



**UNITED STATES BANKRUPTCY COURT  
DISTRICT OF CONNECTICUT**

**CLERK'S ANNOUNCEMENT 22-06**

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**NOTICE TO THE BAR AND THE PUBLIC REGARDING  
AMENDMENTS TO OFFICIAL FORMS 101, 309E1, and 309E2, AND  
FEDERAL RULES OF BANKRUPTCY PROCEDURE**

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**Official Bankruptcy Forms 101, 309E1, and 309E2 (version 12/22)**

Amendments to the following Official Forms will become effective on December 1, 2022:

- Official Form 101 Voluntary Petition for Individuals (*revises lines 2 and 4*)
- Official Form 309E1 Notice of Chapter 11 Bankruptcy Case (For Individuals or Joint Debtors) (*revises line 7*)
- Official Form 309E2 Notice of Chapter 11 Bankruptcy Case (For Individuals or Joint Debtors under Subchapter V) (*revises line 8*)

As approved by the Judicial Conference, amendments to official bankruptcy forms govern all proceedings in bankruptcy cases thereafter commenced and, insofar as just and practicable, all proceedings then pending.

The amended Official Forms will be posted on the Judiciary's website at: <https://www.uscourts.gov/forms/bankruptcy-forms>.

**NOTE:** The Clerk's Office will issue a deficiency notice for obsolete versions of Form 101 filed on or after December 1, 2022. Please ensure that your bankruptcy filing software is updated with the latest versions of all amended forms.

**Federal Rules of Bankruptcy Procedure**

Under the Rules Enabling Act, 28 U.S.C. §§ 2071-75, amendments to the following rules will take effect on December 1, 2022:

- Fed. R. Bankr. P. 1007: Lists, Schedules, Statements, and Other Documents; Time Limits
- Fed. R. Bankr. P. 1020: Chapter 11 Reorganization Case for Small Business Debtors
- Fed. R. Bankr. P. 2009: Trustees for Estates When Joint Administration Ordered
- Fed. R. Bankr. P. 2012: Substitution of Trustee or Successor Trustee; Accounting
- Fed. R. Bankr. P. 2015: Duty to Keep Records, Make Reports, and Give Notice of Case of Change of Status

- Fed. R. Bankr. P. 3002: Filing Proof of Claim or Interest
- Fed. R. Bankr. P. 3010: Small Dividends and Payments in Cases Under Chapter 7, Subchapter V of Chapter 11, Chapter 12, and Chapter 13
- Fed. R. Bankr. P. 3011: Unclaimed Funds in Cases Under Chapter 7, Subchapter V of Chapter 11, Chapter 12, and Chapter 13
- Fed. R. Bankr. P. 3014: Election Under § 1111(b) by Secured Creditor in Chapter 9 Municipality or Chapter 11 Reorganization Case
- Fed. R. Bankr. P. 3016: Filing of Plan and Disclosure Statement in a Chapter 9 Municipality of Chapter 11 Reorganization Case
- Fed. R. Bankr. P. 3017.1: Court Consideration of Disclosure Statement in a Small Business Case or in a Case Under Subchapter V of Chapter 11
- **New** Fed. R. Bankr. P. 3017.2: Fixing of Dates by the Court in Subchapter V Cases in Which There Is No Disclosure Statement
- Fed. R. Bankr. P. 3018: Acceptance or Rejection of Plan in a Chapter 9 Municipality or a Chapter 11 Reorganization Case
- Fed. R. Bankr. P. 3019: Modification of Accepted Plan in a Chapter 9 Municipality or a Chapter 11 Reorganization Case
- Fed. R. Bankr. P. 5005: Filing and Transmittal of Papers
- Fed. R. Bankr. P. 7004: Process; Service of Summons, Complaint
- Fed. R. Bankr. P. 8023: Voluntary Dismissal

The text of the amended rules, and the accompanying committee notes—along with extensive supporting documentation related to their adoption—will be posted on December 1, 2022, under the “Current Rules” page of the Judiciary’s website at: <https://www.uscourts.gov/rules-policies/current-rules-practice-procedure>. A “redline” version of Amended Rules is attached to this Announcement. New material is underlined; matter to be omitted is lined through.

Under 28 U.S.C. §§ 2074(a) and 2075, and the Supreme Court orders dated April 11, 2022, the amendments govern all proceedings commenced on or after December 1, 2022, and all proceedings then pending “insofar as just and practicable.”

November 30, 2022  
Date

/s/ Pietro Cicolini  
Pietro Cicolini  
Clerk of Court

**PROPOSED AMENDMENTS TO THE FEDERAL  
RULES OF BANKRUPTCY PROCEDURE<sup>1</sup>**

1 **Rule 1007. Lists, Schedules, Statements, and Other**  
2 **Documents; Time Limits**

3 \* \* \* \* \*

4 (b) SCHEDULES, STATEMENTS, AND  
5 OTHER DOCUMENTS REQUIRED.

6 \* \* \* \* \*

7 (5) An individual debtor in a chapter 11  
8 case (unless under subchapter V) shall file a  
9 statement of current monthly income, prepared as  
10 prescribed by the appropriate Official Form.

11 \* \* \* \* \*

12 (h) INTERESTS ACQUIRED OR ARISING  
13 AFTER PETITION. If, as provided by § 541(a)(5) of the  
14 Code, the debtor acquires or becomes entitled to acquire any  
15 interest in property, the debtor shall within 14 days after the

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<sup>1</sup> New material is underlined; matter to be omitted is lined through.

16 information comes to the debtor's knowledge or within such  
17 further time the court may allow, file a supplemental  
18 schedule in the chapter 7 liquidation case, chapter 11  
19 reorganization case, chapter 12 family farmer's debt  
20 adjustment case, or chapter 13 individual debt adjustment  
21 case. If any of the property required to be reported under  
22 this subdivision is claimed by the debtor as exempt, the  
23 debtor shall claim the exemptions in the supplemental  
24 schedule. ~~The~~ This duty to file a supplemental schedule ~~in~~  
25 ~~accordance with this subdivision~~ continues even after the  
26 case is closed, except for property acquired after an order is  
27 entered; notwithstanding the closing of the case, except that  
28 ~~the schedule need not be filed in a chapter 11, chapter 12, or~~  
29 ~~chapter 13 case with respect to property acquired after entry~~  
30 ~~of the order~~

31 (1) confirming a chapter 11 plan (other  
32 than one confirmed under § 1191(b)); or



1 **Rule 1020. ~~Small Business~~ Chapter 11 Reorganization**  
2 **Case for Small Business Debtors**

3 (a) SMALL BUSINESS DEBTOR

4 DESIGNATION. In a voluntary chapter 11 case, the debtor  
5 shall state in the petition whether the debtor is a small  
6 business debtor and, if so, whether the debtor elects to have  
7 subchapter V of chapter 11 apply. In an involuntary chapter  
8 11 case, the debtor shall file within 14 days after entry of the  
9 order for relief a statement as to whether the debtor is a small  
10 business debtor and, if so, whether the debtor elects to have  
11 subchapter V of chapter 11 apply. ~~Except as provided in~~  
12 ~~subdivision (e), the~~ The status of the case as a small business  
13 case or a case under subchapter V of chapter 11 shall be in  
14 accordance with the debtor's statement under this  
15 subdivision, unless and until the court enters an order finding  
16 that the debtor's statement is incorrect.

17 (b) OBJECTING TO DESIGNATION. ~~Except~~  
18 ~~as provided in subdivision (e), the~~ The United States trustee  
19 or a party in interest may file an objection to the debtor's

20 statement under subdivision (a) no later than 30 days after  
21 the conclusion of the meeting of creditors held under  
22 § 341(a) of the Code, or within 30 days after any amendment  
23 to the statement, whichever is later.

24 ~~(c) APPOINTMENT OF COMMITTEE OF~~  
25 ~~UNSECURED CREDITORS. If a committee of unsecured~~  
26 ~~creditors has been appointed under § 1102(a)(1), the case~~  
27 ~~shall proceed as a small business case only if, and from the~~  
28 ~~time when, the court enters an order determining that the~~  
29 ~~committee has not been sufficiently active and~~  
30 ~~representative to provide effective oversight of the debtor~~  
31 ~~and that the debtor satisfies all the other requirements for~~  
32 ~~being a small business. A request for a determination under~~  
33 ~~this subdivision may be filed by the United States trustee or~~  
34 ~~a party in interest only within a reasonable time after the~~  
35 ~~failure of the committee to be sufficiently active and~~  
36 ~~representative. The debtor may file a request for a~~

37 ~~determination at any time as to whether the committee has~~  
38 ~~been sufficiently active and representative.~~

39 (d~~c~~) PROCEDURE FOR OBJECTION OR  
40 DETERMINATION. Any objection or request for a  
41 determination under this rule shall be governed by Rule 9014  
42 and served on: the debtor; the debtor's attorney; the United  
43 States trustee; the trustee; the creditors included on the list  
44 filed under Rule 1007(d) or, if any a committee has been  
45 appointed under § 1102(a)(3), the committee or its  
46 authorized agent, ~~or, if no committee of unsecured creditors~~  
47 ~~has been appointed under § 1102, the creditors included on~~  
48 ~~the list filed under Rule 1007(d);~~ and any other entity as the  
49 court directs.

#### Committee Note

The rule is amended in response to the enactment of the Small Business Reorganization Act of 2019 (SBRA), Pub. L. No. 116-54, 133 Stat. 1079. That law gives a small business debtor the option of electing to be a debtor under subchapter V of chapter 11. The title and subdivision (a) of the rule are amended to include that option and to require a small business debtor to state in its voluntary petition, or in a statement filed within 14 days after the order for relief is



entered in an involuntary case, whether it elects to proceed under subchapter V. The rule does not address whether the court, on a case-by-case basis, may allow a debtor to make an election to proceed under subchapter V after the times specified in subdivision (a) or, if it can, under what conditions.

Former subdivision (c) of the rule is deleted because the existence or level of activity of a creditors' committee is no longer a criterion for small-business-debtor status. The SBRA eliminated that portion of the definition of "small business debtor" in § 101(51D) of the Code.

Former subdivision (d) is redesignated as subdivision (c), and the list of entities to be served is revised to reflect that in most small business and subchapter V cases there will not be a committee of creditors.

1 **Rule 2009. Trustees for Estates When Joint**  
2 **Administration Ordered**

3 (a) ELECTION OF SINGLE TRUSTEE FOR  
4 ESTATES BEING JOINTLY ADMINISTERED. If the  
5 court orders a joint administration of two or more estates  
6 under Rule 1015(b), creditors may elect a single trustee for  
7 the estates being jointly administered, unless the case is  
8 under subchapter V of chapter 7 or subchapter V of chapter  
9 11 of the Code.

10 (b) RIGHT OF CREDITORS TO ELECT  
11 SEPARATE TRUSTEE. Notwithstanding entry of an order  
12 for joint administration under Rule 1015(b), the creditors of  
13 any debtor may elect a separate trustee for the estate of the  
14 debtor as provided in § 702 of the Code, unless the case is  
15 under subchapter V of chapter 7 or subchapter V of chapter  
16 11 of the Code.

17 (c) APPOINTMENT OF TRUSTEES FOR  
18 ESTATES BEING JOINTLY ADMINISTERED.

19 \* \* \* \* \*

20                   (2)    *Chapter 11 Reorganization Cases.* If  
21                   the appointment of a trustee is ordered or is required  
22                   by the Code, the United States trustee may appoint  
23                   one or more trustees for estates being jointly  
24                   administered in chapter 11 cases.

25   \* \* \* \* \*

#### **Committee Note**

The rule is amended in response to the enactment of the Small Business Reorganization Act of 2019, Pub. L. No. 116-54, 133 Stat. 1079. That law gives a small business debtor the option of electing to be a debtor under subchapter V of chapter 11. In a case under that subchapter, § 1183 of the Code requires the United States trustee to appoint a trustee, so there will be no election. Accordingly, subdivisions (a) and (b) of the rule are amended to except cases under subchapter V from their coverage. Subdivision (c)(2), which addresses the appointment of trustees in jointly administered chapter 11 cases, is amended to make it applicable to cases under subchapter V.

1 **Rule 2012. Substitution of Trustee or Successor**  
2 **Trustee; Accounting**

3 (a) TRUSTEE. If a trustee is appointed in a  
4 chapter 11 case (other than under subchapter V), or the  
5 debtor is removed as debtor in possession in a chapter 12  
6 case or in a case under subchapter V of chapter 11, the trustee  
7 is substituted automatically for the debtor in possession as a  
8 party in any pending action, proceeding, or matter.

9 \* \* \* \* \*

**Committee Note**

The rule is amended in response to the enactment of the Small Business Reorganization Act of 2019, Pub. L. No. 116-54, 133 Stat. 1079. That law gives a small business debtor the option of electing to be a debtor under subchapter V of chapter 11. Subdivision (a) of the rule is amended to include any case under that subchapter in which the debtor is removed as debtor in possession under § 1185 of the Code.

1 **Rule 2015. Duty to Keep Records, Make Reports, and**  
2 **Give Notice of Case or Change of Status**

3 (a) TRUSTEE OR DEBTOR IN POSSESSION.

4 A trustee or debtor in possession shall:

5 (1) in a chapter 7 liquidation case and, if  
6 the court directs, in a chapter 11 reorganization case  
7 (other than under subchapter V), file and transmit to  
8 the United States trustee a complete inventory of the  
9 property of the debtor within 30 days after qualifying  
10 as a trustee or debtor in possession, unless such an  
11 inventory has already been filed;

12 (2) keep a record of receipts and the  
13 disposition of money and property received;

14 (3) file the reports and summaries  
15 required by § 704(a)(8) of the Code, which shall  
16 include a statement, if payments are made to  
17 employees, of the amounts of deductions for all taxes  
18 required to be withheld or paid for and in behalf of

19 employees and the place where these amounts are  
20 deposited;

21 (4) as soon as possible after the  
22 commencement of the case, give notice of the case to  
23 every entity known to be holding money or property  
24 subject to withdrawal or order of the debtor,  
25 including every bank, savings or building and loan  
26 association, public utility company, and landlord  
27 with whom the debtor has a deposit, and to every  
28 insurance company which has issued a policy having  
29 a cash surrender value payable to the debtor, except  
30 that notice need not be given to any entity who has  
31 knowledge or has previously been notified of the  
32 case;

33 (5) in a chapter 11 reorganization case  
34 (other than under subchapter V), on or before the last  
35 day of the month after each calendar quarter during  
36 which there is a duty to pay fees under 28 U.S.C.

37 § 1930(a)(6), file and transmit to the United States  
38 trustee a statement of any disbursements made  
39 during that quarter and of any fees payable under 28  
40 U.S.C. § 1930(a)(6) for that quarter; and

41 (6) in a chapter 11 small business case,  
42 unless the court, for cause, sets another reporting  
43 interval, file and transmit to the United States trustee  
44 for each calendar month after the order for relief, on  
45 the appropriate Official Form, the report required by  
46 § 308. If the order for relief is within the first 15 days  
47 of a calendar month, a report shall be filed for the  
48 portion of the month that follows the order for relief.  
49 If the order for relief is after the 15th day of a  
50 calendar month, the period for the remainder of the  
51 month shall be included in the report for the next  
52 calendar month. Each report shall be filed no later  
53 than 21 days after the last day of the calendar month  
54 following the month covered by the report. The

55 obligation to file reports under this subparagraph  
56 terminates on the effective date of the plan, or  
57 conversion or dismissal of the case.

58 (b) TRUSTEE, DEBTOR IN POSSESSION,  
59 AND DEBTOR IN A CASE UNDER SUBCHAPTER V OF  
60 CHAPTER 11. In a case under subchapter V of chapter 11,  
61 the debtor in possession shall perform the duties prescribed  
62 in (a)(2)–(4) and, if the court directs, shall file and transmit  
63 to the United States trustee a complete inventory of the  
64 debtor’s property within the time fixed by the court. If the  
65 debtor is removed as debtor in possession, the trustee shall  
66 perform the duties of the debtor in possession prescribed in  
67 this subdivision (b). The debtor shall perform the duties  
68 prescribed in (a)(6).

69 (bc) CHAPTER 12 TRUSTEE AND DEBTOR  
70 IN POSSESSION. In a chapter 12 family farmer’s debt  
71 adjustment case, the debtor in possession shall perform the  
72 duties prescribed in clauses (2)–(4) of subdivision (a) of this



73 rule and, if the court directs, shall file and transmit to the  
74 United States trustee a complete inventory of the property of  
75 the debtor within the time fixed by the court. If the debtor is  
76 removed as debtor in possession, the trustee shall perform  
77 the duties of the debtor in possession prescribed in this  
78 ~~paragraph~~ subdivision (c).

79 (e~~d~~) CHAPTER 13 TRUSTEE AND  
80 DEBTOR.

81 (1) *Business Cases*. In a chapter  
82 13 individual's debt adjustment case, when  
83 the debtor is engaged in business, the debtor  
84 shall perform the duties prescribed by clauses  
85 (2)–(4) of subdivision (a) of this rule and, if  
86 the court directs, shall file and transmit to the  
87 United States trustee a complete inventory of  
88 the property of the debtor within the time  
89 fixed by the court.

90 (2) *Nonbusiness Cases*. In a chapter 13  
91 individual's debt adjustment case, when the debtor is  
92 not engaged in business, the trustee shall perform the  
93 duties prescribed by clause (2) of subdivision (a) of  
94 this rule.

95 (~~e~~) FOREIGN REPRESENTATIVE. In a case in  
96 which the court has granted recognition of a foreign  
97 proceeding under chapter 15, the foreign representative shall  
98 file any notice required under § 1518 of the Code within 14  
99 days after the date when the representative becomes aware  
100 of the subsequent information.

101 (~~e~~) TRANSMISSION OF REPORTS. In a  
102 chapter 11 case the court may direct that copies or  
103 summaries of annual reports and copies or summaries of  
104 other reports shall be mailed to the creditors, equity security  
105 holders, and indenture trustees. The court may also direct the  
106 publication of summaries of any such reports. A copy of

- 107 every report or summary mailed or published pursuant to this  
108 subdivision shall be transmitted to the United States trustee.

#### **Committee Note**

The rule is amended in response to the enactment of the Small Business Reorganization Act of 2019, Pub. L. No. 116-54, 133 Stat. 1079. That law gives a small business debtor the option of electing to be a debtor under subchapter V of chapter 11. Subdivision (b) is amended to prescribe the duties of a debtor in possession, trustee, and debtor in a subchapter V case. Those cases are excepted from subdivision (a) because, unlike other chapter 11 cases, there will generally be both a trustee and a debtor in possession. Subdivision (b) also reflects that § 1187 of the Code prescribes reporting duties for the debtor in a subchapter V case.

Former subdivisions (b), (c), (d), and (e) are redesignated (c), (d), (e), and (f) respectively.

1 **Rule 3002. Filing Proof of Claim or Interest**

2 \* \* \* \* \*

3 (c) TIME FOR FILING. In a voluntary chapter 7  
4 case, chapter 12 case, or chapter 13 case, a proof of claim is  
5 timely filed if it is filed not later than 70 days after the order  
6 for relief under that chapter or the date of the order of  
7 conversion to a case under chapter 12 or chapter 13. In an  
8 involuntary chapter 7 case, a proof of claim is timely filed if  
9 it is filed not later than 90 days after the order for relief under  
10 that chapter is entered. But in all these cases, the following  
11 exceptions apply:

12 \* \* \* \* \*

13 (6) On motion filed by a creditor before  
14 or after the expiration of the time to file a proof of  
15 claim, the court may extend the time by not more  
16 than 60 days from the date of the order granting the  
17 motion. The motion may be granted if the court finds  
18 that:

19                   (A) the notice was insufficient  
20                   under the circumstances to give the creditor a  
21                   reasonable time to file a proof of claim  
22                   ~~because the debtor failed to timely file the list~~  
23                   ~~of creditors' names and addresses required by~~  
24                   ~~Rule 1007(a); or~~

25                   ~~(B) the notice was insufficient~~  
26                   ~~under the circumstances to give the creditor a~~  
27                   ~~reasonable time to file a proof of claim, and~~  
28                   ~~the notice was mailed to the creditor at a~~  
29                   ~~foreign address.~~

30                   \* \* \* \* \*

**Committee Note**

Rule 3002(c)(6) is amended to provide a single standard for granting motions for an extension of time to file a proof of claim, whether the creditor has a domestic address or a foreign address. If the notice to such creditor was “insufficient under the circumstances to give the creditor a reasonable time to file a proof of claim,” the court may grant an extension.

1 **Rule 3010. Small Dividends and Payments in Cases**  
2 **Under Chapter 7 Liquidation, Subchapter**  
3 **V of Chapter 11, Chapter 12 Family**  
4 **Farmer's Debt Adjustment, and Chapter**  
5 **13 Individual's Debt Adjustment Cases**

6 \* \* \* \* \*

7 (b) CASES UNDER SUBCHAPTER V OF  
8 CHAPTER 11, CHAPTER 12, AND CHAPTER 13  
9 CASES. In a case under subchapter V of chapter 11, chapter  
10 12, or chapter 13, ~~case~~ no payment in an amount less than  
11 \$15 shall be distributed by the trustee to any creditor unless  
12 authorized by local rule or order of the court. Funds not  
13 distributed because of this subdivision shall accumulate and  
14 shall be paid whenever the accumulation aggregates \$15.  
15 Any funds remaining shall be distributed with the final  
16 payment.

**Committee Note**

The rule is amended in response to the enactment of the Small Business Reorganization Act of 2019, Pub. L. No. 116-54, 133 Stat. 1079. That law gives a small business debtor the option of electing to be a debtor under subchapter V of chapter 11. To avoid the undue cost and inconvenience

of distributing small payments, the title and subdivision (b) are amended to include subchapter V cases.

1 **Rule 3011. Unclaimed Funds in Cases Under Chapter**  
2 **7 Liquidation, Subchapter V of Chapter**  
3 **11, Chapter 12 Family Farmer's Debt**  
4 **Adjustment, and Chapter 13 Individual's**  
5 **Debt Adjustment Cases**

6 The trustee shall file a list of all known names and  
7 addresses of the entities and the amounts which they are  
8 entitled to be paid from remaining property of the estate that  
9 is paid into court pursuant to § 347(a) of the Code.

**Committee Note**

The rule is amended in response to the enactment of the Small Business Reorganization Act of 2019, Pub. L. No. 116-54, 133 Stat. 1079. That law gives a small business debtor the option of electing to be a debtor under subchapter V of chapter 11. The rule is amended to include such cases because § 347(a) of the Code applies to them.



1 **Rule 3014. Election Under § 1111(b) by Secured**  
2 **Creditor in Chapter 9 Municipality or**  
3 **Chapter 11 Reorganization Case**

4 An election of application of § 1111(b)(2) of the  
5 Code by a class of secured creditors in a chapter 9 or 11 case  
6 may be made at any time prior to the conclusion of the  
7 hearing on the disclosure statement or within such later time  
8 as the court may fix. If the disclosure statement is  
9 conditionally approved pursuant to Rule 3017.1, and a final  
10 hearing on the disclosure statement is not held, the election  
11 of application of § 1111(b)(2) may be made not later than the  
12 date fixed pursuant to Rule 3017.1(a)(2) or another date the  
13 court may fix. In a case under subchapter V of chapter 11 in  
14 which § 1125 of the Code does not apply, the election may  
15 be made not later than a date the court may fix. The election  
16 shall be in writing and signed unless made at the hearing on  
17 the disclosure statement. The election, if made by the  
18 majorities required by § 1111(b)(1)(A)(i), shall be binding  
19 on all members of the class with respect to the plan.

**Committee Note**

The rule is amended in response to the enactment of the Small Business Reorganization Act of 2019, Pub. L. No. 116-54, 133 Stat. 1079. That law gives a small business debtor the option of electing to be a debtor under subchapter V of chapter 11. Because there generally will not be a disclosure statement in a subchapter V case, *see* § 1181(b) of the Code, the rule is amended to provide a deadline for making an election under § 1111(b) in such cases that is set by the court.

1 **Rule 3016. Filing of Plan and Disclosure Statement in**  
2 **a Chapter 9 Municipality or Chapter 11**  
3 **Reorganization Case**

4 (a) IDENTIFICATION OF PLAN. Every  
5 proposed plan and any modification thereof shall be dated  
6 and, in a chapter 11 case, identified with the name of the  
7 entity or entities submitting or filing it.

8 (b) DISCLOSURE STATEMENT. In a chapter  
9 9 or 11 case, a disclosure statement, if required under § 1125  
10 of the Code, or evidence showing compliance with § 1126(b)  
11 shall be filed with the plan or within a time fixed by the  
12 court, unless the plan is intended to provide adequate  
13 information under § 1125(f)(1). If the plan is intended to  
14 provide adequate information under § 1125(f)(1), it shall be  
15 so designated, and Rule 3017.1 shall apply as if the plan is a  
16 disclosure statement.

17 \* \* \* \* \*

18 (d) STANDARD FORM SMALL BUSINESS  
19 DISCLOSURE STATEMENT AND PLAN. In a small

20 business case or a case under subchapter V of chapter 11, the  
21 court may approve a disclosure statement and may confirm  
22 a plan that conform substantially to the appropriate Official  
23 Forms or other standard forms approved by the court.

**Committee Note**

The rule is amended in response to the enactment of the Small Business Reorganization Act of 2019, Pub. L. No. 116-54, 133 Stat. 1079. That law gives a small business debtor the option of electing to be a debtor under subchapter V of chapter 11. Subdivision (b) of the rule is amended to reflect that under § 1181(b) of the Code, § 1125 does not apply to subchapter V cases (and thus a disclosure statement is not required) unless the court for cause orders otherwise. Subdivision (d) is amended to include subchapter V cases as ones in which Official Forms are available for a reorganization plan and, when required, a disclosure statement.

1 **Rule 3017.1. Court Consideration of Disclosure**  
 2 **Statement in a Small Business Case or in a**  
 3 **Case Under Subchapter V of Chapter 11**

4 (a) CONDITIONAL APPROVAL OF  
 5 DISCLOSURE STATEMENT. In a small business case or  
 6 in a case under subchapter V of chapter 11 in which the court  
 7 has ordered that § 1125 applies, the court may, on  
 8 application of the plan proponent or on its own initiative,  
 9 conditionally approve a disclosure statement filed in  
 10 accordance with Rule 3016. On or before conditional  
 11 approval of the disclosure statement, the court shall:

12 (1) fix a time within which the holders of  
 13 claims and interests may accept or reject the plan;

14 (2) fix a time for filing objections to the  
 15 disclosure statement;

16 (3) fix a date for the hearing on final  
 17 approval of the disclosure statement to be held if a  
 18 timely objection is filed; and

19 (4) fix a date for the hearing on  
20 confirmation.

21 \* \* \* \* \*

**Committee Note**

The rule is amended in response to the enactment of the Small Business Reorganization Act of 2019, Pub. L. No. 116-54, 133 Stat. 1079. That law gives a small business debtor the option of electing to be a debtor under subchapter V of chapter 11. The title and subdivision (a) of the rule are amended to cover such cases when the court orders that § 1125 of the Code applies.

1 **Rule 3017.2. Fixing of Dates by the Court in Subchapter**  
2 **V Cases in Which There Is No Disclosure**  
3 **Statement**

4 In a case under subchapter V of chapter 11 in which  
5 § 1125 does not apply, the court shall:

6 (a) fix a time within which the holders of  
7 claims and interests may accept or reject the plan;

8 (b) fix a date on which an equity security  
9 holder or creditor whose claim is based on a security  
10 must be the holder of record of the security in order  
11 to be eligible to accept or reject the plan;

12 (c) fix a date for the hearing on  
13 confirmation; and

14 (d) fix a date for transmitting the plan,  
15 notice of the time within which the holders of claims  
16 and interests may accept or reject it, and notice of the  
17 date for the hearing on confirmation.

**Committee Note**

The rule is added in response to the enactment of the Small Business Reorganization Act of 2019, Pub. L. No.

116-54, 133 Stat. 1079. That law gives a small business debtor the option of electing to be a debtor under subchapter V of chapter 11. Because there generally will not be a disclosure statement in a subchapter V case, *see* § 1181(b) of the Code, the rule is added to authorize the court in such a case to act at a time other than when a disclosure statement is approved to set certain times and dates.



1 **Rule 3018. Acceptance or Rejection of Plan in a**  
2 **Chapter 9 Municipality or a Chapter 11**  
3 **Reorganization Case**

4 (a) ENTITIES ENTITLED TO ACCEPT OR  
5 REJECT PLAN; TIME FOR ACCEPTANCE OR  
6 REJECTION. A plan may be accepted or rejected in  
7 accordance with § 1126 of the Code within the time fixed by  
8 the court pursuant to Rule 3017, 3017.1, or 3017.2. Subject  
9 to subdivision (b) of this rule, an equity security holder or  
10 creditor whose claim is based on a security of record shall  
11 not be entitled to accept or reject a plan unless the equity  
12 security holder or creditor is the holder of record of the  
13 security on the date the order approving the disclosure  
14 statement is entered or on another date fixed by the court,  
15 under Rule 3017.2, or fixed for cause; after notice and a  
16 hearing. For cause shown, the court after notice and hearing  
17 may permit a creditor or equity security holder to change or  
18 withdraw an acceptance or rejection. Notwithstanding  
19 objection to a claim or interest, the court after notice and

20 hearing may temporarily allow the claim or interest in an  
21 amount which the court deems proper for the purpose of  
22 accepting or rejecting a plan.

23 \* \* \* \* \*

**Committee Note**

Subdivision (a) of the rule is amended to take account of the court's authority to set times under Rules 3017.1 and 3017.2 in small business cases and cases under subchapter V of chapter 11.

1 **Rule 3019. Modification of Accepted Plan in a**  
2 **Chapter 9 Municipality or a Chapter 11**  
3 **Reorganization Case**

4 \* \* \* \* \*

5 (b) MODIFICATION OF PLAN AFTER  
6 CONFIRMATION IN INDIVIDUAL DEBTOR CASE. If  
7 the debtor is an individual, a request to modify the plan under  
8 § 1127(e) of the Code is governed by Rule 9014. The request  
9 shall identify the proponent and shall be filed together with  
10 the proposed modification. The clerk, or some other person  
11 as the court may direct, shall give the debtor, the trustee, and  
12 all creditors not less than 21 days' notice by mail of the time  
13 fixed to file objections and, if an objection is filed, the  
14 hearing to consider the proposed modification, unless the  
15 court orders otherwise with respect to creditors who are not  
16 affected by the proposed modification. A copy of the notice  
17 shall be transmitted to the United States trustee, together  
18 with a copy of the proposed modification. Any objection to  
19 the proposed modification shall be filed and served on the

20 debtor, the proponent of the modification, the trustee, and  
21 any other entity designated by the court, and shall be  
22 transmitted to the United States trustee.

23 (c) MODIFICATION OF PLAN AFTER  
24 CONFIRMATION IN A SUBCHAPTER V CASE. In a  
25 case under subchapter V of chapter 11, a request to modify  
26 the plan under § 1193(b) or (c) of the Code is governed by  
27 Rule 9014, and the provisions of this Rule 3019(b) apply.

**Committee Note**

The rule is amended in response to the enactment of the Small Business Reorganization Act of 2019, Pub. L. No. 116-54, 133 Stat. 1079. That law gives a small business debtor the option of electing to be a debtor under subchapter V of chapter 11. Subdivision (c) is added to the rule to govern requests to modify a plan after confirmation in such cases under § 1193(b) or (c) of the Code.

1 **Rule 5005. Filing and Transmittal of Papers**

2 \* \* \* \* \*

3 (b) TRANSMITTAL TO THE UNITED  
4 STATES TRUSTEE.

5 (1) The complaints, notices, motions,  
6 applications, objections and other papers required to  
7 be transmitted to the United States trustee ~~by these~~  
8 ~~rules shall be mailed or delivered to an office of the~~  
9 ~~United States trustee, or to another place designated~~  
10 ~~by the United States trustee, in the district where the~~  
11 ~~case under the Code is pending~~ may be sent by filing  
12 with the court's electronic-filing system in  
13 accordance with Rule 9036, unless a court order or  
14 local rule provides otherwise.

15 (2) The entity, other than the clerk,  
16 transmitting a paper to the United States trustee other  
17 than through the court's electronic-filing system  
18 shall promptly file as proof of such transmittal a

19 ~~verified~~ statement identifying the paper and stating  
20 the manner by which and the date on which it was  
21 transmitted to the United States trustee.

22 (3) Nothing in these rules shall require  
23 the clerk to transmit any paper to the United States  
24 trustee if the United States trustee requests in writing  
25 that the paper not be transmitted.

#### Committee Note

Subdivision (b)(1) is amended to authorize the clerk or parties to transmit papers to the United States trustee by electronic means in accordance with Rule 9036, regardless of whether the United States trustee is a registered user with the court's electronic-filing system. Subdivision (b)(2) is amended to recognize that parties meeting transmittal obligations to the United States trustee using the court's electronic-filing system need not file a statement evidencing transmittal under Rule 5005(b)(2). The amendment to subdivision (b)(2) also eliminates the requirement that statements evidencing transmittal filed under Rule 5005(b)(2) be verified.

1 **Rule 7004. Process; Service of Summons, Complaint**

2 \* \* \* \* \*

3 (i) SERVICE OF PROCESS BY TITLE. This  
 4 subdivision (i) applies to service on a domestic or foreign  
 5 corporation or partnership or other unincorporated  
 6 association under Rule 7004(b)(3) or on an officer of an  
 7 insured depository institution under Rule 7004(h). The  
 8 defendant’s officer or agent need not be correctly named in  
 9 the address – or even be named – if the envelope is addressed  
 10 to the defendant’s proper address and directed to the  
 11 attention of the officer’s or agent’s position or title.

**Committee Note**

New Rule 7004(i) is intended to reject those cases interpreting Rule 7004(b)(3) and Rule 7004(h) to require service on a named officer, managing or general agent or other agent, rather than use of their titles. Service to a corporation or partnership, unincorporated association or insured depository institution at its proper address directed to the attention of the “Chief Executive Officer,” “President,” “Officer for Receiving Service of Process,” “Managing Agent,” “General Agent,” “Officer,” or “Agent for Receiving Service of Process” (or other similar titles) is sufficient.

1 **Rule 8023. Voluntary Dismissal**

2 (a) STIPULATED DISMISSAL. The clerk of  
3 the district court or BAP must dismiss an appeal if the parties  
4 file a signed dismissal agreement specifying how costs are  
5 to be paid and pay any court fees that are due.

6 (b) APPELLANT’S MOTION TO DISMISS.  
7 An appeal may be dismissed on the appellant’s motion on  
8 terms agreed to by the parties or fixed by the district court or  
9 BAP.

10 (c) OTHER RELIEF. A court order is required  
11 for any relief under Rule 8023(a) or (b) beyond the dismissal  
12 of an appeal—including approving a settlement, vacating an  
13 action of the bankruptcy court, or remanding the case to it.

14 (d) COURT APPROVAL. This rule does not  
15 alter the legal requirements governing court approval of a  
16 settlement, payment, or other consideration.

**Committee Note**

The amendment is intended to conform the rule to the revised version of Appellate Rule 42(b) on which it was



modelled. It clarifies that the fees that must be paid are court fees, not attorney's fees. The rule does not alter the legal requirements governing court approval of a settlement, payment, or other consideration. *See, e.g.*, Fed. R. Bankr. P. 9019 (requiring court approval of compromise or settlement). The amendment clarifies that any order beyond mere dismissal—including approving a settlement, vacating or remanding—requires a court order.