

3-15. Disclosure of Non-party Interested Entities or Persons

(a) Certification Policy. ~~So that Judges of this Court may evaluate any need for disqualification or recusal early in the course of any case,~~ **Upon making a first appearance in any civil proceeding in this Court,** each party must file a “Certification of Interested Entities or Persons” pursuant to this Rule. The Rule does not apply to any governmental entity or its agencies.

~~**(b) Certification.** Upon making a first appearance in any proceeding in this Court, a party must file with the Clerk a “Certification of Interested Entities or Persons.”~~

(1) The Certification must disclose any persons, associations of persons, firms, partnerships, corporations (including parent corporations), or other entities other than the parties themselves **(including litigation funders)** known by the party to have either: (i) a financial interest (of any kind) in the subject matter in controversy or in a party to the proceeding; or (ii) any other kind of interest that could be substantially affected by the outcome of the proceeding.

(2) ~~(3)~~ If a party has no disclosure to make pursuant to subparagraph **(a) ~~(b)~~(1)**, that party must make a certification stating that no such interest is known other than that of the named parties to the action. **A party has a continuing duty to supplement its certification if an entity becomes interested within the meaning of section (1) during the pendency of the proceeding.**

(3) ~~(2)~~ For purposes of this Rule, the terms “proceeding” and “financial interest” shall have the meaning assigned by 28 U.S.C. §455 (d)(1), (3) and (4), respectively.

(b) ~~(c)~~ Form of Certification. The Certification of Interested Entities or Persons must take the following form, as is appropriate to the proceeding:

(1) If there is an interest to be certified: “Pursuant to Civil L.R. 3-15, the undersigned certifies that the following listed persons, associations of persons, firms, partnerships, corporations (including parent corporations) or other entities (i) have a financial interest in the subject matter in controversy or in a party to the proceeding, or (ii) have a non-financial interest in that subject matter or in a party that could be substantially affected by the outcome of this proceeding: (List names and identify their connection and interest). Signature, Attorney of Record.”

(2) If there is no interest to be certified: “Pursuant to Civil L.R. 3-15, the undersigned certifies that as of this date, other than the named parties, there is no such interest to report. Signature, Attorney of Record.”

(3) Certification, pursuant to this subsection, must be filed as a separate document.