parties outside the hearing of jurors. If the court determines to make a substantive change after final argument, the court shall permit additional final argument. The court shall also make a statement on the record regarding any changes.

**(f) Use of Jury Instructions in Jury Room.** Jury instructions may be sent to the jury room for use by the jurors if the court so directs. The number, title, citation of authority, and history shall be removed from each instruction. Stricken portions shall be totally obliterated and any additions shall be completely legible.

**Cross Reference:** Minn. R. Civ. P. 51.

#### **Task Force Comment--1991 Adoption**

Subsection (a) is derived from existing Trialbook ¶ 24.

Subsection (b) is derived from existing Trialbook ¶ 25.

Subsection (c) is derived from existing Trialbook ¶ 26.

Subsection (d) is derived from existing Trialbook ¶ 27.

Subsection (e) is derived from existing Trialbook ¶ 28

Subsection (f) is derived from existing Trialbook ¶ 32.

#### **Section 16 Questions by Jurors**

If the jury has a question regarding the case during deliberations, the court shall instruct the foreperson to reduce it to writing and submit it through appropriate court personnel. Upon receipt of such a written question, the court shall review the propriety of an answer with counsel, unless counsel have waived the right to participate or cannot be found after reasonable and diligent search documented by the court. Such review may be in person or by telephone, and shall be on the record outside the hearing of



the jury. The written question and answer shall be made a part of the record. The answer shall be given in open court, absent a stipulation to the contrary.

**Cross Reference:** Minn. R. Civ. P. 47, 49.

**Task Force Comment--1991 Adoption**

This section is derived from existing Trialbook ¶ 34.

**Section 17 Special Verdicts**

(a) **Special Verdict Forms.** A party requesting a special verdict form should prepare the proposed form and submit it to the court and serve it upon the other counsel prior to the chambers conference referred to in section 15 of this Trialbook.

(b) **Filing.** Proposed special verdict forms shall be filed and made part of the record in the case.

(c) **Copies of Verdict.** The court may provide copies of the verdict form to the jury or to each juror for use during arguments or instruction.

**Cross Reference:** Minn. R. Civ. P. 49.

**Task Force Comment--1991 Adoption**

Subsection (a) is derived from existing Trialbook ¶ 33.

Subsection (b) is new.

Subsection (c) is new. The Task Force believes that it may be useful in some cases to allow the jury to have a copy or copies to be used during arguments of counsel or instructions by the court. It is not wise to permit multiple copies of the verdict form to be taken into the jury room, however.

**Section 18 Polling and Discharge**

(a) **Polling the Jury.** Upon the return of any verdict and at the request of a party the jury shall be polled. Polling shall be conducted by the trial court or by the clerk at the trial court's direction by asking each juror: "Is the verdict read your verdict?"

(b) **Discharge of the Jury.** In discharging the jury, the court shall:

- (1) Thank the jury for its service;
- (2) Not comment on the propriety of any verdict or failure to reach same;
- (3) Advise the jurors that they may, but need not, speak with anyone about the case; and
- (4) Specify where and when any jurors are to return for further service.

**Cross Reference:** Minn. R. Civ. P. 47-49.

**Task Force Comment--1991 Adoption**

Subsection (a) is derived from existing Trialbook ¶ 35.

Subsection (b) is derived from existing Trialbook ¶ 36.

## TITLE III – REGISTRATION OF LAND TITLES

### PART A – PROCEEDINGS FOR INITIAL REGISTRATION

#### **Rule 201      Applicability of Rules**

Rules 201 through 222 of these rules apply to all actions and proceedings in the district court relating to registration of land titles, including proceedings subsequent to initial registration.

#### **Task Force Comment—1991 Adoption**

These rules include all of the provisions of the Code of Rules for the District Courts, Part II, and include additional rules derived from detailed local rules provisions dealing with subjects not addressed in the Code of Rules. No significant substantive changes have been made except to add these new provisions to the state-wide rules.

#### **Rule 202      Applications—Indorsements**

Applications shall be approved as to form by the examiner, and there shall be indorsed thereon the name and address of the applicant's lawyer, or of the applicant if the applicant appears in person.

#### **Rule 203      Abstracts of Title**

The abstract when filed shall show the record of the patent or other conveyance from the United States, the record of the certified copy of the application, and shall include searches as to all state and federal judgments, federal and state tax liens, real estate taxes and tax and special assessment sales. The abstract also shall contain bankruptcy searches in the office of the County Recorder in the county in which the land is located. Additional bankruptcy searches in the office of the clerk of federal district court shall be required only in examination of title to lands in Hennepin, Ramsey and St. Louis counties.

#### **Rule 204      Title Based Upon an Adjudication Not Final, or Upon Estoppel**

When the title of the applicant or the release or discharge of any incumbrance thereon is based upon an adjudication not final, or upon estoppel, and there remains a right of appeal or contest, all parties having such right of appeal or contest shall be made parties defendant.

#### **Rule 205      Examiner's Report—Petition and Order for Summons**

The examiner's report shall specify the names of all parties deemed necessary parties defendant. Petitions for summons shall set forth those names and the names of such other parties as the applicant deems to be necessary, and the names, if known to the applicant, or ascertainable by reasonable inquiry of the successors in interest of such persons known to the applicant to be deceased. The petition shall recite that the petitioner has made a diligent effort by reasonable inquiry and search to ascertain the place of residence of all defendants named therein, and where the place of residence of a defendant is unknown to the petitioner, the petition shall so state such fact.

#### **Rule 206      Papers to be Filed—Effect of Notice and Appearance**

A defendant who appears or files an answer, and who also serves a copy on the applicant or the applicant's lawyer, shall be entitled to notice of all subsequent proceedings in that action.

**Rule 207      Affidavit of No Answer and Court Administrator's Certificate of Default**

The default of defendants who fail to appear and answer shall be shown by the certificate of the court administrator of the district court in which the action is filed, and by the affidavit of the applicant's lawyer, if the applicant appears by lawyer; otherwise by the applicant's affidavit.

**Rule 208      Hearings in Default Cases—Filing Papers**

Initial applications, where no issue has been joined, shall be heard by the court at any special term, or they may be heard by an examiner, to whom the matter has been specially referred. In counties where the examiner checks the proceedings in advance of the hearings, all papers necessary to complete the files shall be filed; and all documentary evidence proposed to be used by the applicant or petitioner shall be delivered to the examiner at least three days before the hearing, together with the proposed order for judgment and decree.

**Rule 209      Issues Raised by Answer—Reply**

All facts alleged in an answer, which are not in accordance with the allegations of the application, shall be considered at issue without reply by the applicant. But if the answer sets up rights admitted in the application, or in a reply of the applicant, the hearing may proceed as in case of a default, and the registration shall be subject to such rights.

**Rule 210      Trial of Contested Issues**

In all cases where the answer raises an issue which is not disposed of by stipulation or otherwise, the matter shall be set for trial. The procedure and the method of determination shall be the same as in the trial of similar issues in civil actions or proceedings.

**Rule 211      Interlocutory Decree Establishing Boundaries**

When the applicant seeks to fix and establish all or some of the boundary lines of the land, the applicant shall have the premises surveyed by a registered land surveyor and shall cause to be filed in the proceeding a plat of the survey showing the correct boundaries of the premises. The applicant shall furnish the examiner with such abstracts of title of adjoining lands as the latter shall require in determining the necessary parties defendant in the fixing and establishing of such boundaries. The hearing upon such application may be separate from or in connection with the hearing upon the application to register, but before any final adjudication of registration, the court by order shall fix and establish such boundaries and direct the establishment of "judicial landmarks" in the manner provided by Minn. Stat. § 559.25. In the decree of registration thereafter entered, and in certificates of title thereafter issued, the description of the land shall contain appropriate reference to such "judicial landmarks."

**Rule 212      Protection of Interests Acquired Pendente Lite—Provision for Immediate Registration after Hearing**

At the time of the hearing of the application for judgment, the applicant shall satisfy the court by continuation of abstract, if required by the examiner, and other proper proof, of any changes in the title, or in the incumbrances arising since the filing of the application. When the decree is signed, the applicant shall forthwith file it with the court administrator, together with a receipt of the registrar showing payment of all sums due for the registration of the decree, and the issuance of a certificate of title, and thereupon the court administrator shall certify a copy of the decree and file the same for registration with the registrar.

## PART B – PROCEEDINGS SUBSEQUENT TO INITIAL REGISTRATION

### Rule 213 Title of Proceedings

Proceedings subsequent to the initial registration under Minn. Stat. §§ 508.44, 508.45, 508.58, 508.59, 508.61, 508.62, 508.67, 508.671, 508.70, 508.71, and 508.73, shall be commenced by filing with the court administrator a verified petition by a party in interest, which shall be entitled:

In the Matter of the Petition of \_\_\_ in Relation to (description of property) registered in Certificate of Title No. \_\_\_ for (relief sought).

The petition shall allege the facts justifying the relief sought, the names of all interested parties as shown by the certificate of title, and their interests therein.

### Rule 214 Trial and Hearing

In proceedings where no notice is required and in proceedings where the required process or notice has been served and the time for appearance has expired without any issue having been raised, the proceedings shall be set for trial and heard the same as in proceedings upon default for initial registration. Issues raised in these proceedings shall be set for trial and disposed of the same as similar issues in other civil proceedings.

### Rule 215 New Certificates, Amendments, Etc.

In proceedings under Minn. Stat. §§ 508.44, 508.45, 508.58, 508.59, 508.61, 508.62, 508.67, 508.671, 508.70, 508.71, and 508.73, the examiner shall make such examination as to the truth of the allegations contained in the petition as the examiner considers necessary, or as directed by the court. In all cases where notice is necessary and the manner of notice is not prescribed by statute, it shall be by an order to show cause, which shall designate the respondents, the manner of service, and the time within which service shall be made. Any final order or decree directed in such proceeding shall be approved as to form by the examiner before presentation to the court.

### Rule 216 New Duplicate Certificate

Every petition for a new duplicate certificate shall be filed with the clerk and a certified copy thereof may be filed with the registrar for registration as a memorial on the certificate of title. Thereupon the court shall issue a citation addressed "To Whom It May Concern," fixing a time and place of hearing and prescribing the mode of service. No order shall be made for a new duplicate except upon hearing and due proof that the duplicate theretofore issued has been lost or destroyed, or cannot be produced. If it shall appear at the hearing that there are any known parties in interest to whom notice should be given, the hearing shall be continued and an order entered accordingly.

## PART C – MISCELLANEOUS PROVISIONS

### Rule 217 Cases Not Requiring Special Order of Court

When the interest of a life tenant has been terminated by death, the Registrar may receive and enter a memorial of a duly certified copy of the official death certificate and an affidavit of identity of the decedent with the life tenant named in the certificate of title; and in such case the memorial of said certificate and affidavit shall be treated as evidence of the discharge of said life tenancy.

#### Task Force Comment—1991 Adoption

This rule is derived from 4th Dist. R. 11.02(d).

**Rule 218 State Tax Deeds**

A deed from the State of Minnesota in favor of the registered owner shall be registered as a memorial on the certificate of title as a discharge of an Auditor's Certificate of forfeiture to the State.

In cases where the state deed of repurchase is dated subsequent to the date of any conveyance by the repurchasing registered owner to another, the County Auditor, a deputy Auditor, or the County Land Commissioner may endorse on the state deed a statement that the repurchase was made prior to or concurrent with the date of the conveyance by the registered owner.

**Task Force Comment--1991 Adoption**

This rule is derived from 4th Dist. R. 11.03

**Rule 219 Deeds of Housing and Urban Development**

In the registration of deeds or other instruments hereinafter listed for titles or interest registered in the name of an individual as Secretary of Housing and Urban Development, the Registrar of Titles shall be guided by 12 U.S.C. § 1710(g), which confers upon any designated officer, agent or employee the power to convey and to execute in the name of the Secretary deeds of conveyance, deeds of release, assignments of mortgages, satisfactions of mortgages, and any other written instrument relating to real property or any interest therein which has been acquired by the Secretary; and the Registrar of Titles shall accept the statement of the certificate of acknowledgement attached to any such instrument as evidence of the official character of the Secretary or the Secretary's designated officer, agent or employee executing the instrument.

**Task Force Comment--1991 Adoption**

This rule is derived from 4th Dist. R. 11.04.

**Rule 220 Birth Certificates**

The Registrar of Titles is authorized to receive for registration of memorials upon any outstanding certificate of title an official birth certificate pertaining to a registered owner named in said certificate of title showing the date of birth of said registered owner, providing there is attached to said birth certificate an affidavit of an affiant who states that he/she is familiar with the facts recited, stating that the party named in said birth certificate is the same party as one of the owners named in said certificate of title; and that thereafter the Registrar of Titles shall treat said registered owner as having attained the age of majority at a date 18 years after the date of birth shown by said certificate.

**Task Force Comment--1991 Adoption**

This rule is derived from 4th Dist. R. 11.05.

**Rule 221 Death Certificates**

The Registrar of Titles may receive official certificates of death issued by the United States Department of Defense or other military department in lieu of a certificate of death.

**Task Force Comment--1991 Adoption**

This rule is derived from 4th Dist. R. 11.06.

**Rule 222      Condominiums**

The procedure for administration by the Registrar of the Uniform Condominium Act shall be as follows:

(a) The declaration, bylaws and any amendments thereto, to be filed in the office of the Registrar of Titles, must be executed and acknowledged and embrace land within the county.

(b) In order to have uniformity in the recording offices and to protect the interests of the public generally, the general requirements of Minn. Stat. § 505.08 as to the platting of land shall be followed, namely: as authorized by Minn. Stat. § 505.08, subd. 2a, only one set of transparencies shall be filed. The transparencies shall be of 4 mil. thickness, black on white on clear Mylar and be made by a fixed photo process. The transparencies shall be 20 by 30 inches in size. More detailed information on the drafting of the condominium plat may be obtained from the Registrar of Titles.

(c) The condominium plat is to be numbered serially beginning with the next number after the last apartment ownership number assigned pursuant to the Minnesota Condominium Act, Minn. Stat. ch. 515, and the numbers shall run consecutively within the offices of the County Recorder and the Registrar of Titles.

(d) Where registered land is to be submitted for administration under said act, the declarant, prior to filing the declaration and bylaws, shall obtain an Order of the Court in a Proceedings Subsequent to Initial Registration of land that the Declaration, including the condominium plat, and Bylaws, as submitted, comply with the various requirements of Minn. Stat. ch. 515A, and any amendments thereto. The Order shall direct the Registrar of Titles to accept such documents for registration and to enter them as separate memorials on the original Certificate of Title and on the Owner's Duplicate Certificate thereof. Reference to such documents, including the document numbers and dates of filing, shall be carried forward to each succeeding Certificate, including any Mortgagees' or Lessees' Duplicate Certificates.

(e) A condominium shall not include both registered land and unregistered land, but shall consist only of land that is all registered under Minnesota Statutes Chapter 508 or land of which no part is so registered.

**Task Force Comment—1991 Adoption**

This rule is derived from 4th Dist. R. 11.07.

## TITLE IV -- RULES OF FAMILY COURT PROCEDURE

### Rule 301      **Applicability of Rules**

Rules 301 through 312 apply to all proceedings in Family Court. These rules and, where applicable, the Minnesota Rules of Civil Procedure shall apply to family law practice except where they are in conflict with applicable statutes.

#### **Task Force Comment--1991 Adoption**

These rules are derived primarily from the Rules of Family Court Procedure. The advisory committee comments from the Rules of Family Court Procedure are included except where inconsistent with new provisions or where applicable rules are not retained.

These rules apply to the following specific types of proceedings that are generally treated as family court actions:

1. Marriage dissolution, legal separation, and annulment proceedings (Minn. Stat. ch. 518);
2. Child custody enforcement proceedings (Minn. Stat. ch. 518A);
3. Domestic abuse proceedings (Minn. Stat. ch. 518B);
4. Support enforcement proceedings (Minn. Stat. ch. 518C--R.U.R.E.S.A.);
5. Contempt actions in Family Court (Minn. Stat. ch. 588);
6. Parentage determination proceedings (Minn. Stat. §§ 257.51-.74);
7. Actions for reimbursement of public assistance (Minn. Stat. § 256.87);
8. Withholding of refunds from support debtors (Minn. Stat. § 289A.50, subd. 5);
9. Proceedings to compel payment of child support (Minn. Stat. § 393.07, subd. 9); and
10. Proceedings for support, maintenance or county reimbursement judgments (Minn. Stat. § 548.091).

### Rule 302      **Commencement; Continuance; Time; Parties**

#### Rule 302.01      **Commencement of Proceedings**

(a) **Service.** Marriage dissolution, legal separation and annulment proceedings shall be commenced by service of a summons and petition upon the person of the other party, or by publication pursuant to court order. Service in other family court proceedings shall be governed by the rules of civil procedure.

(b) **Joint Petition.** No summons shall be required if a joint petition is filed. Proceedings shall be deemed commenced when both parties have signed the verified petition.

(c) **Service by Publication.** Service of the summons and petition may be made by publication only upon an order of the court. If the respondent subsequently is located, personal service shall be made before the final hearing.

#### **Family Court Rules Advisory Committee Commentary**

Proceedings for dissolution, legal separation and annulment are governed by Minn. Stat. ch. 518. Minn. Stat. § 518.10 sets out the requisites for the petition. Minn. Stat. § 518.11 governs service by publication and precludes substitute service or service by mail under Minn. R. Civ. P. 4.05. The respondent's answer must be served within 30 days. Minn. Stat. § 518.12. The joint proceeding is commenced on the date when both parties have signed the petition; no summons is required. Minn. Stat. §§ 518.09 & .11. In cases involving foreign nationals, *see* Part I, Rule 30, Code of Rules for District Court.

Custody proceedings under the Uniform Child Custody Jurisdiction Act are governed by Minn. Stat. 518A. Interstate service and notice must be accomplished at least 20 days prior to any hearing in Minnesota. Service within the state is set forth in Minn. R. Civ. P. 4.

Domestic abuse proceedings are governed by Minn. Stat. Ch. 518B. Ex parte orders for protection must include notice of a hearing within 14 days of the issuance of the order. Personal service upon the respondent must be effected not less than 5 days prior to the first hearing.

Support proceedings under the revised Uniform Reciprocal Enforcement of Support Act are governed by Minn. Stat. Ch. 518C. The time for answer is governed by the law of the responding jurisdiction.

Actions to establish parentage are governed by Minn. Stat. Ch. 257. Actions for reimbursement for public assistance are governed by Minn. Stat. § 256.87. Defendant has 20 days to answer the complaint in each action.

The Petitioner must notify the public agency responsible for support enforcement of all proceedings if either party is receiving or has applied for public assistance. Minn. Stat. § 518.551.

A party appearing pro se shall perform the acts required by rule or statute in the same manner as an attorney representing a party. An attorney dealing with a party pro se shall proceed in the same manner, including service of process, as in dealing with an attorney.

#### **Task Force Comment—1991 Adoption**

Subsection (a) is derived from Rule 1.01 of the Rules of Family Court Procedure.

Subsection (b) is derived from Second District Local Rule 1.011.

Subsection (c) is derived from Second District Local Rule 1.013. See Minn. Stat. § 518.11 (1990). This is to protect the children and help avoid secret proceedings if the respondent is able to be located.

#### **Rule 302.02 Continuances**

Minn. Gen. R. Prac. 122 shall be followed in connection with continuances for pre-hearings and trial settings. No continuance of a motion shall be granted unless requested within 3 days of receiving notice under Rule 303.01(a) and unless good cause is shown.

#### **Rule 302.03 Time**

Time is governed by Minnesota Rules of Civil Procedure, except where a different time is specified by statute. Procedural time limits may be shortened for good cause shown.

#### **Family Court Rules Advisory Committee Commentary**

Family Court proceedings involve human considerations which may require expeditious judicial attention. The shortening of time should be the exception and not the rule. A motion to shorten time will be granted only upon demonstration of the unusual circumstances justifying this extraordinary relief. See Rule 2.05.

#### **Task Force Comment—1991 Adoption**

This rule is derived from existing Rule 1.04 of the Rules of Family Court Procedure.

#### **Rule 302.04 Designation of Parties**

(a) **Petitioner and Respondent.** Parties to dissolution, legal separation, annulment, custody, domestic abuse, U.C.C.J.A., and R.U.R.E.S.A. proceedings shall be designated as petitioner (joint petitioners) and respondent. Parties to parentage and Minn. Stat. ch. 256.87 reimbursement actions shall



be designated as plaintiff and defendant. After so designating the parties, it is permissible to refer to them as husband and wife by inserting the following in any petition, order, decree, etc.:

Petitioner is hereinafter referred to as (wife/husband), and respondent as (husband/wife).

(b) **Guardians.** Appointment of a guardian ad litem is governed by Minn. Gen. R. Prac. 108. A guardian ad litem for minor children may be designated a party to the proceedings in the order of appointment.

#### **Family Court Rules Advisory Committee Commentary**

A guardian appointed pursuant to Minn. Stat. § 257.60 becomes a party to the action if the child is made a party. The guardian then would be entitled to initiate and respond to motions, conduct discovery, call and cross-examine witnesses, make oral or written arguments or reports and appeal on behalf of a child without the necessity of applying to the court.

A guardian appointed under Minn. Stat. § 518.165 is not a party to the proceeding and may only initiate and respond to motions and make oral statements and written reports on behalf of the child.

A party has the right to cross-examine as an adverse witness the author of any report or recommendation on custody and visitation of a minor child. Thompson v. Thompson, 288 Minn. 41, 55 N.W. 329 (1952) and Scheibe v. Scheibe, 308 Minn. 449, 241 N.W.2d 100 (1976).

Practice among the courts may vary with respect to appointments. Some courts maintain panels of lay guardians while other courts maintain panels of attorney guardians. If a lay guardian is appointed, an attorney for the guardian may also be appointed. Guardians may volunteer or be paid for their services. An attorney requesting appointment of a guardian should inquire into local practice.

#### **Task Force Comment--1991 Adoption**

Subdivision (a) of this rule is derived from existing Second District R. 1.07.

Subdivision (b) of this rule is derived from Rule 1.02 of the Uniform Rules of Family Court Procedure. The first sentence of the subdivision is new and is intended to make it clear that practice involving guardians ad litem is also governed by another rule provision.

### **Rule 303 Motions; Ex Parte Relief; Orders to Show Cause; Orders and Decrees**

#### **Rule 303.01 Scheduling of Motions**

##### **(a) Notice.**

(1) All motions shall be accompanied by either an order to show cause or by a notice of motion which shall state, with particularity, the time and place of the hearing and the name of the judge, referee, or judicial officer, as assigned by the local assignment clerk.

(2) Except in cases in which the parties reside in the same residence and there is a possibility of abuse, a party who obtains a date and time for hearing a motion shall promptly give notice of the hearing date and time and the name of the judge or referee, if known, to all other parties in the action. If the parties reside in the same residence and there is a possibility of abuse, notice shall be given in accordance with the Minnesota Rules of Civil Procedure.

(b) **Notice of Time to Respond.** All motions and orders to show cause shall contain the following statement:

All responsive pleadings shall be served and mailed to or filed with the court administrator no later than five days prior to the scheduled hearing. The court may, in its discretion, disregard any responsive pleadings served

or filed with the court administrator less than five days prior to such hearing in ruling on the motion or matter in question.

#### **Family Court Rules Advisory Committee Commentary**

The scheduling of cases and the assignment of judges, judicial officers or referees is often a situation in which local calendaring practices prevail. Effective disposition of litigation requires immediate notice of the hearing officer's identity to preclude last minute filing of notices to remove or affidavits of prejudice.

#### **Task Force Comment--1991 Adoption**

Subdivision (a)(1) of this rule is derived from existing Rule 2.01 of the Rules of Family Court Procedure.

Subdivision (a)(2) is from the new Minn. Gen. R. Prac. 115.02. It is intended primarily to prevent a party from obtaining a hearing date and time weeks in advance of a hearing but then delaying giving notice until shortly before the hearing. This practice appears to give an unnecessary tactical advantage to one side. Additionally, by requiring that more than the minimum notice be given in many cases, it will be possible for the responding parties to set on for hearing any additional motions they may have. This may result in the more efficient hearing of multiple motions on a single hearing date.

Subdivision (b) of this rule is derived from Second Judicial District Rule 2.011.

#### **Rule 303.02 Form of Motion**

(a) **Specificity and Supporting Documents.** Motions shall set out with particularity the relief requested in individually numbered paragraphs. All motions must be supported by appropriate affidavits, relevant and material to the issues before the court. The paragraphs of the affidavits should be specific and factual; where possible, they should be numbered to correspond to the paragraphs of the motion.

(b) **Application for Temporary Relief.** When temporary financial relief is initially requested, such as child support, maintenance and attorney's fees, the application for temporary relief form set forth at form 1 appended to these rules shall be served and filed by the moving and responding parties. Additional facts, limited to relevant and material matters, shall be added at paragraph 10 of the application form or by supplemental affidavit. Sanctions for failure to comply include, but are not limited to, the striking of pleadings or hearings.

#### **Task Force Comment--1991 Adoption**

Subdivision (a) of this rule is derived from existing Rule 2.02 of Rules of Family Court Procedure.

Subdivision (b) of this rule is derived from Second Judicial District Rule 2.021.

The local rule from which subdivision (b) is derived included a requirement that information be filed on forms, and that typewritten or word-processed documents would not be accepted for filing. The Task Force considered the desirability of requiring information to be submitted on pre-printed forms, and determined that such requirements should not be retained. Many modern law offices cannot readily prepare such documents as word processing machines have displaced the typewriters for which the forms are designed. The Task Force also believes that these requirements only increase the cost of litigation and limit access to the courts.

**Rule 303.03 Motion Practice**

**(a) Requirements for Motions.**

(1) Moving Party, supporting documents, time limits. No motion shall be heard unless the initial moving party serves a copy of the following documents on opposing counsel and files the original with the court administrator at least 14 days prior to the hearing:

- (i) Notice of motion in form required by Minn. Gen. R. Prac. 303.01(a);
- (ii) Motion;
- (iii) Any relevant affidavits and exhibits; and
- (iv) Any memorandum of law the party intends to submit.

(2) Motion Raising New Issues. A responding party raising new issues other than those raised in the initial motion shall serve a copy of the following documents on opposing counsel and shall file the original with the court administrator at least 10 days prior to the hearing:

- (i) Notice of motion in form required by Minn. Gen. R. Prac. 303.01(a);
- (ii) Motion;
- (iii) Any relevant affidavits and exhibits; and
- (iv) Any memorandum of law the party intends to submit.

(3) Responding party, supporting documents, time limits. The party responding to issues raised in the initial motion, or the party responding to a motion which raises new issues, shall serve a copy of the following documents on opposing counsel and shall file the original with the court administrator at least five days prior to the hearing, inclusive of Saturdays, Sundays, and holidays:

- (i) Any memorandum of law the party intends to submit
- (ii) Any relevant affidavits and exhibits.

(4) Computation of Time for Service and Filing By Mail. Whenever this rule requires documents to be filed with the court administrator within a prescribed period of time before a specific event, filing may be accomplished by mail, subject to the following: (i) 3 days shall be added to the prescribed period; and (ii) filing shall not be considered timely unless the documents are deposited in the mail within the prescribed period. Service of documents on parties by mail is subject to the provisions of Minn. Civ. R. P. 5.02 and 6.05.

(b) Failure to Comply. In the event an initial moving party fails to timely serve and file documents required in this rule, the hearing may be cancelled by the court. If responsive papers are not properly served and filed, the court may deem the initial motion or motion raising new issues unopposed and may issue an order without hearing. The court, in its discretion, may refuse to permit oral argument by the party not filing the required documents, may consider the matter unopposed, may allow reasonable attorney's fees, or may take other appropriate action.

(c) Settlement Efforts. No motion, except motion for temporary relief, will be heard unless the parties have conferred either in person, or by telephone, or in writing in an attempt to resolve their differences prior to the hearing. The moving party shall initiate such conference. The moving party shall certify to the court, before the time of the hearing, compliance with this rule or any reasons for not complying, including lack of availability or cooperation of opposing counsel. Whenever any pending motion is settled, the moving party shall promptly advise the court.

(d) Motion with Request for Oral Testimony. Motions, except for contempt proceedings, shall be submitted on affidavits, exhibits, documents subpoenaed to the hearing, memoranda, and arguments of counsel unless otherwise ordered by the court for good cause shown. If demand is made for the taking of oral testimony, and if the matter cannot be heard adequately in the scheduled time, the hearing shall be utilized as a prehearing conference. Requests for hearing time in excess of one-half hour shall be submitted by written motion specifically setting forth the necessity and reason that evidence cannot be submitted by affidavit. The motion shall include names of witnesses, nature and length of testimony, including cross-examination, and types of exhibits, if any. The court may issue an order limiting the number of witnesses each party may call, the scope of their testimony, and the total time for each party to present evidence. Such an order shall be made only after the lawyer for each party has had an opportunity to

suggest appropriate limits. Any motion relating to custody or visitation shall additionally state whether either party desires the court to interview minor children. No child under the age of fourteen years will be allowed to testify without prior written notice to the other party and court approval.

#### **Family Court Rules Advisory Committee Commentary**

Minn. Stat. § 518.131, subd. 8 grants a party the right to present oral testimony upon the filing of a demand either in the initial application for temporary relief or in the response thereto.

The party demanding oral testimony should provide a list of the proposed witnesses, the scope of their testimony and an estimate of the required time.

#### **Task Force Comment—1991 Adoption**

Subdivisions (a)-(c) of this rule are new. They are derived from parallel provisions in new Minn. Gen. R. Prac. 115, and are intended to make motion practice in family court matters as similar to that in other civil actions as is possible and practical given the particular needs in family court matters.

Subdivision (d) of this rule is derived from Rule 2.04 of Rules of Family Court Procedure and from Second Judicial District Rules 2.041 and 2.042.

The requirement in subsection (c) of an attempt to resolve motion disputes requires that the efforts to resolve the matter be made before the hearing, not before bringing the motion. It is permissible under the rule to bring a motion and then attempt to resolve the motion. If the motion is resolved, subsection (c) requires the parties to advise the court immediately.

#### **Rule 303.04 Ex-parte Relief**

(a) **Motion.** The court may grant ex-parte relief only if requested by a motion with supporting affidavit, properly executed.

(b) **Order to Show Cause.** An order to show cause shall not be used to grant ex-parte relief except in those cases where permitted pursuant to Minn. Gen. R. Prac. 303.05.

(c) **Filing.** All such orders and supporting documents must be filed with the order appropriately signed out for personal service. A conformed file copy of such order shall be retained by the court administrator in the file.

(d) **Interim Support Order.** To insure support for an unemployed party or a party with children pending a full temporary hearing, an initial order to show cause may, if the situation warrants, contain the following:

IT IS FURTHER ORDERED that pending the aforesaid scheduled hearing, you, shall pay to the (petitioner) (respondent) commencing forthwith \_\_\_\_\_ percent of your net earnings after the usual deductions for FICA, withholding taxes and group insurance, such payments to be made within 24 hours of your receipt of such earnings for each pay period. These payments are to insure that provision is made by you for the support of your (wife) (husband) (and) (children) pending the aforesaid hearing.

The percentage to be used will be in accordance with the statutory child support guidelines and such other factors related to maintenance as the court deems appropriate.

There must be a showing in the Application for Temporary Relief or separate affidavit of the necessity for the interim order for support.

#### **Family Court Rules Advisory Committee Commentary**

Minn. R. Civ. P. 65.01 states the notice requirements for ex parte relief. Minn. Stat. § 518.131 controls ex parte temporary restraining orders.

#### **Task Force Comment—1991 Adoption**

Subdivisions (a), (b) and (c) of this rule are derived from existing Rule 2.05 of the Rules of Family Court Procedure.

Subdivision (d) of this rule is derived from Second District Local Rule 2.051.

Parties should be aware that Minn. Gen. R. Prac. 3 applies to all ex parte orders, including those relating to family court proceedings. Minn. R. Civ. P. 65.01 also applies in family court temporary restraining order practice.

#### **Rule 303.05 Orders to Show Cause**

Orders to show cause shall be obtained in the same manner specified for ex-parte relief. Such orders may require production of limited financial information deemed necessary by the court. An order to show cause shall be issued only where the motion seeks a finding of contempt or the supporting affidavit makes an affirmative showing of:

- (a) a need to require the party to appear in person at the hearing; or
- (b) the need for interim support is warranted, or
- (c) the production of limited financial information deemed necessary by the court, or
- (d) such other limited relief and appropriate restraining orders, as addressed individually in the separate supportive affidavit for ex parte relief.

#### **Family Court Rules Advisory Committee Commentary**

The use of orders to show cause can be abused by requiring a personal appearance where none is necessary. A timely notice of motion informing a party of the time to appear, if he or she wishes, is adequate in most proceedings.

#### **Task Force Comment—1991 Adoption**

This rule is derived from existing Rule 2.06 of the Rules of Family Court Procedure. The Family Law Section of the Minnesota State Bar Association recommended additional specific language limiting use of orders to show cause and the Task Force agrees that this clarification should be useful. Orders to show cause are specifically authorized, in limited circumstances, by statute. *See, e.g.,* Minn. Stat. §§ 256.87, subd. 1a & 393.07, subd. 9 (1990).

#### **Rule 303.06 Orders and Decrees Requiring Child Support or Maintenance**

All orders and judgments and decrees which include awards of child support and/or maintenance, unless otherwise directed by the court, shall include the following provisions:

That both parties are hereby notified that:

- (a) Payment of support or maintenance, or both, is to be as ordered herein, and the giving of gifts or making purchases of food, clothing and the like will not fulfill the obligation.
- (b) Payment of support must be made as it becomes due, and failure to secure, or denial of rights of, visitation is not an excuse for non-payment, but the aggrieved party must seek relief through proper motion filed with the court.
- (c) The payment of support or maintenance, or both, takes priority over payment of debts and other obligations.
- (d) A party who remarries after dissolution and accepts additional obligations of support does so with full knowledge of his or her prior obligations under this proceeding.
- (e) Child support and maintenance are based on annual income, and it is the responsibility of a person with seasonal employment to budget income so that payments are made regularly throughout the year as ordered.

**Task Force Comment—1991 Adoption**

This rule is derived from Rule 7.01 of the Rules of Family Court Procedure and Second District Rule 2.09.

**Rule 304 Scheduling Of Cases**

**Rule 304.01 Scope.** The purpose of this rule is to provide a uniform system for scheduling matters for disposition and trial in proceedings in family court, excluding only the following:

- (a) Actions for reimbursement of public assistance (Minn. Stat. § 256.87;
- (b) Contempt (Minn. Stat. ch. 588);
- (c) Domestic abuse proceedings (Minn. Stat. ch. 518B;
- (d) Child custody enforcement proceedings (Minn. Stat. ch. 518A);
- (e) Support enforcement proceedings (Minn. Stat. ch. 518C--R.U.R.E.S.A.);
- (f) Withholding of refunds from support debtors (Minn. Stat. § 289A.50, subd. 5);
- (g) Proceedings to compel payment of child support (Minn. Stat. § 393.07, subd. 9); and
- (h) Proceedings for support, maintenance or county reimbursement judgments (Minn. Stat. § 548.091).

**Rule 304.02 The Party's Informational Statement.** Within 60 days after filing an action or within 60 days after a temporary hearing, whichever is later, each party shall submit, on a form to be available from the court (see form 9 appended to these rules), the information needed by the court to manage and schedule the case. The information provided shall include:

- (a) Whether minor children are involved, and if so:
  - (1) Whether custody is in dispute; and
  - (2) Whether the case involves any issues seriously affecting the welfare of the children;
- (b) Whether the case involves complex evaluation issues, and/or marital and non-marital property issues;
- (c) Whether the case needs to be expedited, and if so, the specific supporting facts;
- (d) Whether the case is complex, and if so, the specific supporting facts;
- (e) Specific facts about the case which will affect readiness for trial; and
- (f) A proposal for establishing any of the deadlines or dates to be included in a scheduling order pursuant to this rule.

**Rule 304.03 Scheduling Order**

(a) **When Issued.** Within thirty days after the expiration of the time set forth in Minn. Gen. R. Prac. 304.02 for filing informational statements, the court shall enter its scheduling order. The court may issue the order after either a telephone or in court conference, or without a conference or hearing if none is needed.

(b) **Contents of Order.** The scheduling order may establish any of the following:

- (1) Deadlines or specific dates for the completion of discovery and other pretrial preparation;
- (2) Deadlines or specific dates for serving, filing or hearing motions;
- (3) Deadlines or specific dates for completion and review of custody/visitation mediation and evaluation or property mediation and evaluation;
- (4) A deadline or specific date for the prehearing conference; and
- (5) A deadline or specific date for the trial or final hearing.

**Rule 304.04 Amendment.** A scheduling order pursuant to this rule may be amended at a prehearing conference or upon motion for good cause shown, or upon approval by authorized court personnel if there is agreement of all parties.

**Task Force Comment--1991 Adoption**

This rule is new. It is patterned after the similar new Minn. Gen. R. Prac. 111. The Task Force believes that the scheduling information and procedures in family court and other civil matters should be made as uniform as possible, consistent with the special needs in family court matters.

Matters not scheduled under the procedures of this rule are scheduled by motion practice under Minn. Gen. R. Prac. 303.

**Rule 305 Prehearing Conferences**

**Rule 305.01 Prehearing Statement**

Each party shall complete a prehearing conference statement substantially in the form set forth at form 2 appended to these rules which shall be served upon all parties and mailed to or filed with the court at least 10 days prior to the date of the prehearing conference.

**Task Force Comment--1991 Adoption**

This rule is derived from existing Rule 4.02 of the Rules of Family Court Procedure. The existing family court rule includes a requirement that information be filed on forms, and that typewritten or word-processed documents would not be accepted for filing. The Task Force considered the desirability of requiring information to be submitted on pre-printed forms, and determined that such requirements should not be retained. Many modern law offices cannot readily prepare such documents as word processing machines have displaced the typewriters for which the forms are designed. The Task Force also believes that these requirements only increase the cost of litigation and limit access to the courts.

**Rule 305.02 Prehearing Conference Attendance**

**(a) Parties and Counsel.** Unless excused by the court for good cause, the parties and lawyers who will try the proceedings shall attend the prehearing conference, prepared to negotiate a final settlement. If a stipulation is reduced to writing prior to the prehearing conference, the case may be heard as a default at the time scheduled for the conference. In that event, only the party obtaining the decree need appear.

**(b) Failure to Appear--Sanctions.** If a party fails to appear at a prehearing conference, the court may dispose of the proceedings without further notice to that party.

**(c) Failure to Comply--Sanctions.** Failure to comply with the rules relating to prehearing conferences may result in the case being stricken from the contested calendar, granting of partial relief to the appearing party, striking of the non-appearing party's pleadings and the hearing of the matter as a default, award of attorney fees and costs, and such other relief as the court finds appropriate, without further notice to the defaulting party.

**Family Court Rules Advisory Committee Commentary**

In disposing of a proceeding, the Court may dismiss it entirely, grant relief to the party appearing, grant attorney fees, bifurcate the proceedings and grant partial relief, or grant any other relief which the court may deem appropriate. See Rule 306.2(c).

**Task Force Comment--1991 Adoption**

Subsection (a) of this rule is derived from existing Rule 4.03 of the Rules of Family Court Procedure.

Subsection (b) of this rule is derived from existing Rule 4.04 of the Rules of Family Court Procedure.

Subsection (c) of this rule is derived from existing Rule 4.05 of the Rules of Family Court Procedure.

A prehearing conference without both parties and lawyers familiar with the facts of the case and the parties is rarely a worthwhile exercise and usually is a waste of resources of the parties and the court. Nonetheless, the Task Force believes there may be situations, on rare occasion, where a party or lawyer should be excused from attendance or should be allowed to participate by conference phone call.

#### **Rule 305.03 Prehearing Conference Order**

If the parties are unable to resolve the case, in whole or in part, at the prehearing conference, the court shall issue an order which schedules any remaining discovery and any contemplated motions, identifies the contested issues for trial, and provides for the exchange of witness lists and exhibits to be offered at trial.

**Cross Reference:** Minn. Civ. Trialbook § 5.

#### **Task Force Comment--1991 Adoption**

This rule is new. The Task Force believes it is useful to have an order entered to limit the issues and preserve any agreements reached at a pretrial conference. This rule is adapted from a recommendation of the Minnesota State Bar Association's Family Law Section.

#### **Rule 306 Default**

##### **Rule 306.01 Scheduling of Final Hearing**

To place a matter on the default calendar for final hearing, the moving party shall comply with the following, as applicable:

**(a) Without Stipulation--No Appearance.** In all default proceedings where a stipulation has not been filed, an affidavit of default and of non-military status of the defaulting party or a waiver by that party of any rights under the Soldiers' and Sailors' Civil Relief Act of 1940, as amended, shall be filed with the court.

**(b) Without Stipulation--Appearance.** Where the defaulting party has appeared by a pleading other than an answer, or personally without a pleading, and has not affirmatively waived notice of the other party's right to a default hearing, the moving party shall notify the defaulting party in writing at least ten (10) days before the final hearing of the intent to proceed to Judgment. The notice shall state:

You are hereby notified that an application has been made for a final hearing to be held not sooner than three (3) days from the date of this notice. You are further notified that the court will be requested to grant the relief requested in the petition at the hearing.

The default hearing will not be held until the notice has been mailed to the defaulting party at the last known address and an affidavit of service by mail has been filed.

**(c) Default with Stipulation.** Whenever a stipulation settling all issues has been executed by the parties, the stipulation shall be filed with an affidavit of non-military status of the defaulting party or a waiver of that party's rights under the Soldiers' and Sailors' Civil Relief Act of 1940, as amended, if not included in the stipulation.



In a stipulation where a party appears pro se, the following waiver shall be executed by that party:

I know I have the right to be represented by a lawyer of my choice. I hereby expressly waive that right and I freely and voluntarily sign the foregoing stipulation.

**Family Court Rules Advisory Committee Commentary**

The stipulation should establish that one of the parties may proceed as if by default, without further notice to or appearance by the other party.

The waiver of counsel should be prepared as an addendum following the parties' signatures on the stipulation.

**Task Force Comment--1991 Adoption**

Subsections (a) and (b) of this rule are derived from existing Rule 5.01 of the Rules of Family Court Procedure.

Subsection (c) of this rule is derived from existing Rule 5.02 of the Rules of Family Court Procedure.

**Rule 306.02 Preparation of Decree**

In a scheduled default matter, proposed findings of fact, conclusions of law, order for judgment and judgment and decree shall be submitted to the court in advance of, or at, the final hearing.

**Task Force Comment--1991 Adoption**

This rule is derived from existing Rule 5.03 of the Rules of Family Court Procedure.

**Rule 307 Final Hearings**

(a) **Failure to Appear--Sanctions.** Failure to appear at the scheduled final hearing may result in the case being stricken from the contested calendar, granting of partial relief to the appearing party, striking of the non-appearing party's pleadings and the hearing of the matter as a default, an award of attorney's fees and costs, and such other relief as the court finds appropriate, without further notice to the defaulting party.

(b) **Stipulations Entered in Open Court--Preparation of Findings.** Where a stipulation has been entered orally upon the record, the lawyer directed to prepare the decree shall submit it to the court with a copy to each party. Unless a written, fully executed stipulation is filed or unless the decree contains the written approval of the lawyer for each party, a transcript of the oral stipulation shall be filed by the lawyer directed to prepare the decree. Responsibility for the cost of the transcript shall be determined by the court. Entry of the decree shall be deferred for 14 days to allow for objections unless the decree contains the written approval of the lawyer for each party.

**Task Force Comment--1991 Adoption**

Subsection (a) of this rule is derived from existing Rule 6.01 of the Rules of Family Court Procedure.

Subsection (b) of this rule is derived from existing Rule 6.02 of the Rules of Family Court Procedure.

**Rule 308 Final Decree**

**Rule 308.01 Notices; Service**

(a) **Awards of Child Support and/or Maintenance.** All judgments and decrees which include awards of child support and/or maintenance, unless otherwise directed by the court, shall include the provisions set forth in Minn. Gen. R. Prac. 303.06.

(b) **Public Assistance.** When a party is receiving or has applied for public assistance, the party obtaining the judgment and decree shall serve a copy on the agency responsible for child support enforcement, and the decree shall direct that all payments of child support and spousal maintenance shall be made to the agency providing the assistance for as long as the custodial parent is receiving assistance.

(c) **Child Support Enforcement.** When a private party has applied for or is using the services of the local child support enforcement agency, a copy of the decree shall be served by mail by the party submitting the decree for execution upon the county agency involved.

(d) **Supervised Custody or Visitation.** A copy of any judgment and decree directing ongoing supervision of custody or visitation shall be provided to the appropriate agency by the party obtaining the decree.

**Family Court Rules Advisory Committee Commentary**

Minn. Stat. § 518.551 requires that maintenance or support must be ordered payable to the public agency so long as the obligee is receiving public assistance.

Agencies responsible for enforcement of child support in private cases also require a copy of the judgment and decree.

**Task Force Comment--1991 Adoption**

Subdivision (a) of this rule is derived from existing Rule 7.01 of the Rules of Family Court Procedure. The list of provisions is not set forth in this rule, as it was set forth in full in new Minn. Gen. R. Prac. 303.06.

Subdivision (b) is derived from Rule 7.02 of the Rules of Family Court Procedure, and also in part from Second District Local Rule 7.021.

Subdivision (c) is derived from Second District Local Rule 7.022.

Subdivision (d) of this rule, replacing existing Rule 7.03 of the Rules of Family Court Procedure, was recommended to the Task Force by the Minnesota State Bar Association Family Law Section.

**Rule 308.02 Statutorily Required Notices**

Where statutes require that certain subjects be addressed by notices in an order or decree, the notices shall not be included verbatim but shall be set forth in an attachment and incorporated by reference.

**Family Court Rules Advisory Committee Commentary**

See Rule 10.01, Form 3, for the concept of the form of the attachment.

**Task Force Comment--1991 Adoption**

This rule is derived from existing Rule 7.04 of the Rules of Family Court Procedure.

**Rule 308.03 Sensitive Matters**

Whenever the findings of fact include private or sensitive matters, a party may submit a judgment and decree supported by separate documents comprising findings of fact, conclusions of law, and order for judgment.

### **Task Force Comment--1991 Adoption**

The Task Force recommends repeal of existing Rule 7.05 of the Rules of Family Court Procedure because the requirement for findings is well established by the common law, and a rule recodifying the settled law is surplusage.

The recommended rule is patterned after Second District Rule 7.051. Its purpose is to allow sensitive factual and legal matters to be preserved in separate documents so that the need for disseminating confidential and sensitive matters can be minimized. This rule does not create a right to maintain the privacy of any portion of the findings; it allows the court to create documents that may be useful for some public purposes without including all other parts of the findings.

## **Rule 309 Contempt**

### **Rule 309.01 Initiation**

**(a) Moving Papers--Service; Notice.** Contempt proceedings shall be initiated by an order to show cause served upon the person of the alleged contemnor together with motions accompanied by appropriate supporting affidavits.

The order to show cause shall direct the alleged contemnor to appear and show cause why he or she should not be held in contempt of court and why the moving party should not be granted the relief requested by the motion.

The order to show cause shall contain at least the following:

- (1) A reference to the specific order of the court alleged to have been violated and date of entry of the order;
- (2) A quotation of the specific applicable provisions ordered; and
- (3) The alleged failures to comply.

**(b) Affidavits.** The supportive affidavit of the moving party shall set forth each alleged violation of the order with particularity. Where the alleged violation is a failure to pay sums of money, the affidavit shall state the kind of payments in default and shall specifically set forth the payment dates and the amounts due, paid and unpaid for each failure.

The responsive affidavit shall set forth with particularity any defenses the alleged contemnor will present to the court. Where the alleged violation is a failure to pay sums of money, the affidavit shall set forth the nature, dates and amount of payments, if any.

The supportive affidavit and the responsive affidavit shall contain numbered paragraphs which shall be numbered to correspond to the paragraphs of the motion where possible.

### **Family Court Rules Advisory Committee Commentary**

Service of the order to show cause upon the person provides jurisdiction for the issuance of a writ of attachment or bench warrant, if necessary, and meets the requirement for an opportunity to be heard. See Clausen v. Clausen, 250 Minn. 293, 84 N.W.2d 675 (1976); Hopp v. Hopp, 279 Minn. 170, 156 N.W.2d 212 (1968).

### **Task Force Comment--1991 Adoption**

Subdivision (a) of this rule is derived from existing Rule 8.01 of the Rules of Family Court Procedure.

Subdivision (b) of this rule is derived from existing Rule 8.01 of the Rules of Family Court Procedure. The new language is derived from Second District Local Rule 8.011.

**Rule 309.02 Hearing**

The alleged contemnor must appear in person before the court to be afforded the opportunity to resist the motion for contempt by sworn testimony. The court shall not act upon affidavit alone, absent express waiver by the alleged contemnor of the right to offer sworn testimony.

**Family Court Rules Advisory Committee Commentary**

For the right to counsel in contempt proceedings, see Cox v. Slama, 355 N.W.2d 401 (Minn. 1984).

**Task Force Comment—1991 Adoption**

This rule is derived from existing Rule 8.02 of the Rules of Family Court Procedure.

**Rule 309.03 Sentencing**

(a) **Default of Conditions for Stay.** Where the court has entered an order for contempt with a stay of sentence and there has been a default in the performance of the condition(s) for the stay, before a writ of attachment or a bench warrant will be issued, an affidavit of non-compliance and request for writ of attachment must be served upon the person of the defaulting party, unless the person is shown to be avoiding service.

(b) **Writ of Attachment.** The writ of attachment shall direct law enforcement officers to bring the defaulting party before the court for a hearing to show cause why the stay of sentence should not be revoked. A proposed order for writ of attachment shall be submitted to the court by the moving party.

**Task Force Comment—1991 Adoption**

Subdivision (a) of this rule is derived from existing Rule 8.03 of the Rules of Family Court Procedure.

Subdivision (b) of this rule is derived from existing Rule 8.03 of the Rules of Family Court Procedure, with the new language added from Second District Rule 8.031.

**Rule 310 Mediation**

**Rule 310.01 Order for Mediation**

(a) **When Issued.** The court may issue an order for mediation upon a motion by a party, by stipulation of the parties, or upon the court's own initiative. The court shall not require mediation when it finds probable cause that domestic or child abuse has occurred. Where the parties have made an unsuccessful effort to mediate with a qualified mediator, additional mediation need not be required.

(b) **Condition Precedent to Final Hearing.** When ordered by the court, participation in mediation shall be a condition precedent to the scheduling of a final hearing in a dissolution proceeding.

**Task Force Comment—1991 Adoption**

Subsection (a) of this rule is derived from existing Rule 9.01 of the Rules of Family Court Procedure.

Subsection (b) of this rule is derived from Second District Local Rule 9.011.

**Rule 310.02 Mediators**

(a) **Appointment.** The court shall appoint a mediator from its approved list, unless the parties stipulate to a mediator not on the list.

Each party shall be entitled to file a request for substitution within seven (7) days after receipt of notice of the appointed mediator. The court shall then appoint a different mediator with notice given to the parties.

**(b) Qualification and Training.** The court shall establish an approved list of mediators who qualify for appointment by statute.

**Family Court Rules Advisory Committee Commentary**

Co-mediation (mediation conducted by a mediator of each gender) may be available to the parties at the request of either party and with the approval of the court.

**Task Force Comment--1991 Adoption**

Subsection (a) of this rule is derived from existing Rule 9.02 of the Rules of Family Court Procedure.

Subsection (b) of this rule new. The Task Force believes that some specific provision should be made for qualification and training of mediators. Minn. Stat. § 518.619 (1990) sets forth qualifications for mediators.

**Rule 310.03 Mediation Attendance**

**(a) Mandatory Orientation.** Parties ordered by the court to participate in mediation shall attend the orientation session.

**(b) Mediation Sessions.** Mediation sessions shall be informal and conducted at a suitable location designated by the mediator. Both parties shall appear at the time scheduled by the mediator, and attendance is limited to the parties, unless all parties and the mediator agree to the presence of other persons.

To assist in resolving contested issues, the parties may involve resource persons including lawyers, appraisers, accountants, and mental health professionals.

**Family Court Rules Advisory Committee Commentary**

In the orientation session the mediator should assess the appropriateness of the parties for mediation, describe the mediation process, elicit questions from the parties about how the process works, inquire if they have retained attorneys, advise them to consult their attorneys before and during the mediation process, distribute a copy of Rule IX and obtain the parties' signatures on the agreement to mediate.

**Task Force Comment--1991 Adoption**

Subdivision (a) of this rule is derived from existing Rule 2.09 of the Rules of Family Court Procedure.

Subdivision (b) of this rule is derived from existing Second District Rule 9.031.

**Rule 310.04 Scope of Mediation**

Mediation may address all issues of controversy between the parties, unless limited by court order.

**Family Court Rules Advisory Committee Commentary**

The parties may involve resource persons to assist in resolving contested issues. Resource persons may include both parties' attorneys, appraisers, accountants, and mental health professionals.

Only the parties and the mediator(s) should attend mediation sessions unless the parties and mediator agree otherwise.

**Task Force Comment--1991 Adoption**

This rule is derived from existing Rule 9.04 of the Rules of Family Court Procedure.

**Rule 310.05 Confidentiality**

Mediation proceedings under these rules are privileged, not subject to discovery, and inadmissible as evidence in family court proceedings without the written consent of both parties.

Mediators and lawyers for the parties, to the extent of their participation in the mediation process, cannot be called as witnesses in the family court proceedings.

No record shall be made without the agreement of both parties, except for a memorandum of issues that are resolved.

**Task Force Comment--1991 Adoption**

This rule is derived from existing Rule 2.09 of the Rules of Family Court Procedure.

**Rule 310.06 Termination of Mediation**

Mediation shall be terminated upon the earliest of the following circumstances to occur:

- (a) a complete agreement of the parties;
- (b) the partial agreement of the parties and a determination by the mediator that further mediation will not resolve the remaining issues; or
- (c) the determination by the mediator or either party that the parties are unable to reach agreement through mediation or that the proceeding is inappropriate for mediation.

**Family Court Rules Advisory Committee Commentary**

The mediator may determine that further mediation is inappropriate based upon information that one of the parties, or a child of a party, has been physically or sexually abused by the other party. See Minn. Stat. § 518.619, subd. 2.

These rules recognize that there may be a continuing concurrent obligation to report domestic, child, physical, or sexual abuse under different statutes.

**Task Force Comment--1991 Adoption**

This rule is derived from existing Rule 9.06 of the Rules of Family Court Procedure.

**Rule 310.07 Mediators' Memorandum**

(a) **Submissions.** Upon termination of mediation, the mediator shall submit a memorandum to the parties and the court setting out (1) the complete or partial agreement of the parties and enumerating the issues upon which they cannot agree, or (2) that no agreement has been reached, without any explanation.

(b) **Copy to Lawyer.** Where a party is represented by a lawyer, the mediator shall send a copy of the memorandum to that party's lawyer as well as the party.

(c) **Agreement.** The parties' agreement shall be reduced to writing by counsel for the petitioner, or counsel for the respondent with the consent of the petitioner, in the form of a marital termination agreement, stipulation, or similar instrument. The written agreement shall be signed by both parties and their counsel and submitted to the court for approval.

**Family Court Rules Advisory Committee Commentary**

Where the parties are represented by lawyers, the mediator should send a copy of the memorandum to the parties' lawyers.

**Task Force Comment—1991 Adoption**

Subdivision (a) of this rule is derived from existing Rule 9.07 of the Rules of Family Court Procedure.

Subdivision (b) of this rule is derived from Second District Rule 9.071.

Subdivision (c) of this rule is derived from Second Judicial District Rule 9.072.

**Rule 310.08 Child Custody Investigation**

When the parties are unable to reach agreement on custody through mediation, the mediator may not conduct a custody investigation, unless the parties agree in writing executed after the termination of mediation, that the mediator shall conduct the investigation or unless there is no other person reasonably available to conduct the investigation or evaluation. Where the mediator is also the sole investigator for a county agency charged with making recommendations to the court regarding child custody and visitation, the court administrator shall make all reasonable attempts to obtain reciprocal services from an adjacent county. Where such reciprocity is possible, another person or agency is "reasonably available."

**Family Court Rules Advisory Committee Commentary**

Although Minn. Stat. § 518.619, subd. 6 permits the mediator to conduct the investigation, it is the intent of this rule to define when the mediator can reasonably do so. Minn. Stat. § 518.167, subd. 3 contemplates the bifurcation of mediation and the custody investigation to insure confidentiality. The rule acknowledges the difficulty of implementing such a requirement in those counties with only one court services staff member.

**Task Force Comment—1991 Adoption**

This rule is derived from existing Rule 9.08 of the Rules of Family Court Procedure.

**Rule 310.09 Fees**

Each court shall establish fees for mediation services. The court may allocate payment of the fees among the parties and the county.

**Task Force Comment—1991 Adoption**

This rule is derived from existing Rule 9.09 of the Rules of Family Court Procedure.

**Rule 311 Forms**

The forms contained in the Appendix of Forms are sufficient under these rules.

**Task Force Comment—1991 Adoption**

This rule is derived from existing Rule 10.01 of the Rules of Family Court Procedure.

**Rule 312 Review of Referee's Findings or Recommendations**

**Rule 312.01 Notice of Assignment to Judge; Parties' Submissions**

Upon the filing of the notice of review of a referee's findings or recommended order, the court administrator shall notify each party:

- (a) of the name of the judge to whom the review has been assigned;
- (b) that the moving party shall have 10 days from the date of mailing the notice of assignment in which to file and serve a memorandum; and

(c) that the responding party(s) shall have 20 days from the date of mailing the notice of assignment within which to file and serve a responsive memorandum.

Failure to file and serve these submissions on a timely basis may result in dismissal of the review or disallowance of the submissions. No additional evidence may be filed and no personal appearance will be allowed except upon order of the court for good cause shown after notice of motion and motion.

The review shall be based on the record before the referee and additional evidence will not be considered, except for compelling circumstances constituting good cause.

**Task Force Comment—1991 Adoption**

This rule is derived from Second District Rules 11.03 & 11.04.

**Rule 312.02 Transcript of Referee's Hearing**

Any party desiring to submit a transcript of the hearing held before the referee shall make arrangements with the court reporter at the earliest possible time. The court reporter must advise the parties and the court of the date by which the transcript will be filed. The order and submission of the transcript shall not delay the due dates for the submissions described in Rule 312.1.

**Task Force Comment—1991 Adoption**

This rule is derived from Second District Rule 11.05.



**APPENDIX OF FORMS**

**FORM 1. APPLICATION FOR TEMPORARY RELIEF** See Minn. Gen. R. Prac. 303.02

**State of Minnesota**

**District Court**

COUNTY

JUDICIAL DISTRICT  CASE NO.

In Re The Marriage Of:

\_\_\_\_\_ Petitioner

and

\_\_\_\_\_ Respondent

**APPLICATION FOR  
TEMPORARY RELIEF**

STATE OF MINNESOTA

COUNTY OF \_\_\_\_\_

\_\_\_\_\_, the Petitioner-Respondent hereinafter called Wife-Husband, being first duly sworn, upon oath, respectfully represents to the Court that:

1. The parties were married on \_\_\_\_\_; the Wife's age is \_\_\_\_; the Husband's age is \_\_\_\_\_.
2. The parties have been separated \_\_\_\_\_ months, during which the Husband-Wife has paid \$\_\_\_\_\_ to the Wife-Husband.
3. (a) There are \_\_\_\_\_ children of the parties, aged \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, now in the care of the Wife-Husband at \_\_\_\_\_.
- (b) The family home is owned-rented by the parties and is now occupied by the Wife-Husband-both parties and \_\_\_\_\_.
- (c) For the best interests of the minor children, they should be in the temporary custody of the Husband-Wife.
- (d) The Wife has \_\_\_\_\_ minor children of a prior marriage. The amount of support received-paid is \$\_\_\_\_\_ per month.
- (e) The Husband has \_\_\_\_\_ minor children of a prior marriage. The amount of support received-paid is \$\_\_\_\_\_ per month.

4. The assets of the parties include:

**APPROXIMATE MARKET VALUE AND ENCUMBRANCES**

Item	Wife	Husband	Joint Tenancy	Encumbrances
(a) Cars (Year/Make)	\$ _____	\$ _____	\$ _____	\$ _____
(b) Stocks, Bonds, Notes	\$ _____	\$ _____	\$ _____	\$ _____
(c) Cash and Savings	\$ _____	\$ _____	\$ _____	\$ _____
(d) Claims	\$ _____	\$ _____	\$ _____	\$ _____
(e) Accounts Receivable	\$ _____	\$ _____	\$ _____	\$ _____
(f) Homestead	\$ _____	\$ _____	\$ _____	\$ _____

5. Secured Debts, not listed above (excluding homestead):

(a) Creditor	1. _____	2. _____	3. _____	4. _____
(b) Total Outstanding	\$ _____	\$ _____	\$ _____	\$ _____
(c) Monthly Payment	\$ _____	\$ _____	\$ _____	\$ _____
(d) Party Obligated	_____	_____	_____	_____
(e) Security Pledged	_____	_____	_____	_____

6. Necessary Monthly Expenses:

	Wife/Husband	Child(ren) (if separate)
(a) Rent	\$ _____	\$ _____
(b) Mortgage Payment	\$ _____	\$ _____
(c) Contract for Deed Payment	\$ _____	\$ _____
(d) Homeowner's Insurance	\$ _____	\$ _____
(e) Real Estate Taxes	\$ _____	\$ _____
(f) Utilities	\$ _____	\$ _____
(g) Heat	\$ _____	\$ _____
(h) Food	\$ _____	\$ _____
(i) Clothing	\$ _____	\$ _____
(j) Laundry and Drycleaning	\$ _____	\$ _____
(k) Medical and Dental	\$ _____	\$ _____
(l) Transportation (includes _____ car payment)	\$ _____	\$ _____
(m) Car Insurance	\$ _____	\$ _____
(n) Life Insurance	\$ _____	\$ _____
(o) Recreation, Entertainment, Travel	\$ _____	\$ _____
(p) Newspapers and Magazines	\$ _____	\$ _____
(q) Social and Church Obligations	\$ _____	\$ _____
(r) Personal Allowances and Incidentals	\$ _____	\$ _____
(s) Babysitting and Child Care	\$ _____	\$ _____
(t) Home Maintenance	\$ _____	\$ _____
(u) Children School Needs and Allowances	\$ _____	\$ _____
(v) Additional Information _____	\$ _____	\$ _____
re: Debts and expenses _____	\$ _____	\$ _____
 TOTAL:	 \$ _____	 \$ _____

7. Employment Data: Provide the following data for each employer. Attach prior month's paycheck stub(s) as Exhibit.

	Husband	Wife
(a) Name of Employer	_____	_____
Type of Employment	_____	_____

	Husband	Wife
(b) Income:		
(1) Gross income per * _____	\$ _____	\$ _____
(2) Statutory Deductions:		
Federal Income Tax	\$ _____	\$ _____
State Withholding	\$ _____	\$ _____
Social Security (FICA)	\$ _____	\$ _____
Pension Deduction	\$ _____	\$ _____
Union Dues	\$ _____	\$ _____
Dependent Health/Hospitalization Coverage	\$ _____	\$ _____
Dental Coverage	\$ _____	\$ _____
(3) Subtotal of Statutory Deductions	\$ _____	\$ _____
(4) Net Income (line 1 - line 3)	\$ _____	\$ _____
(5) Other Paycheck Deductions:		
Specify _____	\$ _____	\$ _____
_____		
(6) Subtotal: (Other Deductions)	\$ _____	\$ _____
(7) NET TAKE HOME PAY (Line 4 - line 6)	\$ _____	\$ _____
(c) Tax withholding figures above are based on Married or Single taxpayer with # of deductions (Example: M-4 or S-2):	_____	_____
(d) Employer reimbursed expenses	\$ _____	\$ _____
Specify _____	\$ _____	\$ _____
_____	\$ _____	\$ _____
(e) Other Income:		
(1) Public Assistance (AFDC/GA)	\$ _____	\$ _____
(2) Social Security benefits for party or child(ren)	\$ _____	\$ _____
(3) Unemployment/Workers Comp.	\$ _____	\$ _____
(4) Interest income per _____	\$ _____	\$ _____
(5) Dividend income per _____	\$ _____	\$ _____
(6) Gross Rental income	\$ _____	\$ _____
(7) Other income _____	\$ _____	\$ _____
8. (a) \$ _____ is a reasonable amount for temporary support for _____ children per month.		
(b) \$ _____ is a reasonable amount for temporary maintenance per month.		
(c) Payment should be made on _____.		
9. (a) \$ _____ has been paid on the Wife's attorney fees and costs.		
(b) \$ _____ has been paid on the Husband's attorney fees and costs.		
(c) \$ _____ is reasonable for Wife-Husband's attorney fees and costs.		

\*Monthly income is to be calculated using a 4.3 multiple.

10. Additional Material Facts:

WHEREFORE, Petitioner-Respondent prays for an order granting such relief prior to trial as may be just and lawful.

\_\_\_\_\_  
Petitioner-Respondent

Subscribed and sworn to before me this \_\_\_\_\_  
day of \_\_\_\_\_, 19\_\_\_\_\_.

\_\_\_\_\_

Notary Public, \_\_\_\_\_ County, Minnesota

My commission expires \_\_\_\_\_.

FORM 2. PREHEARING STATEMENT

See Minn. Gen. R. Prac. 305.01

State of Minnesota

District Court

COUNTY

JUDICIAL DISTRICT CASE NO.

In Re The Marriage Of:

Petitioner

and

PREHEARING STATEMENT

Respondent

1. PERSONAL INFORMATION

HUSBAND

WIFE

Full Name, Present Mailing Address, Employer, Street Address, City, State, ZIP, Birthdate, Marriage Date, Separation Date (Different Residences), Date(s) of Temporary Order(s), if any

Minor children born to this marriage or who will be affected by this legal action:

Table with columns: FULL NAME, BIRTHDATE, AGE, LIVING WITH:

Is the wife now pregnant? no yes - due date of

Is the issue of custody contested? yes no

If custody is disputed, each party shall submit proposals for custody and visitation for each child as Exhibit 1A.

2. **EMPLOYMENT:** Provide the following data for each employer.

HUSBAND

WIFE

a) Name of Employer \_\_\_\_\_  
 Length of Employment \_\_\_\_\_

HUSBAND

WIFE

Income:

(1) Gross income per _____	\$ _____	\$ _____
Statutory Deductions:		
Federal Income Tax	\$ _____	\$ _____
State Withholding	\$ _____	\$ _____
Social Security (FICA)	\$ _____	\$ _____
Pension Deductions	\$ _____	\$ _____
Union Dues	\$ _____	\$ _____
Dependent Health/Hospitalization Coverage	\$ _____	\$ _____
Dental Coverage	\$ _____	\$ _____
(2) Subtotal of Statutory Deductions:	\$ _____	\$ _____
(3) Net Income (line 1 - line 2)	\$ _____	\$ _____
Other Paycheck Deductions:		
Specify _____	\$ _____	\$ _____
_____	\$ _____	\$ _____
(4) Subtotal of Other Deductions	\$ _____	\$ _____
(5) NET TAKE HOME PAY PER _____	\$ _____	\$ _____
(line 3 - line 4)		

Tax withholding figures above are based upon Married or Single taxpayer with # of exemptions: (example: M-4 or S-2): \_\_\_\_\_

Attach prior month's paycheck stub(s) as Exhibit 2A.

b) Employment benefits: Identify all benefits in addition to wages including bonus paid or due, automobile or travel expense reimbursement, other per diem compensation, memberships paid by the employer.

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Will your medical and dental insurance coverage be available for your spouse after the dissolution? \_\_\_ yes \_\_\_ no

c) Other Income:

(1) Public Assistance (AFDC/GA)	\$ _____	\$ _____
(2) Social Security Benefits for party or child(ren)	\$ _____	\$ _____
(3) Unemployment/Workers Comp.	\$ _____	\$ _____
(4) Interest income per _____	\$ _____	\$ _____
(5) Dividend income per _____	\$ _____	\$ _____
(6) Other income: _____	\$ _____	\$ _____
(7) Last Year's Tax Refunds	Federal _____	Federal _____
	State _____	State _____

**3. CHILD SUPPORT/SPOUSAL MAINTENANCE**

a) Does either party receive child support or spousal maintenance from a separate proceeding?  yes  no.  
 If yes, specify the \$ \_\_\_\_\_ received each month for child support/alimony for \_\_\_\_\_ by the order of \_\_\_\_\_ County, dated \_\_\_\_\_.

b) Child Support or Spousal Maintenance established by court order for person(s) not included in this proceeding currently being paid:

\$ \_\_\_\_\_ \$ \_\_\_\_\_

To whom is this obligation owed? \_\_\_\_\_

County and Date of such Order: \_\_\_\_\_

c) Current Monthly Child Support or Spousal Maintenance Order established by temporary order for other party and minor children in this proceeding:

Child Support: \$ \_\_\_\_\_ Spousal Maintenance (Alimony): \$ \_\_\_\_\_

Any claimed arrearages under existing court order(s):  yes  no.

If yes, specify the amount(s) claimed: Child Support \$ \_\_\_\_\_

Spousal Maintenance (Alimony) \$ \_\_\_\_\_

**4. LIVING EXPENSES:**

Your estimated monthly expenses: \$ \_\_\_\_\_

(Enter the total from an itemized schedule to be attached as Exhibit 4A.)

**5. REAL PROPERTY:**

	HOMESTEAD	OTHER*
a) Date Acquired	_____	_____
b) Purchase Price	\$ _____	\$ _____
c) Present Fair Market Value	\$ _____	\$ _____
d) First Mortgage Balance	\$ _____	\$ _____
e) Second Mortgage Balance or Home Improvement Loan	\$ _____	\$ _____
f) Net Value	\$ _____	\$ _____
g) Monthly Payment: (PITI)	\$ _____	\$ _____
h) Rental Income, if any	\$ _____	\$ _____

\*Other Real Estate: Provide the same information for other real property such as rental property, lake cabin, etc. as Exhibit 5C.

**6. PERSONAL PROPERTY: Fair Market Value**

In Possession of:	HUSBAND	WIFE	JOINT
a) Household Contents	\$ _____	\$ _____	\$ _____
b) Stocks, Bonds, etc. _____	\$ _____	\$ _____	\$ _____
_____	\$ _____	\$ _____	\$ _____
c) Checking Accounts _____	\$ _____	\$ _____	\$ _____
Savings Accounts _____	\$ _____	\$ _____	\$ _____

d) Receivables and Claims \_\_\_\_\_ \$ \_\_\_\_\_ \$ \_\_\_\_\_ \$ \_\_\_\_\_  
 \_\_\_\_\_ \$ \_\_\_\_\_ \$ \_\_\_\_\_ \$ \_\_\_\_\_

e) Motor Vehicles:

(1) _____ (year/make/model)	(2) _____ (year/make/model)	(3) _____ (year/make/model)	
Market Value	\$ _____	\$ _____	\$ _____
Encumbrance	\$ _____	\$ _____	\$ _____
Net Value	\$ _____	\$ _____	\$ _____
Monthly Payment	\$ _____	\$ _____	\$ _____
In Possession of	_____	_____	_____

f) Boats, Motors, Campers, Snowmobiles, Trailer, etc.:

(1) _____ (year/make/model)	(2) _____ (year/make/model)	(3) _____ (year/make/model)	
Market Value	\$ _____	\$ _____	\$ _____
Encumbrance	\$ _____	\$ _____	\$ _____
Net Value	\$ _____	\$ _____	\$ _____
Monthly Payment	\$ _____	\$ _____	\$ _____
In Possession of	_____	_____	_____

g) Other: (such as power equipment, tools, guns, valuable animals, etc.)

Description: \_\_\_\_\_ Fair Market Value: \$ \_\_\_\_\_  
 Encumbrance: \$ \_\_\_\_\_  
 Net Value: \$ \_\_\_\_\_

7. NON-MARITAL CLAIMS:

a) Description: (1) \_\_\_\_\_ (2) \_\_\_\_\_  
 b) Amount Claimed: \$ \_\_\_\_\_ \$ \_\_\_\_\_

Set forth the basis for and method used to arrive at your claims to be attached as Exhibit 7A.

8. LIFE INSURANCE:

	a) _____	b) _____	c) _____
Company	_____	_____	_____
Policy Number	_____	_____	_____
Type of Insurance	_____	_____	_____
Face Amount	\$ _____	\$ _____	\$ _____
Cash Value	\$ _____	\$ _____	\$ _____
Loans	\$ _____	\$ _____	\$ _____
Insured	_____	_____	_____
Beneficiary	_____	_____	_____
Owner	_____	_____	_____





**FORM 3. APPENDIX A**  
**APPENDIX A**

NOTICE IS HEREBY GIVEN TO THE PARTIES:

**I. AUTOMATIC INCOME WITHHOLDING. IN ALL CHILD SUPPORT AND SPOUSAL MAINTENANCE CASES WHICH ARE BEING ENFORCED BY THE PUBLIC AUTHORITY, THE AMOUNT OF SUPPORT OR MAINTENANCE AS DETERMINED BY COURT ORDER SHALL BE WITHHELD FROM INCOME, REGARDLESS OF THE SOURCE, PURSUANT TO MINNESOTA STATUTE 518.613, AND FORWARDED BY THE PAYOR OF FUNDS TO       (public authority)       AT       (address)      .**

**A. Exceptions. If there is no arrearage in support or maintenance as of the date of the court hearing, automatic income withholding may be stayed by meeting the requirements of Minnesota Statute 518.614 (escrow account), or waived by meeting the requirements of Minnesota Statute 518.613, subd. 7 (other alternatives). Procedures for release of the stay or waiver and the initiation of income withholding are set forth in the applicable statute.**

**II. NON-AUTOMATIC INCOME WITHHOLDING. IN ALL CASES, THE AMOUNT OF CHILD SUPPORT OR SPOUSAL MAINTENANCE AS DETERMINED BY COURT ORDER SHALL BE WITHHELD FROM INCOME, REGARDLESS OF SOURCE, PURSUANT TO MINNESOTA STATUTE 518.611, AND FORWARDED BY THE PAYOR OF FUNDS TO       (public authority)       AT       (address)      , AFTER ALL OF THE FOLLOWING CONDITIONS HAVE BEEN MET:**

- A. The person responsible to make the payment is at least 30 days in arrears;**
- B. The person entitled to receive the payment or the public authority serves written notice of income withholding, showing arrearage, on the person responsible to make the payment at least 15 days before service of the notice of income withholding and a copy of the court's order for withholding on the payor of funds;**
- C. Within the 15 day period, the person responsible to make the payment fails to move the Court to deny withholding on the grounds that an arrearage of at least 30 days does not exist as of the date of the notice of income withholding, or on other grounds limited to mistakes of fact and, ex parte, to stay service on the payor of funds until the motion to deny withholding is heard;**
- D. The person entitled to receive payment or the public authority serves a copy of the notice of income withholding, a copy of the court's order, and a copy of the provisions of Minnesota Statute 518.611 on the payor of funds; and**
- E. The person entitled to receive payment serves on the public authority a copy of the notice of income withholding, a copy of the court's order, an application to use the public authority's collection services, and the fee for such services.**

The person responsible to make the payment may, at any time, waive the written notice required by this section.

**III. EFFECT OF INCOME WITHHOLDING. PURSUANT TO MINNESOTA STATUTE 518.611, THE FOLLOWING APPLIES TO ALL CHILD SUPPORT AND SPOUSAL MAINTENANCE ORDERS:**

- A. An employer shall not discharge, or refuse to hire, or otherwise discipline an employee as a result of a wage or salary withholding.**
- B. The employer or other payor of funds shall be liable to the person entitled to receive the payment for any amounts required to be withheld.**
- C. Notwithstanding any law to the contrary, the withholding order is binding on the employer, trustee, payor of the funds, or financial institution when service has been made. Withholding must begin no later than the first pay period that occurs after 14 days following the date of the notice. An employer, payor of funds, or financial institution in this state is required to withhold income according to court orders for withholding issued by other states or territories. The payor shall withhold from income payable to the person responsible to make the payment the amount specified in the order and shall remit, within ten days of the date the person responsible to make the payment is paid the remainder of the income, the amounts withheld to the public authority. The payor shall identify on the remittance information the date the remainder of the income is paid. Employers may combine all amounts withheld from one pay period into one payment to each public authority, but shall separately identify each person responsible to make payments.**

- D. In the case of a financial institution, preauthorized transfers must occur in accordance with a court-ordered payment schedule. The financial institution shall execute preauthorized transfers from the deposit accounts of the person responsible to make the payment in the amount specified in the order, and in such other amounts as directed by the public authority responsible for child support enforcement. A financial institution is liable to the person entitled to receive the payment if funds in any of the deposit accounts of the person responsible to make the payment identified in the court order equal the amount stated in the preauthorization agreement but are not transferred by the financial institution in accordance with the agreement.
- E. To pay the arrearage specified in the notice of income withholding, the employer or payor of funds shall withhold from the income of the person responsible to make the payment an additional amount equal to 20 percent of the monthly child support or maintenance obligation until the arrearage is paid.
- F. Unless otherwise ordered, if an arrearage exists at the time an order for ongoing support or maintenance would otherwise terminate, income withholding shall continue in effect in an amount equal to the former support or maintenance obligation plus an additional amount equal to 20 percent of the monthly child support obligation, until all arrears have been paid in full.
- G. The person responsible to make the payment may move the court, under Minnesota Statute 518.64, to modify the order respecting the amount of maintenance or support.
- H. Priority. An order for withholding shall have priority over an attachment, execution, garnishment, or wage assignment and shall not be subject to the statutory limitations on amounts levied against the income of the person responsible to make the payment. Amounts withheld from an employee's income must not exceed the maximum permitted under the Consumer Credit Protection Act, United States Code, title 15, section 1673(b)(2). If there is more than one withholding order on a single employee, the employer or other payor of funds shall give priority to amounts currently due and not in arrears and then to other amounts, in the sequence in which withholding orders were received up to the maximum allowed under the Consumer Credit Protection Act. Notwithstanding any law to the contrary, funds from income sources identified in Minnesota Statute 518.54, subdivision 6, whether periodic or lump sum, are not exempt from attachment or execution upon a judgment for child support arrearages.
- I. Disclosure Upon Hiring. When an individual is hired for employment, the employer shall request that the individual disclose whether or not the individual has court-ordered child support obligations that are required by law to be withheld from income and the terms of the court order. The individual shall disclose this information at the time of hiring. When an individual discloses that the individual owes child support that is required to be withheld, the employer shall begin withholding according to the terms of the court order and under Minnesota Statute 518.611. Information disclosed under this section shall not be divulged except to the extent necessary for the administration of the child support enforcement program or when otherwise authorized by law.
- J. Notice of Termination. When a withholding order is in effect and the employment of the person responsible for making the payment is terminated or the periodic payment terminates, the person responsible to make the payment and the employer or payor of funds shall notify the public agency responsible for child support enforcement of the termination within 10 days of the termination date. The notice shall include the home address of the person responsible to make the payment, and the name and address of the new employer or payor of funds. Information disclosed under this section shall not be divulged except to the extent necessary for the administration of the child support enforcement program or when otherwise authorized by law.
- K. Lump Sum Payments.
1. Upon the transmittal of the last reimbursement payment to the employee, where a lump sum payment including, but not limited to, severance pay, accumulated sick pay or vacation pay is paid upon termination of employment, and where the employee is in arrears in making court ordered child support payments, the employer shall withhold an amount which is the lesser of (1) the amount in arrears, or (2) that portion of the arrearage which is the product of the court ordered support amount multiplied by the number of months of net income that the lump sum payment represents.
  2. An employer, trustee, or other payor of funds who has been served with a notice of income withholding must:
    - a. Notify the public authority of any lump sum payment of \$500 or more that is to be paid to the obligor;
    - b. Hold the lump sum payment for 30 days after the date on which the lump sum payment would otherwise have been paid to the person responsible for making the payment;
    - c. Upon order of the court, pay any specified amount of the lump sum payment to the public authority for support.

**IV. FAMILY COURT RULE 303.06.** The parties are notified that:

- A. Payment of support or maintenance, or both, is to be as ordered herein, and the giving of gifts or making purchases of food, clothing, and the like will not fulfill the obligation.
- B. Payment of support must be made as it becomes due, and failure to secure, or denial of rights of, visitation is not an excuse for nonpayment, but the aggrieved party must seek relief through a proper motion filed with the court.
- C. The payment of support or maintenance, or both, takes priority over payment of debts and other obligations.
- D. A party who remarries after dissolution and accepts additional obligations of support does so with full knowledge of his or her prior obligations under this proceeding.
- E. Child support and maintenance is based on annual income, and it is the responsibility of a person with seasonal employment to budget income so that payments are made regularly throughout the year as ordered. [This paragraph E is inapplicable if the order of the court specifically provides that child support payments will be adjusted to reflect seasonal variations in the income of the person responsible to make the payment.]

**V. COST OF LIVING ADJUSTMENT.** PURSUANT TO MINNESOTA STATUTE 518.641, THE CHILD SUPPORT AND MAINTENANCE ORDERED HEREIN SHALL BE ADJUSTED EVERY TWO YEARS BASED UPON A CHANGE IN THE COST OF LIVING EFFECTIVE ON THE FIRST DAY OF MAY IN THE YEAR IN WHICH THE ADJUSTMENT IS MADE, FOR PAYMENTS MADE TO THE PUBLIC AUTHORITY. FOR PAYMENTS MADE OTHER THAN TO THE PUBLIC AUTHORITY, THE ADJUSTMENT SHALL BE MADE UPON APPLICATION OF THE PERSON ENTITLED TO RECEIVE THE PAYMENT AT LEAST TWO YEARS FOLLOWING THE DECREE OF DISSOLUTION. THE AMOUNT OF THE ADJUSTMENT SHALL BE DETERMINED BY USING THE U.S. DEPARTMENT OF LABOR, BUREAU OF LABOR STATISTICS, CONSUMER PRICE INDEX MPLS. ST. PAUL, FOR ALL URBAN CONSUMERS (CPI-U) UNLESS OTHERWISE SPECIFIED IN THE ORDER. ANY COST OF LIVING ADJUSTMENT PROVIDED FOR HEREIN SHALL BE COMPOUNDED. NO ADJUSTMENT FOR COST OF LIVING SHALL BE MADE UNLESS THE FOLLOWING CONDITIONS ARE MET:

- A. The person entitled to receive the payment or the public authority serves a notice of its application for adjustment by mail on the person responsible to make the payment at his or her last known address at least 20 days before the effective date of the cost of living adjustment;
- B. The notice shall inform the person responsible to make the payment of the date on which the adjustment shall become effective; and
- C. The cost of living adjustment shall be automatic unless the person responsible to make the payment requests a court hearing on the issue of whether the adjustment should take effect and to stay imposition of the adjustment pending the outcome of the hearing. Notice of the court hearing shall be served on the person entitled to receive the payment and the public authority involved, if any.

**VI. PAYMENTS TO PUBLIC AGENCY.** PURSUANT TO MINNESOTA STATUTE 518.551, SUBDIVISION 1, PAYMENTS ORDERED FOR MAINTENANCE AND SUPPORT SHALL BE PAID TO THE PUBLIC AGENCY RESPONSIBLE FOR CHILD SUPPORT ENFORCEMENT AS LONG AS THE PERSON ENTITLED TO RECEIVE THE PAYMENTS IS RECEIVING OR HAS APPLIED FOR PUBLIC ASSISTANCE OR HAS APPLIED FOR SUPPORT AND MAINTENANCE COLLECTION SERVICES.

**VII. RECAPTURE OF TAX REFUNDS.** THE PUBLIC AGENCY RESPONSIBLE FOR CHILD SUPPORT ENFORCEMENT IS ENTITLED TO USE STATE AND FEDERAL PROGRAMS TO ATTACH STATE INCOME TAX REFUNDS, PROPERTY TAX CREDITS OR REFUNDS, AND LOTTERY PRIZES OF THE PERSON OBLIGATED TO PAY SUPPORT AS PROVIDED IN MINNESOTA STATUTE CHAPTER 270A AND SECTION 289A.50, AND TO ATTACH FEDERAL INCOME TAX REFUNDS IN ACCORDANCE WITH FEDERAL LAW AS LONG AS THERE REMAINS ARREARS OWED FOR UNPAID SUPPORT.

**VIII. DOCKETING OF JUDGMENT FOR CHILD SUPPORT ARREARAGES.** WHEN A PERSON RESPONSIBLE FOR PAYING CHILD SUPPORT FAILS TO PAY AN INSTALLMENT OF SUPPORT, THE AMOUNT THE PERSON FAILS TO PAY IS A JUDGMENT BY OPERATION OF LAW ON AND AFTER THE DATE THE PAYMENT IS DUE. THE JUDGMENT IS ENTITLED TO FULL FAITH AND CREDIT, IN THIS STATE AND ANY OTHER STATE. INTEREST ACCRUES FROM THE DATE THE JUDGMENT IS ENTERED AND DOCKETED. JUDGMENT MAY BE DOCKETED ACCORDING TO THE PROCEDURE SET FORTH IN MINNESOTA STATUTE 548.091, SUBDIVISION 2a. THE PERSON RESPONSIBLE FOR PAYING SUPPORT MAY REQUEST A HEARING ON THE ISSUE OF WHETHER THE

**JUDGMENT AMOUNT HAS BEEN PAID AND MAY MOVE THE COURT FOR AN ORDER TO VACATE THE JUDGMENT IF THE COURT DETERMINES THAT THERE WAS NO DEFAULT.**

**IX. DOCKETING OF JUDGMENT FOR MAINTENANCE ARREARAGES. PURSUANT TO MINNESOTA STATUTES 518.55, SUBDIVISION 2, AND 548.091, SUBDIVISION 1, WHEN A PERSON RESPONSIBLE FOR PAYING SPOUSAL MAINTENANCE FAILS TO MAKE THE MAINTENANCE PAYMENTS, THE PERSON ENTITLED TO RECEIVE THE PAYMENT OR THE PUBLIC AGENCY RESPONSIBLE FOR MAINTENANCE ENFORCEMENT MAY OBTAIN DOCKETING OF A JUDGMENT. A JUDGMENT FOR UNPAID MAINTENANCE WILL BE ENTERED AGAINST THE PERSON RESPONSIBLE TO MAKE THE PAYMENT ONLY WHEN ORDERED BY THE COURT OR AFTER ALL OF THE FOLLOWING CONDITIONS HAVE BEEN MET:**

- A. The person entitled to receive the payment determines that the person responsible to make the payment is at least 30 days in arrears;**
- B. The person entitled to receive the payment serves a copy of an affidavit of default and notice of intent to enter a judgment on the person responsible to make the payment by mail at the last known post office address. Service shall be deemed complete upon mailing in the manner designated. The affidavit shall state the full name, occupation, place of residence, and last known post office address of the person responsible to make the payment, the name and post office address of the person entitled to receive the payment, the date of the first unpaid amount, the date of the last unpaid amount, and the total amount unpaid;**
- C. The person responsible to make the payment fails within 20 days after mailing of the notice either to pay all unpaid amounts or to request a hearing on the issue of whether arrears claimed owing have been paid and to seek, ex parte, a stay of entry of judgment; and**
- D. Not less than 20 days after service on the person responsible to make the payment in the manner provided, the person entitled to receive the payment files with the court administrator the affidavit of default together with proof of service and, if payments have been received by the person entitled to receive the payment since execution of the affidavit of default, a supplemental affidavit setting forth the amount of payment received.**

**X. CHANGE OF ADDRESS. PURSUANT TO MINNESOTA STATUTE 518.55, SUBDIVISION 3, THE PERSON RESPONSIBLE TO MAKE THE PAYMENT SHALL NOTIFY THE PERSON ENTITLED TO RECEIVE THE PAYMENT AND, IF APPLICABLE, THE PUBLIC AUTHORITY RESPONSIBLE FOR COLLECTION, OF A CHANGE OF ADDRESS OR RESIDENCE WITHIN 60 DAYS OF THE ADDRESS OR RESIDENCE CHANGE.**

**XI. MEDICAL SUPPORT. PURSUANT TO MINNESOTA STATUTE 518.171, THE FOLLOWING LAW APPLIES TO COURT ORDERS FOR MEDICAL SUPPORT:**

- A. Order.** Unless the person entitled to receive the payment has comparable or better group dependent health insurance coverage available at a more reasonable cost, the court shall order the person responsible to make the payment to name the minor child as beneficiary on any health and dental insurance plan that is available to the person responsible to make the payment on a group basis or through an employer or union.

If the court finds that dependent health or dental insurance is not available to the person responsible to make the payment on a group basis or through an employer or union, or that the group insurer is not accessible to the person entitled to receive the payment, the court may require the person responsible to make the payment to obtain dependent health or dental insurance, or to be liable for reasonable and necessary medical or dental expenses of the child.

If the court finds that the dependent health or dental insurance required to be obtained by the person responsible to make the payment does not pay all the reasonable and necessary medical or dental expenses of the child, or that the dependent health or dental insurance available to the person entitled to receive the payment does not pay all the reasonable and necessary medical or dental expenses of the child, and the court finds that the person responsible to make the payment has the financial ability to contribute to the payment of these medical or dental expenses, the court shall require the person responsible to make the payment to be liable for all or a portion of the medical or dental expenses of the child not covered by the required health or dental plan.

- B. Spousal Coverage.** If the person responsible to make the payment has available for the benefit of the person entitled to receive the payment dependent health and dental insurance at no additional cost, it shall be provided.
- C. Implementation.** A copy of the court order for insurance coverage shall be forwarded to the employer or union of person responsible to make the payment by the person entitled to receive the payment or the public authority responsible for support enforcement only when ordered by the court or when the following conditions are met:

1. The person responsible to make the payment fails to provide written proof to the person entitled to receive the payment or the public authority, within 30 days of receiving effective notice of the court order, that the insurance has been obtained or that application for insurability has been made;
2. The person entitled to receive the payment or the public authority serves written notice to enforce medical support on the person responsible to make the payment by mail at his or her last known post office address; and
3. The person responsible to make the payment fails within 15 days after the mailing of the notice to provide written proof to the person entitled to receive the payment or the public authority that the insurance coverage existed as of the date of mailing.

The employer or union shall forward a copy of the order to the health and dental insurance plan offered by the employer.

- D. Effect of the Order.** The order is binding on the employer or union and the health and dental insurance plan when service under section C has been made. Upon receipt of the order, or upon application of the person responsible to make the payment pursuant to the order, the employer or union shall enroll the minor child as a beneficiary in the group insurance plan and withhold any required premium from the income or wages of the person responsible to make the payment. If more than one plan is offered by the employer or union, the child shall be enrolled in the insurance plan in which the person responsible to make the payment is enrolled or the least costly plan otherwise available to the person responsible to make the payment that is comparable to a number two qualified plan. Failure of the person responsible to make the payment to execute any documents necessary to enroll the dependent in the group health and dental insurance plan will not affect the obligation of the employer or union and group health and dental insurance plan to enroll the dependent in a plan for which other eligibility requirements are met. Information and authorization provided by the public authority responsible for child support enforcement, or by the custodial parent or guardian, is valid for the purposes of meeting enrollment requirements of the health plan. The insurance coverage for a child eligible under section E shall not be terminated except as authorized in section E.
- E. Eligible Child.** A minor child that a person responsible to make the payment is required to cover as a beneficiary pursuant to Minnesota Statute 518.171 is eligible for insurance coverage as a dependent of the person responsible to make the payment until the child is emancipated or until further order of the court.
- F. Insurer Notice.** The signature of the custodial parent of the insured dependent is a valid authorization to the insurer for purposes of processing an insurance reimbursement payment to the provider of the medical services. When an order for dependent insurance coverage is in effect and the employment of the person responsible to make the payment is terminated, or the insurance coverage is terminated, the insurer shall notify the person entitled to receive the payment within 10 days of the termination date with notice of conversion privileges.
- G. Release of Information.** When an order for dependent insurance coverage is in effect, the employer or union of the person responsible to make the payment shall release to the person entitled to receive the payment or the public authority, upon request, information on the dependent coverage, including the name of the insurer. Notwithstanding any other law, information reported pursuant to Minnesota Statute 268.121 shall be released to the public agency responsible for support enforcement that is enforcing an order for medical or dental insurance coverage under Minnesota Statute 518.171. The public agency responsible for support enforcement is authorized to release to the insurer or employer of the person responsible to make the payment information necessary to obtain or enforce medical support.
- H. Liability.** If the person responsible to make the payment fails to maintain the medical or dental insurance for the benefit of the children as ordered, he or she shall be liable to the person entitled to receive the payment for any medical or dental expenses incurred from the date of the court order. Proof of failure to maintain insurance constitutes a showing of increased need by the person entitled to receive the payment pursuant to Minnesota Statute 518.64 and provides a basis for a modification of the child support order.
- I. Application for Service.** The public agency responsible for support enforcement shall take necessary steps to implement and enforce an order for dependent health or dental insurance whenever the children receive public assistance, or upon application of the person entitled to receive the payment to the public agency and payment of any fees required by Minnesota Statute 518.551.
- J. Enforcement.** Remedies available for the collection and enforcement of child support apply to medical support. For the purpose of enforcement, the costs of individual or group health or hospitalization coverage or liabilities established pursuant to section H above are additional child support.

**XII. DEPRIVATION OF PARENTAL RIGHTS. PURSUANT TO MINNESOTA STATUTE 518.177, NOTICE IS GIVEN OF MINNESOTA STATUTE 609.26, "DEPRIVING ANOTHER OF CUSTODIAL OR PARENTAL RIGHTS," WHICH STATES:**

**Subdivision 1. Prohibited acts.** Whoever intentionally does any of the following acts may be charged with a felony and, upon conviction, may be sentenced as provided in subdivision 6:

1. conceals a minor child from the child's parent where the action manifests an intent substantially to deprive that parent of parental rights or conceals a minor child from another person having the right to visitation or custody where the action manifests an intent to substantially deprive that person of rights to visitation or custody;
2. takes, obtains, retains, or fails to return a minor child in violation of a court order which has transferred legal custody under Chapter 260 to the commissioner of human services, a child placing agency, or the county welfare board;
3. takes, obtains, retains, or fails to return a minor child from or to the parent in violation of a court order, where the action manifests an intent substantially to deprive that parent of rights to visitation or custody;
4. takes, obtains, retains or fails to return a minor child from or to a parent after commencement of an action relating to child visitation or custody but prior to the issuance of an order determining custody or visitation rights, where the action manifests an intent substantially to deprive that parent of parental rights; or
5. retains a child in this state with the knowledge that the child was removed from another state in violation of any of the above provisions.

**Subd. 2. Defenses.** It is an affirmative defense if a person charged under subdivision 1 proves that:

1. the person reasonably believed the action taken was necessary to protect the child from physical or sexual assault or substantial emotional harm;
2. the person reasonably believed the action taken was necessary to protect the person taking the action from physical or sexual assault;
3. the action taken is consented to by the parent, stepparent, or legal custodian seeking protection, but consent to custody or specific visitation is not consent to the action of failing to return or concealing a minor child; or
4. the action taken is otherwise authorized by a court order issued prior to the violation of subdivision 1.

The defenses provided in this subdivision are in addition to and do not limit other defenses available under this chapter or chapter 611.

**Subd. 3. Venue.** A person who violates this section may be prosecuted and tried either in the county in which the child was taken, concealed, or detained or in the county of lawful residence of the child.

**Subd. 4. Return of child; costs.** A child who has been concealed, obtained, or retained in violation of this section shall be returned to the person having lawful custody of the child or shall be taken into custody pursuant to Minnesota Statute 260.165, subdivision 1, paragraph (c), clause (2). In addition to any sentence imposed, the court may assess any expense incurred in returning the child against any person convicted of violating this section. The court may direct the appropriate county welfare agency to provide counseling services to a child who has been returned pursuant to this subdivision.

**Subd. 5. Dismissal of charge.** A felony charge brought under this section shall be dismissed if:

- (a) the person voluntarily returns the child within 48 hours after taking, detaining, or failing to return the child in violation of this section; or
- (b) (1) the person taking the action and the child have not left the state of Minnesota; and (2) within a period of 7 days after taking the action, (i) a motion or proceeding under chapter 518, 518A, 518B, or 518C is commenced by the person taking the action, or (ii) the attorney representing the person taking the action has consented to service of process by the party whose rights are being deprived, for any motion or action pursuant to chapter 518, 518A, 518B, or 518C.

Clause (a) does not apply if the person returns the child as a result of being located by law enforcement authorities. This subdivision does not prohibit the filing of felony charges or an offense report before the expiration of the 48 hours.

**Subd. 6. Penalty.** Except as otherwise provided in subdivision 5, whoever violates this section may be sentenced as follows:

- (1) to imprisonment for not more than two years or to payment of a fine of not more than \$4,000, or both; or
- (2) to imprisonment for not more than four years or to payment of a fine of not more than \$8,000, or both, if the court finds that:
  - (i) the defendant committed the violation while possessing a dangerous weapon or caused substantial bodily harm to effect the taking;
  - (ii) the defendant abused or neglected the child during the concealment, detention, or removal of the child;
  - (iii) the defendant inflicted or threatened to inflict physical harm on a parent or lawful custodian of the child or on the child with intent to cause the parent or lawful custodian to discontinue criminal prosecution;
  - (iv) the defendant demanded payment in exchange for return of the child or demanded to be relieved of the financial or legal obligation to support the child in exchange for return of the child; or
  - (v) the defendant has previously been convicted under this section or a similar statute of another jurisdiction.

**Subdivision 7. Reporting of deprivation of parental rights.** Any violation of this section shall be reported pursuant to section 626.556, subdivision 3a.

**XIII. NOTICE OF CERTAIN PARENTAL RIGHTS. IF THE ATTACHED ORDER CONTAINS PROVISIONS CONCERNING CUSTODY, THE FOLLOWING NOTICE APPLIES, UNLESS IT HAS BEEN WAIVED BY THE COURT PURSUANT TO MINNESOTA STATUTE 518.17, SUBDIVISION 3:**

- A. Each party has the right of access to and to receive copies of, school, medical, dental, religious training, and other important records and information about the minor children. Presentation of a copy of this order to the custodian of a record or other information about the minor children constitutes sufficient authorization for the release of the record or information to the requesting party.
- B. Each party shall keep the other party informed as to the name and address of the school of attendance of the minor children. Each party has the right to be informed by school officials about the children's welfare, educational progress and status, and to attend school and parent-teacher conferences. The school is not required to hold a separate conference for each party.
- C. In case of an accident or serious illness of a minor child, each party shall notify the other party of the accident or illness, and the name of the health care provider and the place of treatment.
- D. Each party has the right to reasonable access and telephone contact with the minor children.

**XIV. CAPITAL GAIN ON SALE OF PRINCIPAL RESIDENCE. INCOME TAX LAWS REGARDING THE CAPITAL GAIN TAX MAY APPLY TO THE SALE OF THE PARTIES' PRINCIPAL RESIDENCE AND THE PARTIES MAY WISH TO CONSULT WITH AN ATTORNEY CONCERNING THE APPLICABLE LAWS. THESE LAWS MAY INCLUDE, BUT ARE NOT LIMITED TO, THE EXCLUSION AVAILABLE ON THE SALE OF THE PRINCIPAL RESIDENCE FOR THOSE OVER A CERTAIN AGE PURSUANT TO SECTION 121 OF THE INTERNAL REVENUE CODE OF 1986 OR OTHER APPLICABLE LAW. IF THE ATTACHED ORDER AWARDS TITLE TO A PRINCIPAL RESIDENCE TO A PARTY, UNLESS THE ORDER OTHERWISE PROVIDES, USE OF THE CAPITAL GAINS EXCLUSION IS AWARDED TO THAT PARTY.**



FORM 4A. NOTICE FOR IMPLEMENTATION OF BIENNIAL  
COST OF LIVING ADJUSTMENT

See Minn. Stat. § 518.641

Date \_\_\_\_\_

Obligor's Name \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

RE: Notice for Implementation of Cost of Living Adjustment

Court File: In Re the Marriage of:

\_\_\_\_\_, Petitioner and \_\_\_\_\_, Respondent.

Court File No: \_\_\_\_\_

Dear \_\_\_\_\_:

Please be advised that a cost of living adjustment will become effective on \_\_\_\_\_, 19\_\_\_\_. The adjustment is more fully explained and consistent with the terms of paragraph \_\_\_\_\_ of the \_\_\_\_\_.

Prior to the effective date of the adjustment, you have the right to schedule a court hearing on whether the cost of living adjustment should take effect and obtain an ex parte stay of the imposition of the cost of living adjustment pending the outcome of the hearing. Forms for your use in requesting a hearing are available from the \_\_\_\_\_. The cost of living adjustment upon the child support obligation of \$\_\_\_\_\_ and / or upon the maintenance order obligation of \$\_\_\_\_\_ ordered by the court will otherwise become automatic, if you fail to schedule such a hearing and obtain an ex parte court order.

My calculations as to the amount of the adjustment are enclosed. By such computation, you should be paying \$\_\_\_\_\_ for your child support obligation starting on \_\_\_\_\_, 19\_\_\_\_, in equal installments of \$\_\_\_\_\_, and / or \$\_\_\_\_\_ for your maintenance obligation starting on \_\_\_\_\_, 19\_\_\_\_, in equal installments of \$\_\_\_\_\_. If the calculations are satisfactory, please sign and date the attachment, and, after you make a copy for your records, please mail it back to me. A copy of this notice and the original calculation attached shall be filed with the court.

Sincerely,

\_\_\_\_\_  
Name

FORM 4B. COST OF LIVING ADJUSTMENT CALCULATION

See Minn. Gen. R. Prac. 305.01

State of Minnesota

District Court

COUNTY

JUDICIAL DISTRICT CASE NO.

In Re The Marriage Of:

Petitioner

and

Respondent

COST OF LIVING ADJUSTMENT CALCULATION

This cost of living adjustment in child support and / or maintenance has been calculated pursuant to Minn. Stat. 518.641 and the Order of the court dated \_\_\_\_\_ and entered on \_\_\_\_\_.

- Step 1. Total child support payable before adjustment. \$\_\_\_\_\_
Step 2. Most current available CPI-U for this year. \_\_\_\_\_
Step 3. CPI-U for \_\_\_\_\_ of two years ago. (specify month) \_\_\_\_\_
Step 4. Subtract the number in Step 3 from the number in Step 2. \_\_\_\_\_
Step 5. Divide the number in Step 4 by the number in Step 3. \_\_\_\_\_
Step 6. Multiply the number in Step 5 by the number in Step 1. \_\_\_\_\_
Step 7. Add the number in Step 6 to the number in Step 1. \_\_\_\_\_

YOU MUST NOW PAY \$\_\_\_\_\_ AS AND FOR YOUR MONTHLY CHILD SUPPORT OBLIGATION, EFFECTIVE \_\_\_\_\_, 19\_\_.

- Step 8. Total maintenance payable before adjustment. \$\_\_\_\_\_
Step 9. Multiply the number in Step 5 by the number in Step 8. \_\_\_\_\_
Step 10. Add the number in Step 9 to the number in Step 8. \_\_\_\_\_

YOU MUST NOW PAY \$\_\_\_\_\_ AS AND FOR YOUR MONTHLY MAINTENANCE PAYMENT, EFFECTIVE \_\_\_\_\_, 19\_\_.

**FORM 5A. NOTICE TO OBLIGOR OF MEDICAL SUPPORT ENFORCEMENT**

See Minn. Stat. § 518.171

**NOTICE TO OBLIGOR OF MEDICAL SUPPORT ENFORCEMENT**

TO: \_\_\_\_\_, OBLIGOR.

You are hereby notified pursuant to Minnesota Statute 518.171, that thirty (30) days have passed since entry of the court order dated \_\_\_\_\_. You have failed to provide written proof that the required health and dental insurance has been obtained, or that an application for insurability has been made.

If, after fifteen (15) days from the date of this notice, written proof that the insurance coverage exists is not received at the address listed below, a copy of the court order for insurance coverage will be forwarded to your employer or union. This order is binding on your employer or union.

Upon receipt of the order, your employer or union will enroll the minor children named in the order as beneficiaries in an insurance plan and withhold any required premium from your income or wages. If more than one plan is offered by your employer or union, the children will be enrolled in the least costly plan otherwise available to you that is comparable to a number two qualified plan as defined by Minnesota Statute 62E.06, subdivision 2. The children will remain eligible for insurance coverage until emancipated or until further order of the court.

If dependent health and dental insurance is available for the benefit of your (ex-) spouse at no additional cost, the employer or union will also enroll that person.

If you fail to maintain the medical or dental insurance as ordered, you will be liable to the obligee for any medical or dental expenses incurred from the date of the court order. Proof of failure to maintain insurance constitutes a showing of increased need by the obligee pursuant to Minnesota Statute 518.64 and provides a basis for a modification of your child support order.

Date: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone #:( ) \_\_\_\_\_

**FORM 5B. NOTICE TO EMPLOYER OR UNION OF  
MEDICAL SUPPORT**

See Minn. Stat. § 518.641

**TO:** \_\_\_\_\_, **EMPLOYER OR UNION.**

**Re:** **Employee,** \_\_\_\_\_

**Social Security Number:** \_\_\_\_\_

You are being served with a medical support order pursuant to Minn. Stat. 518.171, which requires you to enroll the minor children named in the order as a beneficiary in any health and dental insurance plan that is available to the employee on a group basis, and withhold any required premium from your employee's income or wages.

If more than one plan is offered by you, the children must be enrolled in the insurance plan in which your employee is enrolled, or the least costly plan otherwise available to your employee that is comparable to a number two qualified plan as prescribed by Minn. Stat. 62E.06, subd. 2.

Insurance coverage for the children cannot be terminated until the children are emancipated or until further order of the court.

If dependent health and dental insurance is available for the benefit of the employee's (ex-) spouse at no additional cost, you must also enroll that person.

When an order for dependent insurance is in effect, the employer must release, upon request, to the custodial parent, the county agency, or the state agency, information on the dependent coverage, including the name of the insurer.

You must comply with the order even if the obligor fails to execute necessary documents. Minn. Stat. 518.171, subd. 4.

You must forward a copy of the medical support order to the health and dental insurance plan in which the minor children and (ex-) spouse are to be enrolled. Minn. Stat. 518.171, subd. 3.

**Dated:** \_\_\_\_\_

\_\_\_\_\_  
**Address:** \_\_\_\_\_

\_\_\_\_\_  
**Telephone # ( )** \_\_\_\_\_

FORM 6A. NOTICE OF INCOME WITHHOLDING

See Minn. Stat. § 518.611

TO: \_\_\_\_\_, OBLIGOR

You are hereby notified pursuant to Minn. Stat. 518.611, that fifteen (15) days from the date of this notice your employer or payor of funds will be instructed to deduct your court-ordered child/spousal support payments and payments for past due support from your income.

Your child/spousal support payments are more than thirty (30) days in arrears since the court issued its order for income withholding on \_\_\_\_\_. In addition to withholding \$\_\_\_\_\_ per \_\_\_\_\_ for child/spousal support, \$\_\_\_\_\_ per \_\_\_\_\_ will be withheld by your employer or payor of funds until past due support is paid in full.

If you believe your payments are not at least thirty (30) days in arrears, or if other mistakes of fact exist, you can delay income withholding by requesting within fifteen (15) days from the date of this order that the court:

1. Deny income withholding on the grounds that an arrearage of at least thirty (30) days did not exist as of the date of this notice, or on other grounds, limited to mistakes of fact, and
2. Stay service on the payor of funds until the motion to deny income withholding is heard.

The forms in support of a motion to deny income withholding may be obtained from \_\_\_\_\_. If you request a court hearing, you must serve notice upon \_\_\_\_\_. If you fail to serve notice, your employer or payor of funds will be instructed to begin withholding child/spousal support payments from your income.

Dated: \_\_\_\_\_

\_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Telephone # ( ) \_\_\_\_\_

FORM 6B. ORDER FOR IMMEDIATE INCOME WITHHOLDING

See Minn. Stat. § 518.613, subd. 2

State of Minnesota

District Court

COUNTY

JUDICIAL DISTRICT CASE NO.

In Re The Marriage Of:

Petitioner

and

Respondent

ORDER FOR IMMEDIATE INCOME WITHHOLDING

WHEREAS, income withholding does not indicate any wrongdoing on the part of \_\_\_\_\_, referred to herein as the Obligor, but is required by Minnesota law to assure the regular and timely payment of support and maintenance obligations; and

WHEREAS, Obligor's date of birth, social security number, and name and location of Obligor's employer or other payor of funds are:

DOB: \_\_\_\_\_ SSN: \_\_\_\_\_

Employer/Payor of Funds: \_\_\_\_\_

NOW, THEREFORE, pursuant to the provisions of Minnesota Statutes 518.611 and 518.613, copies of which are attached, and the hearing on \_\_\_\_\_ and/or the order dated \_\_\_\_\_, IT IS HEREBY ORDERED:

- 1. That the sum of \$ \_\_\_\_\_ per \_\_\_\_\_ representing child support and/or spousal maintenance, and \$ \_\_\_\_\_ per \_\_\_\_\_ representing payment on child support and/or maintenance arrears in the amount of \$ \_\_\_\_\_, shall immediately be withheld from the Obligor's income by Obligor's employer or other payor of funds and remitted to: \_\_\_\_\_ in accordance with the provisions of Minnesota Statute chapter 518.
2. That an additional amount equal to 20 percent of the amount required to be withheld in paragraph 1 above (\$ \_\_\_\_\_ per \_\_\_\_\_) shall be withheld from the income of the Obligor by the employer or other payor of funds until the arrearage is paid in full.
3. Withheld funds must be remitted within ten days of the date the Obligor is paid the remainder of the income, and the remittance information must include the Obligor's name, court file number, and the date the Obligor was paid the remainder of the income.
4. This order is binding on all current and future employers or payors of funds without further order of the court. NO EMPLOYER MAY DISCHARGE, SUSPEND, OR OTHERWISE PENALIZE OR DISCIPLINE AN EMPLOYEE BECAUSE THE EMPLOYER MUST WITHHOLD SUPPORT. When Obligor's employment terminates, the Obligor and the employer or payor of funds must notify the child support agency of the termination.

Dated: \_\_\_\_\_

BY THE COURT: \_\_\_\_\_

State of Minnesota

District Court

COUNTY

JUDICIAL DISTRICT CASE NO.

In Re The Marriage Of:

Petitioner

and

Respondent

NOTICE OF ORDER TO A PAYOR OF FUNDS

TO: \_\_\_\_\_, A PAYOR OF FUNDS:

You are hereby notified pursuant to Minnesota Statute 518.646, that according to the terms and conditions of the order dated \_\_\_\_\_, and issued by the \_\_\_\_\_ Court, \_\_\_\_\_ Judicial District, County of \_\_\_\_\_, in file number \_\_\_\_\_, the above named \_\_\_\_\_ obligor is to provide (support) (health and dental insurance) for \_\_\_\_\_, the obligee minor children of the parties, namely:

- \_\_\_\_\_ born \_\_\_\_\_
\_\_\_\_\_ born \_\_\_\_\_
\_\_\_\_\_ born \_\_\_\_\_

The relevant provisions of the order are as follows:

[here set out the operative provisions of the order verbatim]

STATE OF MINNESOTA

COUNTY OF \_\_\_\_\_

\_\_\_\_\_, being first duly sworn upon oath, deposes and says that s/he is the \_\_\_\_\_; that s/he has read the foregoing notice and knows the contents thereof and that the same is true of his/her knowledge except as to those matters believed to be true.

Subscribed and sworn to before me

this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_.

Notary Public

FORM 8A. NOTICE OF ENTRY AND DOCKETING OF MAINTENANCE JUDGMENT

See Minn. Stat. § 548.091, subd. 1

State of Minnesota

District Court

COUNTY

JUDICIAL DISTRICT CASE NO.

In Re The Marriage Of:

Petitioner

and

Respondent

NOTICE OF ENTRY AND DOCKETING OF MAINTENANCE JUDGMENT

TO: \_\_\_\_\_, THE ABOVE NAMED \_\_\_\_\_-OBLIGOR:

You are hereby notified pursuant to Minnesota Statute 548.091 that you have twenty (20) days from the date of this notice to either pay all amounts claimed unpaid in the attached affidavit of default or to request a court hearing on the issue of whether the amounts claimed owing have been paid and to seek, ex parte, a stay of entry of judgment and serve a copy of your Notice of Motion and Motions on \_\_\_\_\_. Should you fail to do either of the above, judgment will be entered and docketed against you in the amount of \$\_\_\_\_\_.

Dated: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone #: ( ) \_\_\_\_\_



FORM 8B. AFFIDAVIT OF DEFAULT OF MAINTENANCE JUDGMENT

See Minn. Stat. § 548.091, subd. 1

STATE OF MINNESOTA

COUNTY OF \_\_\_\_\_

AFFIDAVIT OF DEFAULT OF MAINTENANCE JUDGMENT

\_\_\_\_\_, being duly sworn on oath deposes and states that s/he is the \_\_\_\_\_.

According to the order dated \_\_\_\_\_, the obligor is to pay \$\_\_\_\_\_ per \_\_\_\_\_ as and for spousal maintenance. Obligor is more than thirty days in arrears. For the period \_\_\_\_\_, 19\_\_ through \_\_\_\_\_, 19\_\_, payments due amounted to \$\_\_\_\_\_, the amount paid was \$\_\_\_\_\_, and the total amount unpaid is \$\_\_\_\_\_.

The obligor's full name is \_\_\_\_\_. The obligor's last known employer is \_\_\_\_\_. The obligor's last known address is \_\_\_\_\_, in the City of \_\_\_\_\_, State of \_\_\_\_\_. The obligor's last known post office address is \_\_\_\_\_. The obligor is not in the Armed Services.

All maintenance payments are payable to \_\_\_\_\_.

Subscribed and sworn to before me

this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_.

\_\_\_\_\_  
Notary Public

**FORM 8C. SUPPLEMENTAL AFFIDAVIT OF DEFAULT OF MAINTENANCE JUDGMENT**

See Minn. Stat. § 548.091, subd. 1

STATE OF MINNESOTA

COUNTY OF \_\_\_\_\_

**SUPPLEMENTAL  
AFFIDAVIT OF DEFAULT  
OF MAINTENANCE JUDGMENT**

\_\_\_\_\_, being duly sworn on oath deposes and states that s/he is the  
\_\_\_\_\_.

Since the date of execution of the Affidavit of Default herein on \_\_\_\_\_, the obligor has made payments in the amount of \$ \_\_\_\_\_. Accordingly, judgment should be entered against the obligor, \_\_\_\_\_, and in favor of \_\_\_\_\_ for the unpaid balance in the amount of \$ \_\_\_\_\_.

\_\_\_\_\_

Subscribed and sworn to before me

this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_\_.

\_\_\_\_\_  
Notary Public

FORM 8D. NOTICE OF ENTRY AND DOCKETING OF SUPPORT JUDGMENT

See Minn. Stat. § 548.091, subd. 1

State of Minnesota

District Court

COUNTY

JUDICIAL DISTRICT CASE NO.

In Re The Marriage Of:

Petitioner

and

Respondent

NOTICE OF ENTRY AND DOCKETING OF SUPPORT JUDGMENT

TO: \_\_\_\_\_, THE ABOVE NAMED \_\_\_\_\_-OBLIGOR:

You are hereby notified pursuant to Minnesota Statute 548.091, subdivision 2a, that judgment has been entered and docketed against you in favor of \_\_\_\_\_ for unpaid child support in the amount of \$\_\_\_\_\_.

Any payment or installment of child support required by court order or decree that is not paid or withheld from the obligor's income is a judgment by operation of law on and after the date that it is due. You may request a hearing under the Minnesota Rules of Civil Procedure on the issue of whether the judgment amount or amounts have been paid and may move the court for an order directing the court administrator to vacate the judgment or judgments on the docket and register in any county or other jurisdiction in which judgment or judgments were entered pursuant to this action.

Dated: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone #: ( ) \_\_\_\_\_

FORM 8E. AFFIDAVIT OF DEFAULT OF SUPPORT JUDGMENT

See Minn. Stat. § 548.091, subd. 2a

STATE OF MINNESOTA

COUNTY OF \_\_\_\_\_

AFFIDAVIT OF DEFAULT OF SUPPORT JUDGMENT

\_\_\_\_\_, being duly sworn on oath deposes and states that s/he is the \_\_\_\_\_.

According to the order dated \_\_\_\_\_, the obligor is to pay \$\_\_\_\_\_ per \_\_\_\_\_ as and for child support. Judgment was obtained by operation of law for unpaid child support as follows:

<u>Payment Due Date(s)</u>	<u>Amount Paid</u>	<u>Amount Unpaid</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

Total Amount Unpaid: \_\_\_\_\_

The obligor's full name is \_\_\_\_\_. The obligor's last known employer is \_\_\_\_\_. The obligor's last known address is \_\_\_\_\_, in the City of \_\_\_\_\_, State of \_\_\_\_\_. The obligor's last known post office address is \_\_\_\_\_. The obligor is not in the Armed Services.

All support payments are payable to \_\_\_\_\_.

Subscribed and sworn to before me

this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_.

\_\_\_\_\_  
Notary Public

FORM 9. INFORMATIONAL STATEMENT (Family Court Matters)

See Minn. Gen. R. Prac. 304.02

State of Minnesota

District Court

COUNTY

JUDICIAL DISTRICT CASE NO.

In Re The Marriage Of:

Petitioner

and

Respondent

INFORMATIONAL STATEMENT FORM

- 1. All parties (have) (have not) been served with process.
2. All parties (have) (have not) joined in the filing of this form.
3. The case involves the following (check all that apply and supply estimates where indicated):

a. minor children No Yes, number:
b. custody dispute No Yes Specify:

c. visitation dispute No Yes Specify:

Each party will submit an exhibit outlining custody and visitation proposals for each child.

d. marital property No Yes

Identify the asset and the requested disposition:

e. nonmarital property No Yes

Each party shall identify any nonmarital claims, their respective positions for the basis for the claim, the method(s) used to arrive at the claimed amount or trace the claim and requested disposition:

f. complex evaluation issues No Yes

4. It is estimated that the discovery specified below can be completed within \_\_\_\_\_ months from the date of this form. (Check all that apply and supply estimates where indicated.)

- a. Interrogatories                                  No \_\_\_\_\_ Yes \_\_\_\_\_
- b. Document Requests                              No \_\_\_\_\_ Yes \_\_\_\_\_, estimated number: \_\_\_\_\_
- c. Factual Depositions                            No \_\_\_\_\_ Yes \_\_\_\_\_

Identify the person who will be deposed by either party:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- d. Medical/Vocational Evaluations      No \_\_\_\_\_ Yes \_\_\_\_\_

Identify the person who will conduct such evaluations for either party:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- e. Experts    No \_\_\_\_\_ Yes \_\_\_\_\_

Identify any experts for either party:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. The dates and deadlines specified below are suggested.

- a. \_\_\_\_\_ Deadline for bringing motion regarding: \_\_\_\_\_  
(specify)
- b. \_\_\_\_\_ Deadline for completion and review of property evaluation.
- c. \_\_\_\_\_ Deadline for completion and review of custody/visitation mediation.
- d. \_\_\_\_\_ Deadline for completion and review of custody/visitation evaluation.
- e. \_\_\_\_\_ Deadline for submitting \_\_\_\_\_ to the court.  
(specify)
- f. \_\_\_\_\_ Date for prehearing conference.
- g. \_\_\_\_\_ Date for trial or final hearing.

6. Estimated trial or final hearing time: \_\_\_\_\_ days \_\_\_\_\_ hours (estimates less than a day must be stated in hours).

7. Alternative dispute resolution (is) (is not) recommended, in the form of: \_\_\_\_\_ (specify, e.g., arbitration, mediation, or other means).

\_\_\_\_\_ Date for completion of mediation/alternative dispute resolution.  
Mediation/alternative dispute resolution expected to extend over a period of \_\_\_\_\_ days/weeks.

8. Please list any additional information which might be helpful to the court when scheduling this matter, including, e.g., facts which will affect readiness for trial and any issues that significantly affect the welfare of the children:

---

---

Signed: \_\_\_\_\_  
Lawyer for (Petitioner)

Attorney Reg. #: \_\_\_\_\_  
Firm: \_\_\_\_\_  
Address: \_\_\_\_\_  
Telephone: \_\_\_\_\_  
Date: \_\_\_\_\_

Signed: \_\_\_\_\_  
Lawyer for (Respondent)

Attorney Reg. #: \_\_\_\_\_  
Firm: \_\_\_\_\_  
Address: \_\_\_\_\_  
Telephone: \_\_\_\_\_  
Date: \_\_\_\_\_

## TITLE V -- PROBATE RULES

### Rule 401 Applicability of Rules

Rules 401 through 416 apply to all Probate proceedings.

#### Task Force Comment--1991 Adoption

Rules 401 through 416 are the Minnesota Probate Rules recodified, but not otherwise significantly changed. Rule 401 is a new rule intended to make it clear what actions are governed by these rules.

### Rule 402 Definitions

(a) **Formal Proceedings.** A formal proceeding is a hearing conducted before the court with notice to interested persons. Formal proceedings seek a judicial determination.

(b) **Informal Proceedings.** An informal proceeding is conducted by the judge, the registrar, or the person or persons designated by the judge for probate of a will or appointment of a personal representative. Informal proceedings seek an administrative determination and not a judicial determination and are granted without prior notice and hearing.

(c) **Supervised Administration.** Supervised administration is a single, continuous, in rem proceeding commenced by a formal proceeding.

(d) **Code.** The code is the Uniform Probate Code as adopted by the State of Minnesota.

### Rule 403 Documents

(a) **Preparation of Original Documents.** It shall be the responsibility of lawyers and others appearing before the court or registrar to prepare for review and execution appropriate orders, decrees, statements, applications, petitions, notices and related documents, complete and properly drafted, to address the subject matter and relief requested.

(b) **Official Forms.** The official forms adopted by the Minnesota District Judges' Association or promulgated by the Commissioner of Commerce shall be used.

(c) **Documents and Files.** The court shall make its files and records available for inspection and copying.

No file, or any part thereof, shall be taken from the custody of the court, except the original court order required to be displayed to an individual or entity when the order is served. A document or exhibit which has been filed or submitted in any proceeding can thereafter be withdrawn only with the permission of the court. Any document which is written in a language other than English shall be accompanied by a verified translation into the English language.

(d) **Verification of Filed Documents.** Every document filed with the court must be verified as required by the code, except a written statement of claim filed with the court administrator by a creditor or a pleading signed by the lawyer for a party in accordance with the Minnesota Rules of Civil Procedure.

#### Probate Committee Comment

The court will accept photocopies of forms if the copies are made by a process that is permanent, on hard stock paper, are free of smudges and otherwise clearly legible and have been reproduced in the same length as the original form and prescribed type size. In using photocopies of forms in courts that are not utilizing a flat file system, the case heading and nomenclature must appear on the outside of the form when folded appropriately for permanent filing.



### **Task Force Comment--1991 Adoption**

The change in this rule is made to reflect the new title of the office formerly known as Commissioner of Securities. See Minn. Stat. § 80A.14, subd. 5 (1990).

#### **Rule 404 Notice in Formal Proceedings**

(a) **General Notice Requirements.** In all formal proceedings notice of a hearing on any petition shall be given as provided in the code after the court issues the order for hearing. Where mailed notice is required, proof of mailing the notice of hearing shall be filed with the court administrator before any formal order will issue. Mailed notice shall be given to any interested person as defined by the code or to the person's lawyer. Where notice by personal service or publication is required by the code, proof of personal service or publication shall be filed with the court administrator before the formal order will issue.

(b) **Notice of Proceedings for Determination of Testacy and Appointment of Personal Representative.** In proceedings which adjudicate testacy, notice of the hearing on the petition shall be given after the court administrator issues the order for hearing. Proof of publication of the order for hearing, in accordance with the code, shall be filed with the court administrator before the order will issue. In proceedings for the formal appointment of a personal representative, the same notice requirements shall pertain except notice by publication shall not be required if testacy has been previously determined. Where creditors claims are to be barred, the published notice shall include notice to creditors.

Mailed notice shall be given to all known heirs-at-law, all devisees under any will submitted for formal probate and all interested persons as defined by the code or ordered by the court and shall include in appropriate cases the attorney general, foreign consul and lawyers representing the interested persons.

Mailed notice shall be given to the surviving spouse of the following rights:

- (1) The right to receive the decedent's wearing apparel, furniture and household goods and other personal property as provided in the code or by law.
- (2) The right to receive maintenance payments during administration of the estate as provided in the code or by law.
- (3) The right to take an elective share of one-third of the augmented estate as provided in the code and the homestead as provided in the code or by law.

(c) **Waiver of Notice in Formal Proceedings.** Except in proceedings governed by subdivision (b) of this rule, an interested person may waive notice of any formal proceeding in accordance with the code. The written waiver shall evidence the person's consent to the order sought in the proceeding.

#### **Probate Committee Comment**

Publication required by this notice must be completed prior to the hearing date.

#### **Rule 405 Interim Orders**

(a) **Interim Orders Available From Court Only.** The court has no power to intervene in any unsupervised administration unless a formal petition invoking the court's authority is filed by an interested person.

The court or registrar does not have authority to issue ex parte interim orders in unsupervised proceedings except that the registrar may issue the certificate of discharge provided for in the code.

In supervised administration, the court may issue ex parte orders only for strong and compelling reasons.

#### **Probate Committee Comment**

Determinations by the registrar are informal and do not bring the estate or interested persons under the supervisory authority of the court. A personal representative appointed in informal proceedings may petition the court for a formal determination as to any matter within the jurisdiction of the court. It may also be necessary to seek the formal determination of the court

as to the admissibility of a will, determination of heirship, or other matters as a condition precedent to obtaining the requested relief.

**Rule 406 Uncontested Formal Proceedings**

(a) **Uncontested Formal Proceedings; Hearings and Proof.** The court shall call the calendar in open court for all hearings set for a designated time. If a petition in a formal proceeding is unopposed, the court will enter in the record the fact that there was no appearance in opposition to the petition and that no objection has been filed with the court. Thereupon, the court shall:

- (1) Make its determination after conducting a hearing in open court, requiring appearance of petitioner and testimony or other proof of the matters necessary to support the order sought; or
- (2) Make its determination on the strength of the pleadings without requiring the appearance of petitioner or of petitioner's lawyer and without requiring testimony or proof other than the verified pleadings; or
- (3) Make its determination based on such combination of (1) and (2) above as the court in its discretion deems proper.

In any uncontested formal proceeding, the court shall determine that (i) the time required for any notice has expired; (ii) any required notice has been given; (iii) the court has jurisdiction of the subject matter; (iv) venue is proper; and (v) the proceeding was commenced within the time limitations prescribed by the code as a prerequisite to determining other issues presented to the court for determination in the proceeding. The court shall be satisfied that the pleadings and any other proof presented support the order sought in any uncontested formal proceeding.

**Rule 407 Appointment**

(a) **Nomination and Renunciation.** When two or more persons have equal or higher priority to appointment as personal representative, those who do not renounce must concur in writing in nominating another to act for them, or in applying for appointment. In formal appointment proceedings, concurrence by persons who have equal or higher priority is presumed after notice has been given unless a written objection is filed.

(b) **Nonresident Personal Representatives.** The court or registrar may appoint a nonresident personal representative.

**Rule 408 Informal Proceedings**

(a) **Contents of the Application.** Application for informal probate or appointment proceedings shall contain information required by the code and the approximate value of the following categories of assets:

Probate Assets	
Homestead	\$ _____
Other Real Estate	\$ _____
Cash	\$ _____
Securities	\$ _____
Other	\$ _____

**Non-Probate Assets**

Joint Tenancy \$ \_\_\_\_\_  
Insurance \$ \_\_\_\_\_  
Other \$ \_\_\_\_\_

Approximate Indebtedness \$ \_\_\_\_\_

In all estate proceedings, whether testate or intestate, the application must contain a statement that specifically eliminates all heirs or devisees other than those listed in the application.

**Probate Committee Comment**

**Examples**

(These are not intended to be exhaustive)

The statements will necessarily vary, depending upon who survives the decedent, and must close out any class affected:

(1) Where only the spouse survives, the application should state "That decedent left no surviving issue, natural or adopted, legitimate or illegitimate."

(2) Where only children survive, the application should state "That the decedent left surviving no spouse; no children, natural or adopted, legitimate or illegitimate, other than herein named; and no issue of any deceased children."

(3) Where the spouse and children survive, the application should state "That the decedent left surviving no children, natural or adopted, legitimate or illegitimate, other than herein named and no issue of any deceased children."

(4) Where only brothers or sisters of decedent survive, the application should state "That the decedent left surviving no spouse; issue; parents; brothers or sisters other than herein named; and no issue of deceased brothers or sisters."

(5) Where only first cousins survive, the application should state "That the decedent left surviving no spouse; issue; parents; brothers or sisters or issue thereof, grandparents; aunts or uncles; and no first cousins other than herein named."

(6) In all cases, the application should state either:

(a) That all the heirs-at-law survived the decedent for 120 hours or more; or

(b) that all the heirs-at-law survived the decedent for 120 hours or more except the following: (name or names).

(7) In all cases where a spouse and children survive, the application should state either:

(a) That all of the issue of the decedent are also issue of the surviving spouse; or

(b) That one or more of the issue of the decedent are not also issue of the surviving spouse.

(b) **Will Testimony.** The registrar shall not require any affidavit or testimony with respect to execution of a will prior to informal probate if it is a self-proved will or appears to have been validly executed.

**Probate Committee Comment**

Applicants for informal probate of a will which is not self-proved are encouraged to preserve evidence concerning the execution of the will if a formal testacy proceeding may later be required or desired.

(c) **Appearances.** The applicant is required to appear before the registrar unless represented by counsel. The registrar may also waive appearance by counsel.

(d) **Informal Proceedings: Notice of Informal Probate of Will and Informal Appointment of Personal Representative.** In informal proceedings, notice of appointment of a personal representative shall be given after the registrar issues the order appointing the personal representative. Proof of placement for publication shall be filed with the court administrator before letters will issue. Where mailed notice is required, an

affidavit of mailing of the order appointing the personal representative shall be filed with the court administrator before letters will issue. If the informal proceedings include the informal probate of a will, the notice shall include notice of the issuance of the statement of informal probate of the will. Where creditors claims are to be barred, the published notice shall include notice to creditors.

Mailed notice shall be given to all known heirs-at-law, all devisees under any will submitted for informal probate and all interested persons as defined by the code and shall include in appropriate cases the attorney general, foreign consul and lawyers representing interested persons.

Mailed notice shall be given to the surviving spouse of the following rights:

- (1) The right to receive the decedent's wearing apparel, furniture and household goods and other personal property as provided in the code or by law.
- (2) The right to receive maintenance payments during administration of the estate as provided in the code or by law.
- (3) The right to take an elective share of one-third of the augmented estate as provided in the code and the homestead as provided in the code or by law.

#### **Rule 409 Formal Testacy and Appointment Proceedings**

**(a) Contents of Petition.** A petition in formal testacy and appointment proceedings shall contain the information required by the code and the information concerning the approximate value of assets required by Minn. Gen. R. Prac. 408(a). In all estate proceedings, whether testate or intestate, the petition must contain an allegation that specifically eliminates all heirs or devisees other than as listed in the petition.

**(b) Conversion to Supervised Administration.** Any estate which has been commenced as an informal proceeding or as an unsupervised formal proceeding may be converted at any time to a supervised administration upon petition. The court shall enter an order for hearing on said petition. Notice of hearing shall be given in accordance with Minn. Gen. R. Prac. 404(a). If testacy has not been adjudicated in a prior formal proceeding, notice of hearing must meet the specific notice requirements for formal testacy proceedings provided by Minn. Gen. R. Prac. 404(b) including notice by publication.

#### **Rule 410 Transfer of Real Estate**

**(a) Transfers of Real Estate in Supervised and Unsupervised Administration; Transfer by Personal Representative of Real Property for Value; Documents Required.** A personal representative shall provide a transferee of real property for value with the following documents:

- (1) A certified copy of unrestricted letters (30 days must have elapsed since date of issuance of letters to an informally appointed personal representative);
- (2) A certified copy of the will; and
- (3) A personal representative's deed or other instrument transferring any interest in real property which shall contain the marital status of the decedent and the consent of spouse, if any.

**(b) Distribution of Real Property; Documents Required.** A personal representative shall provide a distributee of real property with the following documents:

- (1) When distribution is made by decree, a certified copy of the decree of distribution assigning any interest in real property to the distributee.
- (2) When distribution is made by deed from a personal representative in unsupervised administration:
  - (i) A certified copy of unrestricted letters (30 days must have elapsed since date of issuance of letters to an informally appointed personal representative);
  - (ii) A certified copy of the will; and
  - (iii) A personal representative's deed of distribution of any interest in real property to the distributee which shall contain the marital status of the decedent and consent of spouse, if any.
- (3) When distribution is made by deed from the personal representative in supervised administration:
  - (i) A certified copy of unrestricted letters;

- (ii) A certified copy of an order of distribution which authorizes the distribution of any interest in real property to the distributee;
- (iii) A certified copy of the will; and
- (iv) A personal representative's deed of distribution of any interest in real property to the distributee.

#### **Rule 411 Closing Estates**

(a) **Notice of Formal Proceedings for Complete Settlement Under Minn. Stat. § 524.3-1001.** If testacy has been adjudicated in a prior formal proceeding, notice of hearing on a petition for complete settlement under Minn. Stat. § 524.3-1001 must meet the requirements of Minn. Gen. R. Prac. 404(a), but notice by publication specifically provided for in Minn. Stat. § 524.3-403 is not required. If testacy has not been adjudicated in a prior formal proceeding, notice of hearing on a petition for complete settlement under Minn. Stat. § 524.3-1001, must meet the specific notice requirements for formal testacy proceedings provided in Minn. Stat. § 524.3-403, including notice by publication.

(b) **Notice of Formal Proceedings for Settlement of Estate Under Minn. Stat. § 524.3-1002.** If an estate is administered under an informally probated will and there has been no adjudication of testacy in a prior formal proceeding, the court may make a final determination of rights between the devisees under the will and against the personal representative under Minn. Stat. § 524.3-1002, if no part of the estate is intestate. The court will not adjudicate the testacy status of the decedent. Notice of hearing on a petition must meet the requirements of Minn. Stat. § 524.1-401. Notice by publication specifically provided for in Minn. Stat. § 524.3-403 is not required.

#### **Rule 412 Fees, Vouchers, and Tax Returns**

(a) **Fees.** The court may require documentation or it may appoint counsel to determine the reasonableness of the fees charged by the lawyer and the personal representative. The court may order the fees of the appointed counsel to be paid out of the estate.

(b) **Vouchers.** Unless otherwise ordered by the court, vouchers for final and interim accounts need not be filed.

(c) **Tax Returns.** Unless ordered by the court, copies of the United States Estate Tax closing letter and the Minnesota notification of audit results need not be filed.

#### **Rule 413 Subsequent Proceedings**

(a) **Authority of Personal Representative During One Year Period After Filing Closing Statement.** For one year from the date of filing the closing statement authorized by the code, the personal representative shall have full and complete authority to execute further transfers of property; to complete transactions; to complete distributions; to correct misdescriptions or improper identification of assets; or to transfer or distribute omitted property. During this period, the personal representative shall ascertain any matters of unfinished administration which must be completed prior to the termination of the representative's authority.

(b) **Authority of Personal Representative to Transfer or Distribute Omitted Property During One Year Period After Filing Closing Statement.** In the case of omitted property discovered after the filing of the closing statement authorized by the code, but before termination of the personal representative's authority, the personal representative must, as required by the code, file a supplementary inventory with the court and mail a copy to any surviving spouse, other distributees, and other interested persons, including creditors whose claims are unpaid and not barred. Proof of service by mail must be filed with the court prior to any transfer of the omitted property by the personal representative.

(c) **Notice of Proceedings for Subsequent Administration After Termination of Personal Representative's Authority.** Appointment of a personal representative in subsequent administration may only be secured in formal proceeding. If testacy has been adjudicated in a formal proceeding, notice of

hearing must meet the requirements of Minn. Gen. R. Prac. 404(a), but the notice by publication specifically provided for in Minn. Stat. § 524.3-403 is not required. If testacy has not been adjudicated previously and only appointment of a personal representative is sought, notice of hearing must meet the specific notice requirements for formal testacy proceedings provided in Minn. Stat. § 524.3-403, but notice by publication is not required. In the case of subsequent administration involving omitted property, the personal representative must comply with the inventory, mailing and filing requirements of Minn. Gen. R. Prac. 413(b).

**(d) Proof Required for Formal Settlement or Distribution in Subsequent Administration.** During a subsequent administration, when an order of settlement of the estate and decree or order of distribution is sought, the court must be satisfied with the pleadings and any other proof (including accounting for all assets, disbursements, and distributions made during the prior administration) before issuing its order.

#### **Rule 414 Fiduciaries**

If the lawyer for the estate, a partner, associate or employee is the personal representative of the estate, except where one of them is a family member of the decedent, the administration shall be supervised. In such a case, both the lawyer for the estate and the personal representative must keep separate time records and differentiate the charges for their duties in each capacity. The lawyer should only serve as fiduciary at the unsolicited suggestion of the client and the lawyer must realize that there are legal, ethical and practical problems that must be overcome in order to perform the duties of a fiduciary and lawyer.

#### **Task Force Comment—1991 Adoption**

This recommended change is made to permit family members, who happen to be lawyers, to serve as fiduciaries without automatically subjecting the estate to the burdens of supervised administration. Although supervised administration may be appropriate in individual cases, the Task Force believes that it should not be uniformly imposed on the families of lawyers.

#### **Rule 415 Registrar**

**(a) Authority.** The functions of the registrar may be performed either by a judge of the court or by a person designated by the court in a written order filed and recorded in the office of the court, subject to the following:

(1) Each judge of the court may at any time perform the functions of registrar regardless of whether the court has designated other persons to perform those functions.

(2) The functions and powers of the registrar are limited to the acts and orders specified by the code and these rules.

(3) Any person designated registrar by the court shall be subject to the authority granted by and the continuing direction of the court.

(4) The registrar is not empowered to intervene or issue orders resolving conflicts related to the administration of the estate.

**(b) Registrar Has No Continuing Authority.** The registrar does not have any continuing authority over an estate after the informal probate is granted or denied and shall not require the filing of any additional documents other than are required by the code (law) and these rules.

#### **Rule 416 Guardianships and Conservatorships**

**(a) Responsibility of Lawyer.** Upon the appointment of a conservator or guardian of the estate, the appointee shall nominate a lawyer of record for that conservatorship or guardianship, or shall advise the court that he or she shall act pro se. The named lawyer shall be the lawyer of record until terminated by the conservator or guardian, or, with the consent of the court, by withdrawal of the lawyer. If the lawyer

is terminated by the conservator or guardian, written notice of substitution or pro se representation shall be given to the court (by the conservator or guardian, or by the lawyer who has received oral or written notice of termination), and until such notice, the former lawyer shall be recognized.

**(b) Visitors in Guardianship and Conservatorship Proceedings.** A visitor, as defined by law, may be appointed in every general guardianship or conservatorship proceeding.

Every visitor shall have training and experience in law, health care or social work, as the case may be, depending upon the circumstances of the proposed ward or conservatee.

The visitor shall be an officer of the court and shall be disinterested in the guardianship or conservatorship proceedings. If the court at any time determines that the visitor, or the firm or agency by which he or she is employed, has or had, at the time of hearing, a conflict of interest, the court shall immediately appoint a new visitor and may, if necessary, require a hearing de novo.

The visitor shall, (a) without outside interferences, meet with the proposed ward or conservatee, either once or more than once as the visitor deems necessary, (b) observe his or her appearance, lucidity and surroundings, (c) serve, read aloud, if requested, and explain the petition and notice of hearing, (d) assist, if requested, in obtaining a private or court appointed lawyer, (e) advise the proposed ward or conservatee that a report will be filed at least five (5) days before the hearing and that the report is available to the proposed ward or conservatee or the ward's or conservatee's lawyer, (f) prepare a written report to the court setting forth all matters the visitor deems relevant in determining the need for a guardian or conservator, including recommendations concerning appointment and limitation of powers, (g) file the original report with the court and, (h) serve a copy upon the petitioner or petitioner's lawyer at least five (5) days prior to the hearing, (i) appear, testify and submit to cross examination at the hearing concerning his or her observations and recommendations, unless such appearance is excused by the court.

**(c) Voluntary Petition.** If an adult voluntarily petitions or consents to the appointment of a guardian or conservator of the estate as set forth in the law, then it is not necessary for such adult to be an "incapacitated person" as defined by the law.

**(d) Amount of Bond.** The court may, at any time, require the filing of a bond in such amount as the court deems necessary and the court, either on request of an interested party, or on its own motion, may increase or decrease the amount of the bond. The court, in requiring a bond, if any, or in determining the amount thereof, shall take into account not only the nature and value of the assets, but also the qualifications of the guardian or conservator.

**(e) Effect of Allowance of Accounts.** The filing, examination and acceptance of an annual account, without notice of hearing, shall not constitute a determination or adjudication on the merits of the account, nor does it constitute the court's approval of the account.

**(f) Required Periodic Settlement of Accounts.** No order settling and allowing an annual or final account shall be issued by the court except on a hearing with notice to interested parties. A hearing for the settlement and allowance of an annual or final account may be ordered upon the request of the court or any interested party. A hearing shall be held for such purpose in each guardianship or conservatorship of the estate at least once every five years upon notice as set forth in the law, and the rules pursuant thereto. However, in estates of the value of \$20,000 or less, the five year hearing requirement may be waived by the court in its discretion. Such five year hearings shall be held within 150 days after the end of the accounting period of each fifth annual unallowed account and the court administrator shall notify such guardian or conservator, the guardian's or conservator's lawyer and the court if the hearing is not held within the 150 day period.

**(g) Notice of Hearing on Account.** Notice of time and place for hearing on the petition for final settlement and allowance of any account shall be given to the ward or conservatee, to the guardian or conservator if such person was not the petitioner for settlement of the accounts, to the spouse, adult children and such other interested persons as the court may direct. Whenever any funds have been received by the estate from the Veterans Administration during the period of accounting, notice by mail shall be given to the regional office. The notice may be served in person or by depositing a copy in the U.S. mail to the last known address of the person or entity being served. When a ward or conservatee is restored to capacity, that person is the only interested person. When a ward or conservatee dies, the personal representative of the estate is the only interested person.

**(h) Appearance on Petition for Adjudication of Accounts.** When a verified annual or final account is filed in accord with the law and an adjudication is sought, and notice given as required by the law or waived as provided below, and the court determines that the account should be allowed, the account may be allowed upon the pleadings without appearance of the guardian or conservator. If the ward, conservatee or any interested person shall object to the account, or demand the appearance of the guardian or conservator for hearing on the account, at any time up to and including the date set for the hearing, the court will continue the hearing, if necessary, to a later date and require the appearance of the guardian/conservator for examination. Notice of hearing may be waived with the consent of all interested persons.

**(i) Successor Guardian; Notice to Ward or Conservatee.** The notice required by law shall include the right of the ward or conservatee to nominate and instruct the successor.



## TITLE VI – CONCILIATION COURT RULES

### **Rule 501      Applicability of Rules**

Rules 501 through 525 apply to all Conciliation Court proceedings, except in Hennepin and Ramsey counties.

#### **Task Force Comment—1991 Adoption**

These rules are patterned after the existing rules of conciliation court practice. In order to avoid confusion and to facilitate future statewide application of the rules, procedural matters that are covered by statutes governing conciliation court practice have been incorporated into these rules. The existing rules are seriously in need of revision and updating. The current rules incorporate statutory provisions from statutes that have long ago been superseded, including a \$500.00 jurisdictional limit rather than the current statutory limit of \$ 4,000.00. (*Compare* Concil. Ct. R. 1.02 with Minn. Stat. § 487.30 (1990).

Because Hennepin and Ramsey County Conciliation Courts are governed by separate statutes which create different procedures for conciliation court proceedings in those counties, *see* Minn. Stat. §§ 488A.12-.17; 488A.29-.34 (1990), these rules cannot readily apply in those counties. It is the recommendation of the Task Force that the Legislature repeal the separate jurisdictional statutes for Hennepin and Ramsey County District Courts, so that all conciliation court proceedings statewide are conducted under a single statute. When that legislative action is taken, this rule should then be amended to make these Conciliation Court Rules applicable throughout the state as well.

When the legislative revisions occur, the Task Force recommends that procedural matters contained in the statutes be repealed as well, so that court procedures can be governed by appropriate Supreme Court Rule.

### **Rule 502      Jurisdiction**

The conciliation court shall have jurisdiction as prescribed by law.

#### **Task Force Comment—1991 Adoption**

This rule is derived from Rule 1.02 of Rules for the Conciliation Courts.

### **Rule 503      Powers; Issuance of Process**

The conciliation court may issue process as necessary or proper to carry out the purposes of conciliation court.

#### **Task Force Comment—1991 Adoption**

This rule is derived from Rule 1.03 of Rules for the Conciliation Courts.

### **Rule 504      Computation of Time**

In computing any period of time prescribed by these rules, the day of the act, event or default, after which the designated period of time begins to run, is not to be included. The last day of the period so computed is to be included unless it falls on a Saturday, Sunday or legal holiday, in which event the period runs until the end of the next day which is neither a Saturday, Sunday nor a holiday. When the period of time prescribed is less than seven days, intervening Saturdays, Sundays and holidays shall be excluded in the computation.

**Task Force Comment--1991 Adoption**

The exclusion of Saturdays from the computation of time brings the rule in line with Minn. R. Civ. P. 6.01.

This rule is derived from Rule 1.05 of Rules for the Conciliation Courts.

**Rule 505 Judge(s); Administrator; Reporting**

(a) **Judges.** The judge(s) and, where authorized by statute, full and part time judicial officers and referees of the district court shall serve as judge(s) of conciliation court for such periods and at such times as the judge(s) shall determine. A judge, judicial officer, or referee so serving shall be known as a conciliation judge.

(b) **Administrator.**

(1) The court administrator shall manage the conciliation court, and may delegate a deputy or deputies to assist in performing the duties herein prescribed. The court administrator shall keep records and accounts and perform such duties as may be prescribed by the judge(s). The court administrator shall account for, and pay over to the official entitled thereto, all fees received as required by statute or rule.

(2) Under supervision of the conciliation court judges, the court administrator shall explain to litigants the procedures and functions of the conciliation court and shall assist litigants in filling out the forms provided under rules 508(b) and 518(b) of these rules. The performance of these duties shall not constitute the practice of law.

(c) **Reporting.** Conciliation court trials and proceedings shall not be reported.

**Task Force Comment--1991 Adoption**

Assistance to litigants under part (b)(2) is required by Minn. Stat. § 487.30, subd. 6 (1990). *Accord* Minn. Stat. §§ 488A.13, subd. 2; 488A.30, subd. 2 (1990). The prohibition against transcribing conciliation court proceedings recognizes that conciliation court is not a court of record and that most litigants are not represented by legal counsel. Provisions regarding salaries, supplies and terms are not appropriate for inclusion in procedural rules.

This rule is derived from Rule 1.06 of Rules for the Conciliation Courts.

**Rule 506 Commencement of Action**

An action is commenced against a defendant when a complaint is filed with the court administrator of conciliation court and a filing fee as established by rule 507 of these rules is paid to the administrator or the affidavit in lieu of filing fees prescribed in rule 507 is filed with the administrator.

**Task Force Comment--1991 Adoption**

This rule is derived from Rule 1.07 of Rules for the Conciliation Courts.

**Rule 507 Fees; Affidavit in Lieu of Fees**

The court administrator shall charge and collect a filing fee of \$13.00 from every plaintiff and from every defendant when the first paper for that party is filed in any conciliation court action. If the plaintiff or defendant signs and files with the court administrator an affidavit claiming no money or property and an inability to pay a filing fee, no filing fee is required. If the affiant prevails on a claim or counterclaim, the amount of the filing fee which would have been payable by the affiant must be included

in the order for judgment and paid to the administrator of conciliation court by the affiant out of any money recovered by the affiant on the judgment.

**Task Force Comment--1991 Adoption**

The uniform, statewide filing fee is now established at \$13.00. Minn. Stat. § 357.022 (1990). The affidavit is permitted by Minn. Stat. § 487.30, subd. 6a (1990). *Accord* Minn. Stat. §§ 488A.14, subd. 1; 488A.31, subd. 1 (1990).

**Rule 508 Complaint; Contents; Verification**

(a) **Claim; Verification; Contents.** The complaint shall contain a brief statement of the amount, date of accrual and nature of the claim, and name and address of the plaintiff and the defendant. The court administrator shall assist with the completion of the complaint upon request. The complaint shall be verified by the plaintiff.

(b) **Uniform Complaint or Counterclaim; Acceptance by Court.** A complaint or counterclaim in the uniform form prescribed by the Supreme Court shall be accepted by any conciliation court administrator and shall be forwarded together with the entire filing fee, if any, to the court administrator of the appropriate conciliation court. Every conciliation court shall accept a uniform complaint or counterclaim which has been properly completed and which has been properly forwarded to the court by another conciliation court.

**Task Force Comment--1991 Adoption**

Assistance is required by Minn. Stat. § 487.30, subd. 6 (1990), which also provides that assistance does not constitute the unauthorized practice of law. *Accord* Minn. Stat. §§ 488A.13, subd. 2; 488A.30, subd. 2 (1990). The uniform forms are required pursuant to Minn. Stat. §§ 487.23; 487.30, subd. 1a (1990). *Accord* Minn. Stat. §§ 488A.14, subd. 3a; 488A.31, subd. 3a (1990).

This rule is derived from Rule 1.08 of Rules for the Conciliation Courts.

**Rule 509 Summons; Trial Date**

When an action has been properly commenced, the court administrator shall set a trial date, prepare a summons, and cause it to be served upon the parties by first class mail. The summons shall state the amount and nature of the claim; require the defendant to appear at the hearing in person or if a corporation, by officer or agent and without lawyer except by leave of the court; shall specify that if the defendant does not appear judgment by default will be entered for the relief demanded, and shall summarize the requirements for filing a counterclaim. Unless otherwise ordered by a judge, the hearing date shall be not less than 10 days from the date of mailing or service of the summons.

**Task Force Comment--1991 Adoption**

This rule is derived from Rule 1.09 of Rules for the Conciliation Courts.

**Rule 510 Counterclaim**

The defendant may interpose a counterclaim within jurisdiction of conciliation court which the defendant has against the plaintiff, whether or not arising out of the transaction or occurrence which is the subject matter of plaintiff's claim. The counterclaim shall be interposed by defendant filing with the court administrator a brief statement of the amount, date of accrual and nature of the counterclaim, verified by the defendant, and by payment of defendant of a filing fee as established by rule 507 of these rules to the court administrator or by filing with the administrator the affidavit in lieu of filing fees prescribed in rule 507. The court administrator shall assist with the preparation of the counterclaim on request. The court administrator shall note the filing of the counterclaim on the original claim, promptly notify plaintiff by mail thereof and set the counterclaim for hearing on the same date as the original claim. No

counterclaim shall be filed less than five days before the trial date of plaintiff's claim except by permission of the judge, who has discretion to allow a filing within said five day period. Should a continuance be requested by and granted to plaintiff because of such late filing, the judge may require payment of costs by defendant, absolute or conditional, not to exceed \$25.00.

**Task Force Comment--1991 Adoption**

This rule is derived from Rule 1.10 of Rules for the Conciliation Courts.

**Rule 511 Counterclaim in Excess of Court's Jurisdiction**

If the defendant not less than five days of the date set for trial of plaintiff's complaint, files with the court administrator an affidavit stating that:

(a) the defendant has a counterclaim against plaintiff arising out of the same transaction or occurrence as plaintiff's claim, the amount of which is beyond monetary jurisdiction of the conciliation court, and

(b) the defendant has filed or intends to file within 30 days an action against plaintiff in a court of competent jurisdiction based on such claim, the court administrator shall strike plaintiff's action from the calendar, advising plaintiff by mail. Said striking shall be subject to reinstatement at any time after thirty days and up to three years, upon the filing by plaintiff of an affidavit showing that the plaintiff has not been served with a summons by defendant. If the action is reinstated, the court administrator shall set the case for trial and summon the defendant as originally whereupon the court shall hear and determine the matter.

**Task Force Comment--1991 Adoption**

This rule is derived from Rule 1.11 of Rules for the Conciliation Courts.

**Rule 512 Trial**

(a) **Testimony and Exhibits.** The judge shall hear testimony of the parties, their witnesses, and shall consider exhibits offered by the parties.

(b) **Appearances.** Appearances in conciliation court shall be by the parties, without lawyers, except by leave of the court; a removal of the cause to district court, however, as provided in these rules, may be taken through a lawyer.

(c) **Evidence.** The judge shall normally receive only evidence admissible under the rules of evidence, but in the exercise of discretion and in the interests of justice, may receive otherwise inadmissible evidence.

(d) **Conciliation; Judgment.** If the parties agree on a settlement the judge shall order judgment in accordance therewith. If no agreement is reached, the judge shall summarily hear, determine the cause, and order judgment.

(e) **Failure of Defendant to Appear.** If the defendant fails to appear at the time set for hearing, after being summoned as provided in these rules, the judge in his or her discretion may either hear the plaintiff and order default judgment to be entered or continue the matter to a later date, notice of said subsequent trial date to be given by the court administrator to defendant by mail.

(f) **Failure of Plaintiff to Appear, Defendant Present.** Should plaintiff fail to appear at the trial, but defendant appears, the judge may hear the defendant and either order judgment of dismissal on the merits, order a dismissal without prejudice, or continue the trial to a later date. If the matter is continued to a later date, the court administrator shall promptly notify the plaintiff thereof by mail.

(g) **Continuances.** On proper showing of good cause, a continuance may be granted by the court on motion of either party. The court may require payment of costs, absolute or conditional, not to exceed \$25.00, as a condition of such an order.

**Task Force Comment--1991 Adoption**

This rule is derived from Rule 1.12 of Rules for the Conciliation Courts.

**Rule 513 Absolute or Conditional Costs; Filing of Orders**

In any case in which payment of absolute or conditional costs has been ordered as a condition of an order under any provision of these rules, the amount so ordered shall be paid to the court administrator before the order becomes effective or is filed. Conditional costs shall be held by the court administrator to abide the final order to be entered in the case; absolute costs shall be paid over by the court administrator forthwith to the other party as that party's absolute property.

**Task Force Comment--1991 Adoption**

This rule is derived from Rule 1.13 of Rules for the Conciliation Courts.

**Rule 514 Notice of Order for Judgment**

The court administrator shall promptly mail to each party a notice of the order for judgment entered by the judge. The notice shall state the number of days allowed for obtaining an order to vacate (where there has been a default) or for removing the cause to the civil division of district court. The notice shall also contain a statement that if the cause is removed to district court, the court may, in its discretion, allow the prevailing party to recover from the aggrieved party an amount not to exceed \$200.00 as costs if the prevailing party on appeal is not the aggrieved party in the original action.

**Task Force Comment--1991 Adoption**

The additional contents of the notice are required by Minn. Stat. § 487.30, subs. 7, 8 (1990). *Accord* Minn. Stat. §§ 488A.16, subd. 1; 488A.17, subd. 10; 488A.33, subd. 1, 488A.34, subd. 9 (1990). Costs are discussed in Rule 524 of these rules.

This rule is derived from Rule 1.14 of Rules for the Conciliation Courts.

**Rule 515 Entry of Judgment**

The court administrator shall enter judgment forthwith as ordered by the judge. The judgment shall be dated as of the date notice is sent to the parties. The judgment so entered becomes finally effective twenty days after mailing of the notice, unless:

- (a) payment has been made in full, or
- (b) removal to district court has been perfected, or
- (c) an order vacating the prior order for judgment has been filed, or
- (d) ordered by a judge.

Any judgment ordered may provide for satisfaction by payment in installments in amounts and at times, as the judge determines. Should any installment not be paid when due, the entire unpaid balance of the judgment ordered, becomes immediately due and payable.

**Task Force Comment--1991 Adoption**

Grammatical changes and the twenty-day period bring the rule in line with Minn. Stat. § 487.30, subd. 5a (1990). *Accord* Minn. Stat. §§ 488A.16, subd. 2; 488A.33, subd. 2 (1990).

This rule is derived from Rule 1.15 of Rules for the Conciliation Courts.

**Rule 516 Costs and Disbursements**

There shall be included in the order for judgment the filing fee paid by the prevailing party. Additionally the judge may include therein all or part of disbursements incurred by the prevailing party

which would be taxable in district court. The order for judgment also may include or be adjusted by the amount of any conditional costs previously ordered to be paid by either party.

**Task Force Summary—1991 Adoption**

This rule is derived from Rule 1.16 of Rules for the Conciliation Courts.

**Rule 517 Payment of Judgment**

The non-prevailing party may pay all or any part of the judgment to the court administrator for benefit of the prevailing party or may pay the prevailing party directly. The court administrator shall enter on the court's records any payment made to the administrator or the prevailing party directly when satisfied that said direct payments have in fact been made.

**Task Force Summary—1991 Adoption**

This rule is derived from Rule 1.17 of Rules for the Conciliation Courts.

**Rule 518 Docketing of Judgment in District Court; Enforcement**

(a) **Docketing.** When a judgment has become finally effective as defined in Rule 515 of these rules the judgment creditor may obtain a transcript of the judgment from the court administrator on payment of a fee of \$7.50 and transcribe the judgment to district court without additional fee. Once filed in district court the judgment becomes and is enforceable as a judgment of district court. No writ of execution or garnishment summons shall be issued out of conciliation court.

(b) **Enforcement.** Unless the parties have otherwise agreed, if a conciliation court judgment has been docketed in district court for a period of at least 30 days and the judgment is not satisfied, the district court shall upon request of the judgment creditor order the judgment debtor to mail to the judgment creditor information as to the nature, amount, identity, and location of all the debtor's assets, liabilities, and personal earnings. The information shall be provided on a form prescribed by the Supreme Court, and the information shall be sufficiently detailed to enable the judgment creditor to obtain satisfaction of the judgment by way of execution on nonexempt assets and earnings of the judgment debtor. The order shall contain a notice that failure to complete the form and mail it to the judgement creditor within ten days after service of the order may result in a citation for civil contempt of court. Cash bail posted as a result of being cited for civil contempt of court order under this rule may be ordered payable to the creditor to satisfy the judgment, either partially or fully.

**Task Force Comment—1991 Adoption**

The statewide fee for issuing a transcript is established by statute at \$7.50. Minn. Stat. § 357.021 (1990). The enforcement duties in part (b) are required by Minn. Stat. § 487.30, subd. 5 (1990). *Accord* Minn. Stat. §§ 488A.16, subd. 8; 488A.33, subd. 7 (1990).

This rule is derived from Rule 1.18 of Rules for the Conciliation Courts.

**Rule 519 Judgment Payable in Installments**

No transcript of a judgment of conciliation court payable in installments shall be issued and filed until 20 days after default in payment of an installment due.

**Task Force Comment—1991 Adoption**

This rule is derived from Rule 1.19 of Rules for the Conciliation Courts.

**Rule 520 Vacation of Judgment Order and Judgment**

(a) **Vacation of Order for Judgment Within 20 Days.** When a default judgment or judgment of dismissal on the merits has been ordered for failure to appear, the judge within twenty days after notice was mailed may vacate said judgment order ex parte and grant a new hearing on a proper showing by the defaulting party of lack of notice, mistake, inadvertence or excusable neglect as the cause of that party's failure to appear. Absolute or conditional costs not to exceed \$25.00 to the other party may be ordered as a prerequisite to that relief.

(b) **Vacation of Judgment After 20 days.** A default judgment may be vacated by the judge more than ten days after finally effective upon a proper showing by the defendant that the defendant did not receive a summons before the hearing within sufficient time to permit a defense and did not receive notice of the order for default judgment within sufficient time to permit application for relief within twenty days after notice, or upon other good cause shown. Said vacation, if ordered, shall grant a new trial on the merits and may be conditioned upon payment of absolute or conditional costs not to exceed \$25.00.

(c) **Notice.** The court administrator shall promptly notify the parties by mail of a new trial date created pursuant to this rule.

**Task Force Comment--1991 Adoption**

The good cause grounds for relief in part (b) and the twenty day period in both parts (a) and (b), and notice by mail in part (c) are required by Minn. Stat. § 487.30, subs. 5c, 5b (1990). *Accord* Minn. Stat. §§ 488A.16, subs. 5, 6; 488A.33, subs. 5, 8 (1990).

This rule is derived from Rule 1.20 of Rules for the Conciliation Courts.

**Rule 521 Removal to District Court; Appeal**

(a) **Trial de novo.** Any person aggrieved by an order for judgment entered in conciliation court after contested hearing may remove the cause to district court for trial de novo. An "aggrieved person" may be either the judgment debtor or creditor.

(b) **Removal Procedure.** To effect removal, the aggrieved party must perform all the following within twenty days after the date the court administrator mailed to that party notice of the judgment order:

- (1) Serve on the opposing party or the opposing party's lawyer, by personal service or by mail, a demand for removal of the cause to district court for trial de novo, stating whether trial demanded is to be by court or jury; the demand shall indicate name, address, and telephone number of the aggrieved party's lawyer, if any.
- (2) File with the court administrator the original demand for removal with proof of service. If the opposing party or the opposing party's lawyer cannot be found for service of the demand within the twenty day period, the aggrieved party may file with the court administrator within said twenty day period the original and copy of the demand together with an affidavit by the party or the party's lawyer showing that after due and diligent search the opposing party or opposing party's lawyer cannot be located. Thereupon the court administrator shall mail the copy of the demand to the opposing party at the party's last known residence address.
- (3) File with the court administrator an affidavit by the aggrieved party or that party's lawyer stating that the removal is made in good faith and not for purposes of delay.
- (4) Pay to the court administrator as the fee for removal the amount prescribed by law for filing a civil action in district court.
- (5) If a jury trial is demanded under Rule 521 (b) (1) of these rules, pay to the court administrator the amount prescribed by law for requesting a jury trial in a civil action in district court.

(c) **Limited Removal.**

- (1) When a motion for vacation of an order for judgment, or judgment under Rule 520 (a) or (b) of these rules, is denied, the aggrieved party may demand limited removal to the district court for hearing de novo. Procedure for service and filing of the demand for limited removal and notice of hearing de novo and proof of service thereof and procedure

in case of inability of the aggrieved party to make service on the opposing party or the opposing party's lawyer shall be in the same manner prescribed in part (b) of this Rule. The fee payable by the aggrieved party to the court administrator for limited removal shall be the same as the filing fee prescribed by law for filing of a civil action in district court. The court administrator shall then place the matter on the special term calendar for the date specified in the notice. At the hearing in district court, either party may be represented by a lawyer.

- (2) A judge other than the conciliation court judge who denied the motion, shall hear the motion de novo and may (A) deny the motion or (B) grant the motion. In determining the motion the judge shall consider the entire file plus any affidavits submitted by either party or their lawyers.
- (3) The court administrator shall send by mail a copy of the order made in district court after de novo hearing to both parties and the venue shall be transferred back to conciliation court.

(d) **Demand for Jury Trial.** Where no jury trial is demanded on removal by the aggrieved party, if the opposing party desires a jury trial that party shall perform all the following within ten days after the demand for removal was served on the party or lawyer:

- (1) Serve a demand therefor upon the aggrieved party or that party's lawyer.
- (2) File the demand with proof of service thereon with the court administrator.
- (3) Pay to the court administrator the amount prescribed by law for requesting a jury trial in a civil action in district court.

(e) **Removal Perfected; Vacating of Judgment.** When all removal papers have been filed properly and all requisite fees paid the removal is perfected; the original judge shall prepare and file an order vacating the order for judgment in conciliation court together with a certificate setting out generally proceedings had, issues tried and the order entered in conciliation court.

(f) **Court Administrator's Duties upon Removal.** Upon filing of the judge's order and certificate under part (e) of this rule the court administrator shall file in district court the whole contents of the conciliation court file of the cause.

- (g) **Trial Setting.** The matter shall be set for trial in district court as other civil actions.

**Cross Reference:** Minn. R. Civ. P. 4.02, 4.06, 5.02, 6.01, 6.02, and 6.05.

#### **Task Force Comment--1991 Adoption**

The twenty day period, service by mail, and service on a lawyer for a party are required by Minn. Stat. § 487.30, subd. 9 (1990). *Accord* Minn. Stat. §§ 488A.17, subd. 2; 488A.34, subd. 2 (1990).

This rule is derived from Rule 1.21 of Rules for the Conciliation Courts.

#### **Rule 522 Issues; Amendments in District Court**

Issues for trial in district court shall be those in conciliation court as set out in the judge's certificate; however, amendments to the issues may be granted in district court on motion therein brought in the usual manner for such motions; granting or denial of such motions shall be in the discretion of the judge of district court. Provided, however, that if either party seeks to increase the amount of a claim or counterclaim, the party seeking the increase shall give notice to the opposing party by serving upon that party a formal complaint, as provided by the Minnesota Rules of Civil Procedure.

#### **Task Force Summary--1991 Adoption**

This rule is derived from Rule 1.22 of Rules for the Conciliation Courts.



**Rule 523 Procedure in District Court**

Trial in the district court shall, except as otherwise expressly provided in these rules, be as if originally commenced therein, and according to the Minnesota Rules of Civil Procedure. The judge who presided in conciliation court shall not preside in the appeal.

**Task Force Comment--1991 Adoption**

This rule is derived from Rule 1.23 of Rules for the Conciliation Courts.

**Rule 524 Costs in District Court**

(a) For the purposes of this rule, "removing party" means the party who demands removal to district court or the first party who serves or files a demand for removal, if another party also demands removal. "Opposing party" means any party as to whom the removing party seeks a reversal in whole or in part.

(b) If the removing party prevails in district court, the removing party may recover costs from the opposing party as though the action were commenced in district court. If the removing party does not prevail, the court shall award the opposing party an additional \$200.00 as costs.

(c) For purposes of this rule, the removing party prevails in district court if:

(1) the removing party recovers at least \$500.00 or 50 percent of the amount or value of property that the removing party requested on removal, whichever is less, when the removing party was denied any recovery in conciliation court;

(2) the opposing party does not recover any amount or any property from the removing party in district court when the opposing party recovered some amount or some property in conciliation court;

(3) the removing party recovers an amount or value of property in district court that exceeds the amount or value of property that the removing party recovered in conciliation court by at least \$500.00 or 50 percent, whichever is less; or

(4) the amount or value of property that the opposing party recovers from the removing party in district court is reduced from the amount or value of property that the opposing party recovered in conciliation court by at least \$500.00 or 50 percent, whichever is less.

(d) Costs or disbursements in conciliation or district court shall not be considered in determining whether there was a recovery by either party in either court or in determining the difference in recovery under this rule.

**Task Force Comment--1991 Adoption**

The definition of terms and \$200.00 opposing party's costs are established by Minn. Stat. § 487.30, subd. 8 (1990). *Accord* Minn. Stat. §§ 488A.17, subd. 10; 488A.34, subd. 9 (1990). The removing party's costs are established by existing conciliation court rule 1.24, which incorporates Minn. Stat. § 487.23, subd. 5 (1990).

This rule is derived from Rule 1.24 of Rules for the Conciliation Courts.

**Rule 525 Appeal**

The judgment of the district court on removal from conciliation court in any cause may be appealed to the court of appeals as in other civil cases.

**Task Force Comment—1991 Adoption**

Appeal to the court of appeals is provided by Minn. Stat. § 480A.06, subd. 1 (1990).  
*Accord* Minn. Stat. §§ 488A.17, subd. 12; 488A.34, subd. 11 (1990).

This rule is derived from Rule 1.25 of Rules for the Conciliation Courts.

**APPENDIX OF FORMS**

[Forms UCF8, UCF9, and UCF10 consist of three parts. Part 1 is the original copy, and parts 2 and 3 are the plaintiff's and defendant's copies. Only part 1 of the three part forms is shown in this Appendix.]

# UCF-8 STATEMENT OF CLAIM AND SUMMONS

UCF-8 (SCAO 8/91)  
Statement of Claim and Summons

Minn. Gen. R. Prac. 508; 509

CASE NO.

## State of Minnesota

## Conciliation Court

COUNTY \_\_\_\_\_

JUDICIAL DISTRICT \_\_\_\_\_ CASE NO. \_\_\_\_\_

Plaintiff #1

NAME AND ADDRESS \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 ZIP \_\_\_\_\_

Plaintiff #2

NAME AND ADDRESS \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 ZIP \_\_\_\_\_

vs.

Defendant #1

NAME AND ADDRESS \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 ZIP \_\_\_\_\_

Defendant #2

NAME AND ADDRESS \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 ZIP \_\_\_\_\_

vs.

Name \_\_\_\_\_ Title \_\_\_\_\_  
 being duly sworn says that \_\_\_\_\_ s/he is the plaintiff above named; that the defendant is at least 18 years old; that the defendant is not now in the Military Service; that the defendant is a resident of \_\_\_\_\_ County; and alleges that the defendant is indebted to the plaintiff in the amount of \$ \_\_\_\_\_ plus \$ \_\_\_\_\_ filing fee, totalling \$ \_\_\_\_\_, plus disbursements, by reason of the following facts:

STATEMENT OF CLAIM

NOTARY STAMP OR COURT SEAL

SUBSCRIBED AND SWORN TO BEFORE ME ON:

THE ABOVE STATEMENT OF CLAIM IS TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE

DO NOT WRITE BELOW THIS LINE

DATE \_\_\_\_\_  
 \_\_\_\_\_  
 SIGNATURE \_\_\_\_\_

SIGNATURE \_\_\_\_\_  
 TELEPHONE \_\_\_\_\_

SUMMONS NOTICE OF HEARING

### THE STATE OF MINNESOTA TO THE ABOVE NAMED DEFENDANT

You are hereby summoned to appear at the hearing of the above entitled case at \_\_\_\_\_ m., on \_\_\_\_\_

\_\_\_\_\_ at \_\_\_\_\_

Dated: \_\_\_\_\_ at \_\_\_\_\_, Minnesota Court Administrator \_\_\_\_\_ Deputy \_\_\_\_\_

FAILURE TO APPEAR

**Failure of the defendant to appear in Court may result in a default judgment being entered for the plaintiff. Failure of the plaintiff to appear may result in dismissal of the action or a default judgment being entered in favor of the defendant on any counterclaim which has been interposed.**

## Memoranda of Proceedings

Judgment becomes final and time for removal expires on \_\_\_\_\_, 19\_\_\_\_.

ACTION	DATE	ACTION	DATE
Claim filed		Notices Mailed	
Hearing set for		Stricken-Settled	
Notices mailed		Order of Dismissal	
Notice returned/not delivered		Judgment entered	
Notice re-mailed		Notice of Judgment mailed	
Answer/Offer filed		Judgment satisfied	
Counterclaim filed		Removal/Appeal perfected	
Notices mailed		Order Vacating Judgment	
Hearing continued/reset to		Transcript issued	
Notices mailed		Exhibit Inf. (date filed)	
Hearing continued/reset to		Exhibits returned	

### Settlement Agreement

Minn. Gen. R. Prac. 512(d)

The parties hereto have agreed upon a settlement of the within controversy, which agreement is as follows:

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The parties further agree that they will abide the judgment to be entered herein based upon this agreement, without removal, appeal or further litigation.

Plaintiff	Defendant
Plaintiff	Defendant
Dated: _____	Judge

# UCF-9 JUDGMENT AND NOTICE OF JUDGMENT

UCF-9 (SCAO 8/91)  
Judgment and Notice of Judgment

Minn. Gen. R. Prac. 514

CASE NO.

## State of Minnesota

## Conciliation Court

COUNTY \_\_\_\_\_

JUDICIAL DISTRICT \_\_\_\_\_ CASE NO. \_\_\_\_\_

Plaintiff #1

NAME AND ADDRESS \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
ZIP \_\_\_\_\_

Plaintiff #2

NAME AND ADDRESS \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
ZIP \_\_\_\_\_

vs.

vs.

Defendant #1

NAME AND ADDRESS \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
ZIP \_\_\_\_\_

Defendant #2

NAME AND ADDRESS \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
ZIP \_\_\_\_\_

Appearances:  Plaintiff  Defendant  Neither Party  Contested  Default

Upon evidence received, IT IS HEREBY ORDERED:

ORDER FOR JUDGMENT ON CLAIM AND COUNTERCLAIM

That the \_\_\_\_\_ is entitled to judgment against the \_\_\_\_\_ in the sum of \$ \_\_\_\_\_, plus filing fees of \$ \_\_\_\_\_ and disbursements of \$ \_\_\_\_\_, for a total of \$ \_\_\_\_\_.

Dated: \_\_\_\_\_ Judge: \_\_\_\_\_

JUDGMENT

Pursuant to the Court's Order for Judgment herein, IT IS HEREBY ADJUDGED: that the \_\_\_\_\_ have and receive from the \_\_\_\_\_ in the sum of \$ \_\_\_\_\_, plus filing fees of \$ \_\_\_\_\_, and disbursements of \$ \_\_\_\_\_, for a total of \$ \_\_\_\_\_.

Dated: \_\_\_\_\_ Court Administrator \_\_\_\_\_ Deputy \_\_\_\_\_

NOTICE OF JUDGMENT

The parties are hereby notified that Judgment has been entered as indicated above, but the Judgment is stayed by statute until \_\_\_\_\_ p.m. (to allow time for an appeal/removal if desired).

Dated: \_\_\_\_\_ Court Administrator \_\_\_\_\_ Deputy \_\_\_\_\_

TRANSCRIPT OF JUDGMENT

I certify that the above is a correct transcript of the Judgment entered by this Court.

Dated: \_\_\_\_\_ Court Administrator \_\_\_\_\_ Deputy \_\_\_\_\_

FILE # \_\_\_\_\_

VS \_\_\_\_\_

PLAINTIFF

DEFENDANT

## MEMORANDUM

Dated: \_\_\_\_\_

JUDGE

### Order Vacating Judgment

Minn. Gen. R. Prac. 520

Upon cause shown by the  Plaintiff  Defendant, the written judgment is hereby vacated and costs in the amount of \$ \_\_\_\_\_ are hereby assessed against the  Plaintiff  Defendant.

Dated: \_\_\_\_\_

JUDGE

### Certificate and Order Vacating Judgment

Minn. Gen. R. Prac. 521(e)

Removal/Appeal by the  Plaintiff  Defendant having been perfected, the within judgment is hereby vacated. I hereby certify that the within is a copy of the proceedings had, issues tried, and judgment entered in Conciliation Court.

Dated: \_\_\_\_\_

JUDGE

# UCF-10 DEFENDANT'S COUNTERCLAIM AND NOTICE OF HEARING

UCF-10 (SCAO 8/91)

Defendant's Counterclaim and Notice of Hearing

Minn. Gen. R. Prac. 510

CASE NO. \_\_\_\_\_

## State of Minnesota

## Conciliation Court

**COUNTY**

**JUDICIAL DISTRICT** **CASE NO.**

**NAME AND ADDRESS**

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  

ZIP

**NAME AND ADDRESS**

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  

ZIP

Plaintiff #1

Plaintiff #2

vs.

**NAME AND ADDRESS**

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  

ZIP

vs.

**NAME AND ADDRESS**

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  

ZIP

Defendant #1

Defendant #2

Name \_\_\_\_\_ Title \_\_\_\_\_  
 being duly sworn says that \_\_\_\_\_ s/he is the defendant above named; that the plaintiff is at least 18 years old; that the plaintiff is not now in the Military Service; that the plaintiff is a resident of \_\_\_\_\_ County; and alleges that the plaintiff is indebted to the defendant in the amount of \$\_\_\_\_\_ plus \$\_\_\_\_\_ filing fee, totalling \$\_\_\_\_\_, plus disbursements, by reason of the following facts:

DEFENDANT'S COUNTERCLAIM

NOTARY STAMP OR COURT SEAL	SUBSCRIBED AND SWORN TO BEFORE ME ON: DATE _____ _____ SIGNATURE	THE ABOVE STATEMENT OF CLAIM IS TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE SIGNATURE _____ TELEPHONE _____
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DO NOT WRITE BELOW THIS LINE

**THE STATE OF MINNESOTA TO THE ABOVE NAMED DEFENDANT**

You are hereby summoned to appear at the hearing of the above entitled case at \_\_\_\_\_ m., on \_\_\_\_\_, at \_\_\_\_\_.

DATE PLACE

Dated: \_\_\_\_\_ at \_\_\_\_\_, Minnesota Court Administrator \_\_\_\_\_ Deputy \_\_\_\_\_

NOTICE OF HEARING

**Failure of the plaintiff to appear in Court may result in a default judgment being entered in favor of the defendant on any counterclaim which has been interposed. Failure of the defendant to appear in Court may result in a default judgment being entered in favor of the plaintiff.**

FAILURE TO APPEAR

## UCF-22 FINANCIAL DISCLOSURE FORM

Financial Disclosure Form

M.S. 487.30, subd. 5

The purpose of this Financial Disclosure Form is to tell the JUDGMENT CREDITOR what money and property you have which may be used to pay the judgment the creditor obtained against you in the lawsuit. It also allows you to tell the creditor that some or all of your property and money is "exempt," which means that it cannot be taken to pay the judgment. You must answer every question on this form. If you need additional space, continue your answer on the back of the form or attach additional sheets if necessary. If you do not understand the questions or don't know how to fill out the form, call the court administrator for assistance or consult with an attorney.

**WARNING: IF YOU CLAIM AN EXEMPTION IN BAD FAITH, OR IF THE JUDGMENT CREDITOR WRONGLY OBJECTS TO AN EXEMPTION IN BAD FAITH, THE COURT MAY ORDER THE PERSON WHO ACTED IN BAD FAITH TO PAY COSTS, ACTUAL DAMAGES, ATTORNEY FEES, AND AN ADDITIONAL AMOUNT OF UP TO \$100.**

1. JUDGMENT DEBTOR Name		2. <input type="checkbox"/> Individual <input type="checkbox"/> Partnership <input type="checkbox"/> Corporation <input type="checkbox"/> Other _____	
3. Street Address	4. City	5. State	6. Zip
7. Date of Birth	8. If Married, Spouse's Full Name		9. Home Telephone Number ( )
10. Employer or Business		11. Work Telephone Number ( )	
12. Street Address	13. City	14. State	15. Zip
16. What are your total wages, salary, or commissions per pay period? \$ _____		17. How often are you paid? <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Twice a month <input type="checkbox"/> Monthly <input type="checkbox"/> Other _____	
18. Do you have income from any other source? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, give the source and amount of the income: _____ _____			
19. By answering this question, you will be able to claim the exemptions you have for wages and income. The first exemption is already checked for you, check all others that apply:			
<input type="checkbox"/> I claim that 75% of my disposable (after-tax) earnings or 40 times the federal minimum wage (now equals \$170 for 40-hour week) is exempt (whichever is greater). <input type="checkbox"/> I am presently receiving or have received relief based on need in the past 6 months so all my wages are exempt. Type of relief you receive _____ <input type="checkbox"/> I have been an inmate in a correctional institution within the past 6 months so all my wages are exempt. Name institution and release date _____ <input type="checkbox"/> My income is exempt because it is: <input type="checkbox"/> Unemployment Comp. <input type="checkbox"/> Worker's Comp. <input type="checkbox"/> V.A. Benefits <input type="checkbox"/> Social Security <input type="checkbox"/> Accident or Disability Benefits <input type="checkbox"/> Retirement Benefits <input type="checkbox"/> Other (specify) _____			
20. Do you have a checking or savings account? (This includes any account whether you have it by yourself or with someone else, or whether it is in your name or any other name) <input type="checkbox"/> Yes <input type="checkbox"/> No For each, provide the following information:			
Name and Address of Bank, Credit Union or Financial Institution		Type of Account	Account Number
_____		_____	_____
_____		_____	_____
21. If you claimed an exemption for your wages or income, you may claim an exemption when your money is deposited in a bank. Claim your exemptions by checking the boxes that apply to you:			
<input type="checkbox"/> The money in my account is from exempt wages, income, or benefits. <input type="checkbox"/> The money in my account is from the exempt sale of my homestead within the past year. <input type="checkbox"/> The money in my account is from exempt life insurance received on the death of a spouse or parent. <input type="checkbox"/> The money in my account is from other exempt property (specify) _____			
22. Do you have any stocks, bonds, securities, certificates of deposit, mutual funds, money market account, etc.? (This includes any whether owned by you alone or with any other person, or whether it is in your name or any other name.) <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, itemize these and the location of each: _____ _____ _____			



23. Do you own your home?  Yes  No Your homestead (house owned and occupied by you) is exempt. Do you own any other houses, land, or real estate?  Yes  No For each, give the following information:

Location	Estimated Value	Amount Owed (if any)	To Whom
_____	_____	_____	_____
_____	_____	_____	_____

24. Do you own any motor vehicles, motorcycles, boats, snowmobiles, trailers, etc.?  Yes  No For each, provide the following:

Make	Model	Year	Lic. Plate No.	Market Value	Amount You Owe (if any)
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

One motor vehicle worth up to \$2,800 after subtracting what you owe is exempt. Which vehicle do you want to claim as exempt?  
 \_\_\_\_\_

25. Do you own any of the following property?

- |   |  |  |  |
|---|--|--|--|
| Cash or travelers checks  | <input type="checkbox"/> Yes <input type="checkbox"/> No | Farm supplies, implements, livestock, grain worth more than \$13,000 | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Household goods, furnishings, and personal effects that are worth more than \$6,300 total | <input type="checkbox"/> Yes <input type="checkbox"/> No | Business equipment, tools, machinery worth more than \$7,000 total   | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Jewelry   | <input type="checkbox"/> Yes <input type="checkbox"/> No | Inventory  | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Coins or stamp collections  | <input type="checkbox"/> Yes <input type="checkbox"/> No | Accounts receivable/claims   | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Firearms/Guns   | <input type="checkbox"/> Yes <input type="checkbox"/> No | Are you the owner or partner in any business not already listed      | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Life insurance policy with a cash (surrender) value more than \$5,600                     | <input type="checkbox"/> Yes <input type="checkbox"/> No | Any other property please specify _____                              | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Any property that you are selling on a contract for deed                                  | <input type="checkbox"/> Yes <input type="checkbox"/> No |  |  |

If you answered yes to any item in question 25, provide the following information:

Description and location of property (if not at residence)	Estimated Value	Amount Owed (if any)	To Whom
_____	_____	_____	_____
_____	_____	_____	_____

If you need additional space to answer the questions, continue your answers here. Indicate the question number your are answering. Attach additional sheets if necessary.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

The above information is true and correct to the best of my knowledge.

Date: \_\_\_\_\_

Signature: \_\_\_\_\_

**NOTE: YOU MUST COMPLETE, SIGN, AND RETURN THIS FORM TO THE JUDGMENT CREDITOR WITHIN 10 DAYS.**

## TITLE VII -- HOUSING COURT RULES--HENNEPIN AND RAMSEY COUNTIES

### **Rule 601      Applicability of Rules**

In Hennepin and Ramsey Counties, Rules 601 through 612 apply to all proceedings in Housing Court. These rules and, where not inconsistent, the Minnesota Rules of Civil Procedure, shall apply to housing court practice except where they are in conflict with applicable statutes.

#### **Task Force Comment--1991 Adoption**

These rules apply only in Hennepin and Ramsey Counties. Housing Courts created by the legislature exist only in those counties.

These rules were drafted as a joint effort of legal advisory committees for the Ramsey and Hennepin County Housing Courts. Those committees met on a number of occasions, and these rules are the result of significant drafting efforts and compromise. Those drafting committees included the Housing Court Referee, court administrator, judges, and practitioners of landlord and tenant law in each County. The rules are generally drawn from a current local rule, 4th Dist. R. 13 and the Housing Court Temporary Rules, Rule 17.

The Task Force is mindful that Housing Court is currently in existence in only Ramsey and Hennepin Counties, 1989 Minn. Laws ch. 328, art. 2, §§ 17, 18 & 19 (uncodified), and these rules should be reviewed and revised if Housing Courts are used in other districts.

### **Rule 602      Housing Court Referee**

The housing court referee may preside over all actions brought under Minnesota Statutes Chapters 504 and 566, criminal and civil proceedings related to violations of any health, safety, housing, building, fire prevention or housing maintenance code, escrow of rent proceedings, landlord and tenant damage actions, and actions for rent and rent abatement, unless the matter has been removed for hearing before a judge.

A party may request that a judge hear a case by filing such request in writing with the court administrator at least 1 day prior to the scheduled hearing date.

#### **Task Force Comment--1991 Adoption**

The procedure for removal of a referee assigned in Housing Court is intended to be different, due to the exigencies of practice in that court, from the procedure created by Minn. Gen. R. Prac. 107.

### **Rule 603      Parties**

An unlawful detainer action shall be brought in the name of the owner of the property or other person entitled to possession of the premises. No agent shall sue in the agent's own name. Any agent suing for a principal shall attach a copy of the Power of Authority to the complaint at the time of filing.

No person other than a principal or a duly licensed lawyer shall be allowed to appear in Housing Court unless the Power of Authority is attached to the complaint at the time of filing, and no person other than a duly licensed lawyer shall be allowed to appear unless the Power of Authority is so attached to the complaint. An agent or lay advocate may appear without a written Power of Authority if the party being so represented is an individual and is also present at the hearing.

### Task Force Comment--1991 Adoption

The Task Force expresses no opinion about whether or the extent to which the role of lay advocates constitutes the unauthorized practice of law. See Minn. Stat. § 481.01, et seq. (1990).

#### Rule 604 Complaint

(a) **Contents of Complaint.** The plaintiff in an unlawful detainer case shall file with the court administrator a complaint containing the following:

- (1) A description of the premises including a street address;
- (2) The legal owner of the property or other person entitled to possession of the premises;
- (3) A statement of how plaintiff has complied with Minnesota Statutes § 504.22 by written notice to the defendant, by posting or by actual knowledge of the defendant;
- (4) The facts which authorize recovery; and,
- (5) A request for return of possession of the property.

(b) **Signature.** The complaint shall be signed by the plaintiff or the plaintiff's authorized agent or a duly licensed lawyer.

(c) **Termination.** If the complaint contains allegations of holding over after termination of the lease, a copy of the termination notice, if any, must be attached to the complaint or provided to defendant or defendant's counsel at the initial appearance, unless the plaintiff does not possess a copy of the notice or if the defendant at the hearing acknowledges receipt of the notice.

(d) **Breach.** If the complaint contains allegations of breach of the lease or rental agreement, a copy of the lease or rental agreement, if any, must be attached to the complaint or provided to defendant and defendant's counsel at the initial appearance, unless the plaintiff does not possess a copy.

#### Rule 605 Return of Summons

All summons shall be served in the manner required by Minn. Stat. ch. 566, and the affidavit of service shall be filed with the court by 3:00 o'clock p.m. 3 business days prior to the hearing or the matter may be stricken. The affidavit must contain the printed or typed name of the person who served the summons.

#### Rule 606 Filing of Affidavits

Upon return of the sheriff or other process server indicating that the defendant cannot be found in the county and, in the case of a nonresidential premises, where no person actually occupies the premises described in the complaint, or, in the case the premises described in the complaint is residential, service has been attempted at least twice on different days, with at least one of the attempts having been made between the hours of 6:00 and 10:00 p.m., the plaintiff or plaintiff's lawyer shall file an affidavit stating that the defendant cannot be found or on belief that the defendant is not in the state.

Following the filing of such affidavit, the court administrator shall issue copies of the summons and complaint for posting and mailing. A copy of the summons and complaint shall be mailed by the plaintiff or the plaintiff's lawyer to the defendant at the defendant's last known address, if any is known to the plaintiff. Service of the summons may then be made upon the defendant by posting the summons in a conspicuous place on the premises for not less than 1 week.

Upon issuance of the summons and complaint for posting and mailing, the plaintiff or plaintiff's lawyer shall file another affidavit stating that a copy of the summons and complaint has been mailed to the defendant at defendant's last known address or that such an address is unknown to the plaintiff. A separate affidavit shall be filed stating that the summons has been posted and the date and location of posting.

**Rule 607      Calendar Call**

At the first call of the calendar the parties shall specify whether the case is a default or for trial, and if for trial, whether by court or jury. Proposed Order forms will be available at the hearing. It is the responsibility of the plaintiff to properly complete the proposed order prior to the case being called for hearing. When each case is called for hearing, the defendant shall be asked whether the defendant admits or denies the charges in the complaint. Matters involving unlawful ouster or lockouts, utility shutoffs and other emergency relief, and motions for temporary restraining orders shall be heard first, then default cases shall be heard in their calendar order, followed by contested cases triable to the court without a jury. If a jury trial is demanded, the jury fee must be paid before the jury is impaneled. Contested cases shall be set for trial the same day as the initial hearing, if possible, or set on the first available calendar date.

**Rule 608      Withheld Rent**

In any unlawful detainer case where a tenant withholds rent in reliance on a defense, the defendant shall deposit forthwith into court an amount in cash, money order or certified check payable to the District Court equal to the rent due as the same accrues or such other amount as determined by the court to be appropriate as security for the plaintiff, given the circumstances of the case.

**Rule 609      Restitution**

A writ of restitution shall issue within 24 hours after the entry of judgment, excluding Saturdays, Sundays and legal holidays, unless a stay authorized by law is specifically ordered by the court.

**Rule 610      Motions**

Any motion otherwise allowed by the Minnesota Rules of Civil Procedure may be made by any party orally or in writing at any time including the day of trial. Whenever possible, oral or written notice of any dispositive motions and the grounds therefore shall be provided by the moving party to all parties prior to the hearing.

All motions shall be heard by the court as soon as practicable. The court may grant a request by any party for time to prepare a response to any motion for good cause shown by the requesting party or by agreement of the parties.

The requirements of service of notice of motions and any time periods set forth in the Minnesota Rules of Civil Procedure do not apply.

**Rule 611      Review of Referee's Decision**

(a) **Notice.** In all cases except conciliation court actions, a party not in default may seek judge review of a decision or sentence recommended by the referee by serving and filing a notice of review on the form prescribed by the court administrator. The notice must be filed within 10 days after an oral announcement in court by the referee of the recommended order or within 13 days after service by mail of the adopted written order, whichever occurs first. Service of the written order shall be deemed complete and effective upon the mailing of a copy of the order to the last known address of the petitioner.

A judge's review of a decision recommended by the referee shall be based upon the record established before the referee. Upon the request of any party, a hearing shall be scheduled before the reviewing judge.

(b) **Stays.** In civil cases, filing and service of a notice of review does not stay entry of judgment nor vacate a judgment if already entered unless the petitioner requests and the referee orders a bond, payment(s) in lieu of a bond, or waiver of bond and payment(s). The decision to set or waive a bond or payment(s) in lieu of bond shall be based upon Minn. R. Civ. App. P. 108, subd. 1 & 5. A hearing on a

bond or payment(s) in lieu of bond shall be scheduled before the referee, and the referee's order shall remain in effect unless a judge modifies or vacates the order.

In criminal cases, the execution of judgment or sentence shall be stayed pending review by the judge.

**(c) Transcripts.** The petitioner must obtain a transcript from the referee's court reporter. The petitioner must make satisfactory arrangements for payment with the court reporter or arrange for payment in forma pauperis.

Any transcript request by the petitioner must be made within 1 day of the date the notice of review is filed. The transcript must be provided within 5 business days after its purchase by the petitioner.

For good cause the reviewing judge may extend any of the time periods described in this Rule 611(c).

**Rule 612      Discovery**

Because of the summary nature of proceedings in Housing Court, the parties shall cooperate with reasonable informal discovery requests by another party.

Upon the request of any party to a matter scheduled for trial, the presiding referee or judge may issue an order for an expedited discovery schedule.

## TITLE VIII – RULES RELATING TO CRIMINAL MATTERS

### Rule 701      **Applicability of Rules**

These rules apply in all criminal actions, and supplement the Minnesota Rules of Criminal Procedure.

#### **Task Force Comment--1991 Adoption**

The rules set forth here are derived from existing local rules. In order to further uniformity in practice in criminal proceedings throughout the state, the Task Force reviewed the existing local rules, and combined those rules having potential usefulness in all cases into a single code. The Task Force then submitted those rules to the Minnesota Supreme Court Advisory Committee on Rules of Criminal Procedure. The recommendations of that Advisory Committee have been endorsed and ratified by this Task Force, and these rules incorporate all of the recommendations of the Advisory Committee.

### Rule 702      **Bail**

(a) **Approval of Bond Procurers Required.** No person shall engage in the business of procuring bail bonds, either cash or surety, for persons under detention until an application is approved by a majority of the judges of the judicial district. The application form shall be obtained from the court administrator. The completed application shall then be filed with the administrator stating the information requested.

(b) **Corporate Sureties.** Any corporate surety on a bond submitted to the judge shall be one approved by a majority of the judges of the judicial district and authorized to do business in the State of Minnesota.

(c) **Surety Insolvency.** Whenever a corporate surety becomes insolvent, the local agent shall notify the court in every county in which it has issued or applied to issue bonds, in writing immediately. Within fourteen (14) days after such notice to the court, the agent shall file with the court administrator a security bond to cover outstanding obligations of the insolvent surety, which may be reduced automatically as the obligations are reduced. In the absence of such surety or security bond, a summons shall be sent to all principals on the bonds of the surety.

(d) **Posting Bonds.** Before any person is released on bond, the bond must be approved by a judge after submission to the prosecuting lawyer for approval of form and execution and filed with the court administrator during business hours or thereafter with the custodian of the jail. In cases where bail has been set by the court and the defendant has provided a bail bond with corporate surety when a judge is not available to approve the bond, approval by a judge is unnecessary if the bond is accompanied by a certificate, on behalf of the corporate surety issuing the bond, that the absence of a signature of a judge approving such bond at the time the defendant was released shall not be used as a defense to any claim of forfeiture of such bond.

(e) **Forfeiture of Bonds.** Whenever a bail bond is forfeited by a judge, the surety and bondsman shall be notified by the court administrator in writing, and be directed to make payment in accordance with the terms of the bond within ninety (90) days from the date of the order of forfeiture. A copy of the order of forfeiture shall be forwarded with the notice.

(f) **Reinstatement.** Any motion for reinstatement of a forfeited bond or cash bail shall be supported by a petition and affidavit and shall be filed with the Administrator. A copy of said petition and affidavit shall be served upon the county attorney in the manner required by Minn. R. Civ. P. 4.03(e)(1). A petition for reinstatement filed within ninety (90) days of the date of this order of forfeiture shall be heard and determined by the judge who ordered forfeiture, or the chief judge. Reinstatement may be ordered on such terms and conditions as the court may require. A petition for reinstatement filed between ninety (90) days and one hundred eighty (180) days from date of forfeiture shall be heard and determined by the judge who ordered forfeiture or the judge's successor and reinstatement may be ordered on such terms and conditions as the court may require, but only with concurrence of the Chief Judge and

upon the condition that a minimum penalty of not less than ten per cent (10%) of forfeited bail be imposed. No reinstatement of a forfeited bond or cash bail shall be allowed unless the petition and affidavit are filed within one hundred eighty (180) days from the date of the order of forfeiture.

(g) **Forfeited Bail Money.** All forfeited bail money shall be deposited in the state treasury in the manner provided by law.

(h) **Bonding Privilege Suspension.** A failure to make the payment on a forfeited bail within ninety (90) days as above provided shall automatically suspend the surety and its agent from writing further bonds; and such suspension shall continue until the principal amount of the bond is deposited in cash with the court administrator.

#### **Task Force Comment--1991 Adoption**

This Rule is derived from 4th Dist. R. 8.02. Pretrial release is governed by Minn. R. Crim. P. 6, and this rule supplements the provisions of that rule. The Task Force believes that specific, written standards relating to the issuance and forfeiture of bail bonds would be useful to practitioners, courts, and to those issuing bonds.

The Minnesota Supreme Court Advisory Committee on Rules of Criminal Procedure recommended that this local rule be incorporated in the General Rules of Practice for the District Courts for uniform statewide application and the Task Force concurs in that recommendation.

#### **Rule 703 Certificates of Representation**

In any criminal case, a lawyer representing a client, other than a public defender, shall file with the court administrator on the first appearance a "certificate of representation," in such form and substance as a majority of judges in the district specifies.

Once a lawyer has filed a certificate of representation, that lawyer cannot withdraw from the case until all proceedings have been completed, except upon written order of the court pursuant to a written motion, or upon written substitution of counsel approved by the court ex parte.

A lawyer who wishes to withdraw from a criminal case must file a written motion and serve it by mail or personal service upon the client and upon the prosecutor; and the lawyer shall have the matter heard by the court. No motion of withdrawal will be heard within 10 days of a date certain for hearing or trial.

If the court approves the withdrawal, it shall be effective when the order has been served on the client and the prosecutor by mail or personal service and due proof of such service has been filed with the court administrator.

#### **Task Force Comment--1991 Adoption**

This rule is derived from 4th Dist. R. 8.05.

The Minnesota Supreme Court Advisory Committee on Rules of Criminal Procedure recommended that this local rule be incorporated in the General Rules of Practice for the District Courts for uniform statewide application and the Task Force concurs in that recommendation.

#### **Rule 704 Timely Appearances**

Once the non-felony arraignment court calendar has convened, no lawyer shall approach the courtroom clerk or the court. Any lawyer appearing late must notify the bailiff in the courtroom of his or her presence. The bailiff will then transmit the information to the court and the case will be called by instruction of the presiding judge.

#### **Task Force Comment--1991 Adoption**

This rule is derived from 4th Dist. R. 8.06.

The Minnesota Supreme Court Advisory Committee on Rules of Criminal Procedure recommended that this local rule be incorporated in the General Rules of Practice for the District Courts for uniform statewide application and the Task Force concurs in that recommendation.

**Rule 705      Complaints and Warrants—Submission to Second Judge**

A complaint or search warrant application which is found by a judge to be defective or otherwise insufficient shall not be submitted to another judge without a full and complete disclosure of such finding to the second judge.

**Task Force Comment—1991 Adoption**

This rule is derived from 4th Dist. R. 8.10.

The Minnesota Supreme Court Advisory Committee on Rules of Criminal Procedure recommended that this local rule be incorporated in the General Rules of Practice for the District Courts for uniform statewide application and the Task Force concurs in that recommendation.

**Rule 706      Custody of Exhibits**

Exhibits marked in criminal cases shall be kept by the court administrator until the time for appeal has expired or any appeal has been decided, unless surrender of the exhibits is ordered by the judge before whom the case was tried or the chief judge of the district.

**Task Force Comment—1991 Adoption**

This rule is derived from 4th Dist. R. 6.03. The Minnesota Supreme Court Advisory Committee on Rules of Criminal Procedure recommended that this local rule be incorporated in the General Rules of Practice for the District Courts for uniform statewide application and the Task Force concurs in that recommendation.



## TITLE IX -- JURY MANAGEMENT RULES

### Rule 801 General Policy

Persons shall be selected randomly for jury service, from the broadest possible cross section of people in the area served by the court. All qualified persons have an obligation to serve as jurors when summoned, and all should be considered for jury service.

#### Task Force Comment--1991 Adoption

These Jury Management Rules have already been adopted by the Minnesota Supreme Court. See Order Promulgating Jury Management Rules, No. C5-85-837 (Minn. Sup. Ct. June 14, 1990). The Task Force recommends that they be included as part of the General Rules of Practice for the District Courts.

### Rule 802 Definitions

(a) "Court" means a district court of this state, and includes, when the context requires, any judge of the court.

(b) "Court administrator," "judicial district administrator," and "jury commissioner" include any deputy of the court designated to perform the functions listed in these rules.

(c) "Source list" means the voter registration list for the jurisdiction served by the court, which may be supplemented with names from other sources as set out in the jury administration plan.

(d) "Voter registration list" means the official record of persons registered to vote.

(e) "Drivers' license list" means the record, maintained by the department of public safety, of persons over 18 years old licensed to drive a motor vehicle or issued a state identification card.

(f) "Master list" means a list of names and addresses, or identifying numbers of prospective jurors, randomly selected from the source list.

(g) "Juror" means a person summoned for service who either is deferred to a specific future date, attends court for the purpose of serving on a jury, or is on call and available to report to court when requested.

(h) "Random selection" means the selection of names in a manner totally immune to the purposeful or inadvertent introduction of subjective bias and such that no recognizable class of the population from which names are being selected can be purposely included or excluded.

(i) "Petit jury" means a body of six persons, impaneled and sworn in any court to try and determine, by verdict, any question or issue of fact in a civil or criminal action or proceeding, according to law and the evidence as given them in court. In a criminal action where the offense charged is a felony, a petit jury is a body of 12 persons, unless the defendant consents to a jury of six.

### Rule 803 Jury Commissioner

(a) A jury commissioner is established in each county to administer the jury system under the supervision and control of the chief judge of the judicial district. The jury commissioner shall be the judicial district administrator or designee. If another person is designated jury commissioner, the other person shall be responsible to the judicial district administrator in the performance of the jury commissioner's tasks.

(b) The jury commissioner shall collect and analyze information regarding the performance of the jury system on a regular basis in order to evaluate:

- (1) the representativeness and inclusiveness of the jury source list;
- (2) the effectiveness of qualification and summoning procedures;
- (3) the responsiveness of individual citizens to jury duty summonses;
- (4) the efficient use of jurors; and

(5) the cost effectiveness of the jury system.

(c) The jury commissioner should seek to secure adequate and suitable facilities for juror use in each court facility in which jury trials are held.

**Rule 804 Jury Administration Plan**

(a) Each jury commissioner shall develop and place into operation a written plan for the administration of the jury system. The plan shall be designed to further the policies of these rules.

(b) Each plan must

(1) describe the jury system;

(2) give a detailed description of the random selection procedures to be used in all phases of juror selection, in accordance with Rule 805;

(3) identify the lists of names, if any, which shall be used to supplement the source list, and describe the storage media by which the lists shall be maintained;

(4) indicate if a master list is to be used, and set the minimum number of names which can be used;

(5) list the conditions which will justify excusing a juror, as well as those which justify deferral;

(6) describe the juror qualification questionnaire, which will be used to gather information to determine if a prospective juror is qualified;

(7) contain policies and procedures for enforcing a summons and for monitoring failures to respond;

(8) describe juror orientation and instruction for jurors upon initial contact prior to service; upon first appearance at the courthouse; upon reporting to a courtroom for voir dire; following empanelment; during the trial; prior to deliberations; and after the verdict has been rendered or when a proceeding is terminated without a verdict.

**Rule 805 Random Selection Procedures**

(a) Random selection procedures shall be used throughout the juror selection process. Any method may be used, manual or automated, that provides each eligible and available person with an equal probability of selection.

(b) Random selection procedures shall be employed in

(1) selecting persons to be summoned for jury service;

(2) assigning prospective jurors to panels; and

(3) calling prospective jurors for voir dire.

(c) Departures from the principle of random selection are appropriate

(1) to exclude persons ineligible for service in accordance with Rule 808;

(2) to excuse or defer prospective jurors in accordance with Rule 810;

(3) to remove prospective jurors for cause or if challenged peremptorily in accordance with applicable rules of procedure;

(4) to equalize service among all prospective jurors in accordance with Rule 812.

**Rule 806 Jury Source List**

(a) The jury commissioner for each county shall be responsible for compiling and maintaining copies of all lists to be used in the random selection of prospective jurors. These lists shall be compiled when the court finds it necessary. No names shall be placed on the source list, master list, grand jury list, or petit jury venire except as provided by the applicable jury administration plan, or these rules.

(b) The voter registration list for the county must serve as the source list. The source list may be supplemented with names from other lists specified in the jury administration plan. Whoever has custody, possession, or control of the lists used in compiling the source list shall provide them to the jury

commissioner, upon request and for a reasonable fee, at any reasonable time. All lists shall contain the name and address of each person on the list.

(c) The source list must be used for the random selection of names or identifying numbers of prospective jurors to whom qualification questionnaires and summonses for service must be sent.

(d) When the source list is so large that its use for selecting prospective jurors and mailing out summonses and questionnaires is unreasonably cumbersome, burdensome, and noneconomical, a second list may be created. This master list shall be randomly drawn from the source list.

(e) The jury commissioner shall review the jury source list once every four years for its representativeness and inclusiveness of the adult population in the county and report the results to the chief judge of the judicial district.

(f) If the chief judge, or designee, determines that improvement is needed in the representativeness or inclusiveness of the jury source list, appropriate corrective action shall be ordered.

**Rule 807 Jury Questionnaire and Summons. One-Step Process**

(a) The jury commissioner shall mail to every prospective juror whose name has been drawn a juror qualification questionnaire and summons for service, along with instructions to fill out and return the questionnaire by mail within ten days of receipt.

(b) The notice summoning a person to jury service and the questionnaire eliciting essential information regarding that person shall be:

- (1) combined in a single mailing;
- (2) phrased so as to be readily understood by an individual unfamiliar with the legal and jury systems; and
- (3) delivered by first class mail.

(c) A summons shall clearly explain how and when the recipient must respond and the consequences of a failure to respond.

(d) The questionnaire shall be phrased and organized so as to facilitate quick and accurate screening, and should request only that information essential for:

- (1) determining whether a person meets the criteria for eligibility;
- (2) determining whether there exists a mental or physical disability which would prevent the person from rendering satisfactory jury service;
- (3) providing basic background information including age, race, gender, occupation, educational level, address, marital status, prior jury service within the past four years, occupation of spouse, and the age(s) of any children; and
- (4) efficiently managing the jury system.

(e) The jury commissioner shall make a list of the persons to whom the summons and questionnaire have been sent, but neither the names nor the list shall be disclosed except as provided in these rules.

**Rule 808 Qualifications for Jury Service**

(a) The jury commissioner shall determine on the basis of information provided on the juror qualification questionnaire, supplemented if necessary, whether the prospective juror is qualified for jury service. This determination shall be entered on the questionnaire or other record designated by the court.

(b) To be qualified to serve as a juror, the prospective juror must be:

- (1) A citizen of the United States.
- (2) At least 18 years old.
- (3) A resident of the county.
- (4) Able to communicate in the English language.
- (5) Be physically and mentally capable of rendering satisfactory jury service. A person claiming disability may be required to submit a physician's certificate as to the disability, and the Judge may inquire of the certifying physician. A prospective qualified

juror who is 70 years of age or older, who requests to be excused from jury service shall be automatically excused from service without having to submit evidence of an inability to serve.

(6) A person who has had their civil rights restored if they have been convicted of a felony.

(7) A person who has not served as a state or federal grand or petit juror in the past four years.

(c) A judge, serving in the judicial branch of the government, is disqualified from jury service.

#### **Rule 809      Discrimination Prohibited**

A citizen shall not be excluded from jury service in this state on account of race, color, creed, religion, sex, national origin, marital status, status with regard to public assistance disability, age, occupation or economic status.

#### **Rule 810      Excuses and Deferrals**

(a) All automatic excuses or disqualifications from jury service are eliminated except as provided in Rule 808.

(b) Eligible persons who are summoned may be excused from jury service only if:

(1) their ability to receive and evaluate information is so impaired that they are unable to perform their duties as jurors and they are excused for this reason by a jury commissioner or a judge;

(2) they request to be excused because their service would be a continuing hardship to them or to members of the public and they are excused for this reason by the jury commissioner.

(c) Upon request from a qualified prospective juror, the jury commissioner shall determine whether the prospective juror meets the conditions for deferral set out in the jury administration plan. The deferral shall be for a reasonable time, after which the prospective juror shall be available for jury service, in accordance with the court's direction. Deferral of jury service is encouraged as an alternative to excuse from service.

(d) The reason for the excuse or deferral of any prospective juror must be entered in the jury commissioner's records.

(e) A member, officer, or employee of the legislature is excused from jury service while the legislature is in session.

(f) A candidate who has filed an affidavit of candidacy for elected office under Minnesota Laws, chapter 103C, 122, 204B, 204D, 205, 205A, or 447 is deferred from jury service from the date of filing the affidavit until the day after the election for that office, if the person requests to be deferred for this reason.

#### **Rule 811      Term of Jury Service**

The time that persons are called upon to perform jury service and be available for jury service is the shortest period consistent with the needs of justice.

(a) In counties with a population of 100,000 or more, a term of service must not exceed two weeks or the completion of one trial, whichever is longer.

(b) In counties with a population of less than 100,000 but more than 50,000, a term of service must not exceed two months. However, no person is required to continue to serve after the person has reported to the courthouse for ten days or after the completion of the trial on which the juror is sitting, whichever is longer.

(c) In counties with a population of less than 50,001 a term of service must not exceed four months. However, no person is required to continue to serve after the person has reported to the courthouse for ten days or after the completion of the trial on which the juror is sitting, whichever is longer.

(d) Chief judges and judicial district administrators shall review the frequency of juror use in each county in determining the shortest period of jury service that will enable the greatest number of citizens to have the opportunity to report to the courthouse and participate in the jury system. All courts shall adopt the shortest period of jury service that is practical.

**Rule 812 Juror Use**

(a) Courts shall employ the services of prospective jurors so as to achieve optimum use with minimum inconvenience to jurors.

(b) Courts shall determine the minimally sufficient number of jurors needed to accommodate trial activity; this information and appropriate management techniques shall be used to adjust both the number of individuals summoned for jury duty and the number assigned to jury panels.

(c) Courts may employ procedures to ensure that each prospective juror who has reported to the courthouse is assigned to a courtroom for voir dire each day before any prospective juror is assigned a second time that day.

**Rule 813 Challenging Compliance with Selection Procedure**

(a) A party may move to stay the proceedings, quash the indictment or for other appropriate relief, on the ground that these rules have not been complied with. Such motion should be made within seven days after the moving party discovers or should have discovered the grounds for the motion, and in any event before the petit jury is sworn to try the case.

(b) If a motion filed under (a) contains a sworn statement of facts which, if true, constitute a substantial failure to comply with these rules, the moving party is entitled to present the testimony of the jury commissioner, any relevant records and papers even if not public or otherwise available, and any other relevant evidence in support of the motion. If the court determines that there has been a substantial failure to comply with these rules in the selection of either a grand jury or a petit jury, the court shall stay the proceedings while a jury is selected in conformity with these rules.

(c) The procedures prescribed by this Rule are the exclusive means by which a party may challenge a jury on the grounds that the jury was not selected in conformity to these rules.

**Rule 814 Records**

(a) The names of qualified prospective jurors drawn and the contents of juror qualification questionnaires completed by those prospective jurors must be made available to the public upon specific request to the court, supported by affidavit setting forth the reasons for the request, unless the court determines in any instance that in the interest of justice this information should be kept confidential or its use limited in whole or in part.

(b) The contents of juror qualification questionnaires must be made available to lawyers upon request in advance of voir dire. The court may restrict access to addresses of the prospective jurors.

(c) The jury commissioner shall make sure that all records and lists are preserved for the length of time ordered by the court. The contents of any records or lists not made public shall not be disclosed until one year has elapsed since preparation of the list and all persons selected to serve have been discharged, unless a motion is brought under Rule 813.