

Supreme Court of the United States  
Washington, D. C. 20543

CHAMBERS OF  
THE CHIEF JUSTICE

April 25, 2014

Honorable John A. Boehner  
Speaker of the House of Representatives  
Washington, D.C. 20515

Dear Mr. Speaker:

I have the honor to submit to the Congress the amendments to the Federal Rules of Appellate Procedure that have been adopted by the Supreme Court of the United States pursuant to Section 2072 of Title 28, United States Code.

Accompanying this rule are excerpts from the Report of the Committee on Rules of Practice and Procedure to the Judicial Conference of the United States containing the Committee Notes submitted to the Court for its consideration pursuant to Section 331 of Title 28, United States Code.

Sincerely,

/s/ John G. Roberts

Supreme Court of the United States  
Washington, D. C. 20543

CHAMBERS OF  
THE CHIEF JUSTICE

April 25, 2014

Honorable Joseph R. Biden, Jr.  
President, United States Senate  
Washington, D.C. 20510

Dear Mr. President:

I have the honor to submit to the Congress the amendments to the Federal Rules of Appellate Procedure that have been adopted by the Supreme Court of the United States pursuant to Section 2072 of Title 28, United States Code.

Accompanying this rule are excerpts from the Report of the Committee on Rules of Practice and Procedure to the Judicial Conference of the United States containing the Committee Notes submitted to the Court for its consideration pursuant to Section 331 of Title 28, United States Code.

Sincerely,

/s/ John G. Roberts

April 25, 2014

SUPREME COURT OF THE UNITED STATES

ORDERED:

1. That the Federal Rules of Appellate Procedure be, and they hereby are, amended by including therein amendments to Appellate Rule 6.

[See infra., pp. — — —.]

2. That the foregoing amendments to the Federal Rules of Appellate Procedure shall take effect on December 1, 2014, and shall govern in all proceedings in bankruptcy cases thereafter commenced and, insofar as just and practicable, all proceedings then pending.

3. That THE CHIEF JUSTICE be, and hereby is, authorized to transmit to the Congress the foregoing amendments to the Federal Rules of Appellate Procedure in accordance with the provisions of Section 2072 of Title 28, United States Code.

**PROPOSED AMENDMENTS TO THE FEDERAL  
RULES OF APPELLATE PROCEDURE**

**Rule 6. Appeal in a Bankruptcy Case**

**(a) Appeal From a Judgment, Order, or Decree of a  
District Court Exercising Original Jurisdiction in a  
Bankruptcy Case.**

An appeal to a court of appeals from a final judgment, order, or decree of a district court exercising jurisdiction under 28 U.S.C. § 1334 is taken as any other civil appeal under these rules.

**(b) Appeal From a Judgment, Order, or Decree of a  
District Court or Bankruptcy Appellate Panel  
Exercising Appellate Jurisdiction in a Bankruptcy  
Case.**

**(1) Applicability of Other Rules.** These rules apply to an appeal to a court of appeals under 28 U.S.C. § 158(d)(1) from a final judgment, order, or decree of a district court or bankruptcy

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appellate panel exercising appellate jurisdiction under 28 U.S.C. § 158(a) or (b), but with these qualifications:

- (A) Rules 4(a)(4), 4(b), 9, 10, 11, 12(c), 13-20, 22-23, and 24(b) do not apply;
- (B) the reference in Rule 3(c) to “Form 1 in the Appendix of Forms” must be read as a reference to Form 5;
- (C) when the appeal is from a bankruptcy appellate panel, “district court,” as used in any applicable rule, means “appellate panel”; and
- (D) in Rule 12.1, “district court” includes a bankruptcy court or bankruptcy appellate panel.

(2) **Additional Rules.** In addition to the rules made applicable by Rule 6(b)(1), the following rules apply:

(A) **Motion for Rehearing.**

- (i) If a timely motion for rehearing under Bankruptcy Rule 8022 is filed, the time to appeal for all parties runs from the entry of the order disposing of the motion. A notice of appeal filed after the district court or bankruptcy appellate panel announces or enters a judgment, order, or decree – but before disposition of the motion for rehearing – becomes effective when the order disposing of the motion for rehearing is entered.

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(ii) If a party intends to challenge the order disposing of the motion – or the alteration or amendment of a judgment, order, or decree upon the motion – then the party, in compliance with Rules 3(c) and 6(b)(1)(B), must file a notice of appeal or amended notice of appeal. The notice or amended notice must be filed within the time prescribed by Rule 4 – excluding Rules 4(a)(4) and 4(b) – measured from the entry of the order disposing of the motion.

(iii) No additional fee is required to file an amended notice.

**(B) The Record on Appeal.**

- (i) Within 14 days after filing the notice of appeal, the appellant must file with the clerk possessing the record assembled in accordance with Bankruptcy Rule 8009 – and serve on the appellee – a statement of the issues to be presented on appeal and a designation of the record to be certified and made available to the circuit clerk.
- (ii) An appellee who believes that other parts of the record are necessary must, within 14 days after being served with the appellant’s designation, file with the clerk and serve on the appellant a

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designation of additional parts to be included.

(iii) The record on appeal consists of:

- the redesignated record as provided above;
- the proceedings in the district court or bankruptcy appellate panel; and
- a certified copy of the docket entries prepared by the clerk under Rule 3(d).

**(C) Making the Record Available.**

(i) When the record is complete, the district clerk or bankruptcy-appellate-panel clerk must number the documents constituting the record and

promptly make it available to the circuit clerk. If the clerk makes the record available in paper form, the clerk will not send documents of unusual bulk or weight, physical exhibits other than documents, or other parts of the record designated for omission by local rule of the court of appeals, unless directed to do so by a party or the circuit clerk. If unusually bulky or heavy exhibits are to be made available in paper form, a party must arrange with the clerks in advance for their transportation and receipt.

- (ii) All parties must do whatever else is necessary to enable the clerk to

assemble the record and make it available. When the record is made available in paper form, the court of appeals may provide by rule or order that a certified copy of the docket entries be made available in place of the redesignated record. But any party may request at any time during the pendency of the appeal that the redesignated record be made available.

(D) **Filing the Record.** When the district clerk or bankruptcy-appellate-panel clerk has made the record available, the circuit clerk must note that fact on the docket. The date noted on the docket serves as the filing date of the record. The circuit clerk must

immediately notify all parties of the filing date.

**(c) Direct Review by Permission Under 28 U.S.C. § 158(d)(2).**

**(1) Applicability of Other Rules.** These rules apply to a direct appeal by permission under 28 U.S.C. § 158(d)(2), but with these qualifications:

(A) Rules 3-4, 5(a)(3), 6(a), 6(b), 8(a), 8(c), 9-12, 13-20, 22-23, and 24(b) do not apply;

(B) as used in any applicable rule, “district court” or “district clerk” includes – to the extent appropriate – a bankruptcy court or bankruptcy appellate panel or its clerk; and

(C) the reference to “Rules 11 and 12(c)” in Rule 5(d)(3) must be read as a reference to Rules 6(c)(2)(B) and (C).

(2) **Additional Rules.** In addition, the following rules apply:

(A) **The Record on Appeal.** Bankruptcy Rule 8009 governs the record on appeal.

(B) **Making the Record Available.** Bankruptcy Rule 8010 governs completing the record and making it available.

(C) **Stays Pending Appeal.** Bankruptcy Rule 8007 applies to stays pending appeal.

(D) **Duties of the Circuit Clerk.** When the bankruptcy clerk has made the record available, the circuit clerk must note that fact on the docket. The date noted on the

docket serves as the filing date of the record. The circuit clerk must immediately notify all parties of the filing date.

**(E) Filing a Representation Statement.**

Unless the court of appeals designates another time, within 14 days after entry of the order granting permission to appeal, the attorney who sought permission must file a statement with the circuit clerk naming the parties that the attorney represents on appeal.



# JUDICIAL CONFERENCE OF THE UNITED STATES

WASHINGTON, D.C. 20544

THE CHIEF JUSTICE  
OF THE UNITED STATES  
*Presiding*

HONORABLE JOHN D. BATES  
*Secretary*

November 6, 2013

## MEMORANDUM

To: The Chief Justice of the United States and  
Associate Justices of the Supreme Court

From: Judge John D. Bates 

RE: TRANSMITTAL OF PROPOSED AMENDMENTS TO THE FEDERAL RULES OF  
APPELLATE PROCEDURE

By direction of the Judicial Conference of the United States, pursuant to the authority conferred by 28 U.S.C. § 331, I transmit herewith for consideration of the Court proposed amendments to Rule 6 of the Federal Rules of Appellate Procedure, which were approved by the Judicial Conference at its September 2013 session. The Judicial Conference recommends that the amendments be approved by the Court and transmitted to the Congress pursuant to law.

For your assistance in considering the proposed amendments, I am transmitting: (i) a redline version of the amendments; (ii) an excerpt from the Report of the Committee on Rules of Practice and Procedure to the Judicial Conference; and (iii) an excerpt from the Report of the Advisory Committee on the Federal Rules of Appellate Procedure.

Attachments

**EXCERPT FROM THE  
REPORT OF THE JUDICIAL CONFERENCE**

**COMMITTEE ON RULES OF PRACTICE AND PROCEDURE**

**TO THE CHIEF JUSTICE OF THE UNITED STATES AND MEMBERS OF THE  
JUDICIAL CONFERENCE OF THE UNITED STATES:**

\* \* \* \* \*

**FEDERAL RULES OF APPELLATE PROCEDURE**

*Rule Recommended for Approval and Transmission*

The Advisory Committee on Appellate Rules submitted a proposed amendment to Rule 6, with a recommendation that it be approved and transmitted to the Judicial Conference. The proposed amendment was circulated to the bench, bar, and public for comment in August 2012.

Rule 6 concerns appeals to the courts of appeals in bankruptcy cases. The proposed amendment would (1) update cross-references to Part VIII of the Bankruptcy Rules; (2) amend Rule 6(b)(2)(A)(ii) to remove an ambiguity dating from the 1998 restyling; (3) add a new Rule 6(c) to address permissive direct appeals from the bankruptcy court under 28 U.S.C. § 158(d)(2); and (4) revise Rule 6 to take account of the range of methods available now or in the future for dealing with the record on appeal.

The current Appellate Rules do not expressly address permissive direct appeals from a bankruptcy court to a court of appeals under 28 U.S.C. § 158(d)(2). When section 158(d)(2) was enacted as part of the Bankruptcy Abuse Prevention and Consumer Protection Act of 2005 (“BAPCPA”), the advisory committee decided that no immediate action was warranted because BAPCPA established interim procedures for administering the new direct appeals mechanism. Some of those interim procedures were displaced by the 2008 addition of subdivision (f) in Bankruptcy Rule 8001, making desirable an amendment specifying how the Appellate Rules

apply to direct appeals under § 158(d)(2).

Proposed Rule 6(c) would treat the record on direct appeals from a bankruptcy court differently than existing Rule 6(b) treats the record on bankruptcy appeals from a district court or bankruptcy appellate panel. Rule 6(b) contains a streamlined procedure for redesignating and forwarding the record on appeal because in appeals covered by Rule 6(b), the appellate record already will have been compiled for purposes of the appeal to the district court or the bankruptcy appellate panel. In a direct appeal, however, the record is generally compiled from scratch. The closest model for the compilation and transmission of the bankruptcy court record appears in Part VIII of the Bankruptcy Rules, which addresses appeals from the bankruptcy court to the district court or the bankruptcy appellate panel. Proposed Rule 6(c) would therefore incorporate the relevant Part VIII rules by reference, while making some adjustments to account for the particularities of direct appeals to the court of appeals.

The effort to revise Appellate Rule 6 and an effort to revise Part VIII of the Bankruptcy Rules with respect to appeals, discussed *infra*, highlight changes in the treatment of the record. The Appellate Rules were drafted on the assumption that the record on appeal would be available only in paper form. In contrast, Part VIII of the Bankruptcy Rules has been drafted with the default principle that the record will be made available in electronic form. In revising Rule 6(b) and in drafting new Rule 6(c), the advisory committee was mindful of the shift to electronic filing and adopted language that accommodates the various ways in which the lower court record could be made available to the court of appeals. Such language is particularly salient in the case of proposed Rule 6(c) because it would incorporate by reference the Bankruptcy Rules that deal with the record on appeal.

Following publication of the proposed changes to Rule 6, the advisory committee received one comment, submitted by a bankruptcy judge, which the advisory committee added to its agenda for future consideration. The advisory committee, however, decided to make no change to the proposal as published.

The Committee concurred with the advisory committee's recommendation.

**Recommendation:** That the Judicial Conference approve the proposed amendment to Appellate Rule 6, and transmit it to the Supreme Court for consideration with a recommendation that it be adopted by the Court and transmitted to Congress in accordance with the law.

\* \* \* \* \*

Respectfully submitted,

A handwritten signature in blue ink that reads "Jeffrey S. Sutton". The signature is written in a cursive style with a large initial "J".

Jeffrey S. Sutton, Chair

James M. Cole  
Dean C. Colson  
Roy T. Englert, Jr.  
Gregory G. Garre  
Neil M. Gorsuch  
Marilyn L. Huff  
Wallace B. Jefferson

David F. Levi  
Patrick J. Schiltz  
Larry A. Thompson  
Richard C. Wesley  
Diane P. Wood  
Jack Zouhary

COMMITTEE ON RULES OF PRACTICE AND PROCEDURE  
OF THE  
JUDICIAL CONFERENCE OF THE UNITED STATES  
WASHINGTON, D.C. 20544

JEFFREY S. SUTTON  
CHAIR

JONATHAN C. ROSE  
SECRETARY

CHAIRS OF ADVISORY COMMITTEES

STEVEN M. COLLOTON  
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BANKRUPTCY RULES

DAVID G. CAMPBELL  
CIVIL RULES

REENA RAGGI  
CRIMINAL RULES

SIDNEY A. FITZWATER  
EVIDENCE RULES

**MEMORANDUM**

**To:** Honorable Jeffrey S. Sutton, Chair  
Standing Committee on Rules of Practice and Procedure

**From:** Honorable Steven M. Colloton, Chair  
Advisory Committee on Federal Rules of Appellate Procedure

**Date:** May 8, 2013

**Re:** Report of the Advisory Committee on Appellate Rules

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**I. Introduction**

The Advisory Committee on Appellate Rules met on April 22 and 23, 2013, in Washington, DC. The Committee gave final approval to proposed amendments to Appellate Rule 6.

\* \* \* \* \*

## **II. Action Item for Final Approval: Proposed Amendments to Appellate Rule 6**

As discussed in the report of the Bankruptcy Rules Committee, that Committee seeks final approval of proposed amendments to Part VIII of the Bankruptcy Rules – the rules that govern appeals from bankruptcy court to a district court or bankruptcy appellate panel (“BAP”). In tandem with that project, the Appellate Rules Committee seeks final approval of proposed amendments to Appellate Rule 6 (concerning appeals to the court of appeals in a bankruptcy case).

The proposed amendments to Appellate Rule 6 (which are set out in the enclosure to this report) would (1) update that Rule’s cross-references to the Bankruptcy Part VIII Rules, (2) amend Rule 6(b)(2)(A)(ii) to remove an ambiguity dating from the 1998 restyling, (3) add a new Rule 6(c) to address permissive direct appeals from the bankruptcy court under 28 U.S.C. § 158(d)(2), and (4) revise Rule 6 to take account of the range of methods available now or in the future for dealing with the record on appeal.

The Appellate Rules do not expressly address permissive direct appeals from a bankruptcy court to a court of appeals under 28 U.S.C. § 158(d)(2). When Section 158(d)(2) was enacted as part of the Bankruptcy Abuse Prevention and Consumer Protection Act of 2005 (“BAPCPA”), the Appellate Rules Committee decided that no immediate action was necessary, because BAPCPA established interim procedures for administering the new direct appeals mechanism. Some of those interim procedures were displaced by the 2008 addition of subdivision (f) in Bankruptcy Rule 8001. The Committee now considers it appropriate to specify how the Appellate Rules apply to direct appeals under Section 158(d)(2).

Proposed Appellate Rule 6(c) would treat the record on direct appeals differently than existing Rule 6(b) treats the record on bankruptcy appeals from a district court or BAP. Rule 6(b) contains a streamlined procedure for redesignating and forwarding the record on appeal, because in the appeals covered by Rule 6(b), the appellate record already will have been compiled for purposes of the appeal to the district court or the BAP. In a direct appeal, the record generally will be compiled from scratch. The closest model for the compilation and transmission of the bankruptcy court record is the set of rules chosen by the Bankruptcy Rules Part VIII project for appeals from the bankruptcy court to the district court or the BAP. Thus, proposed Rule 6(c) incorporates the relevant Part VIII rules by reference while making some adjustments to account for the particularities of direct appeals to the court of appeals.

Both the Bankruptcy Rules Part VIII project and the project to revise Appellate Rule 6 have highlighted changes in the treatment of the record. The Appellate Rules were drafted on the assumption that the record on appeal would be available only in paper form. The proposed Part VIII Rules are drafted with a contrary presumption in mind: The default principle under those Rules is that the record will be made available in electronic form. In revising Rule 6(b) and in drafting new Rule 6(c), the Appellate Rules Committee adopted language that can accommodate the various ways in which the lower-court record could be made available to the court of appeals – e.g., in paper form, in electronic files that can be sent to the court of appeals, or by means of

electronic links. Such language seems advisable in the light of the shift to electronic filing; and such language seems particularly salient in the case of proposed Rule 6(c) because that Rule will incorporate by reference the Part VIII Rules that deal with the record on appeal.

**A. Text of proposed amendments and Committee Note**

The Committee recommends final approval of the proposed amendments to Rule 6 as set out in the enclosure to this report.

**B. Changes made after publication and comment**

The Committee received one comment on the proposed amendments to Rule 6, from Judge S. Martin Teel, Jr., a United States Bankruptcy Judge in the District of Columbia. Judge Teel's suggestions are described in the enclosure to this report. The Committee decided that the suggestions warrant further study, but that it was not advisable to implement them in the context of the current proposal. Instead, the Committee added Judge Teel's suggestions to its agenda for future consideration. The Committee made no change in the proposal as published.

\* \* \* \* \*

**PROPOSED AMENDMENTS TO THE FEDERAL  
RULES OF APPELLATE PROCEDURE\***

1 **Rule 6. Appeal in a Bankruptcy Case ~~From a Final~~**  
2 **~~Judgment, Order, or Decree of a District~~**  
3 **~~Court or Bankruptcy Appellate Panel~~**

4 **(a) Appeal From a Judgment, Order, or Decree of a**  
5 **District Court Exercising Original Jurisdiction in a**  
6 **Bankruptcy Case.** An appeal to a court of appeals  
7 from a final judgment, order, or decree of a district  
8 court exercising jurisdiction under 28 U.S.C. § 1334 is  
9 taken as any other civil appeal under these rules.

10 **(b) Appeal From a Judgment, Order, or Decree of a**  
11 **District Court or Bankruptcy Appellate Panel**  
12 **Exercising Appellate Jurisdiction in a Bankruptcy**  
13 **Case.**

14 **(1) Applicability of Other Rules.** These rules  
15 apply to an appeal to a court of appeals under

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\* New material is underlined; matter to be omitted is lined through.

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16 28 U.S.C. § 158(d)~~(1)~~ from a final judgment,  
17 order, or decree of a district court or bankruptcy  
18 appellate panel exercising appellate jurisdiction  
19 under 28 U.S.C. § 158(a) or (b).~~But there are 3~~  
20 exceptions, but with these qualifications:  
21 (A) Rules 4(a)(4), 4(b), 9, 10, 11, ~~12(b)~~12(c),  
22 13-20, 22-23, and 24(b) do not apply;  
23 (B) the reference in Rule 3(c) to “Form 1 in the  
24 Appendix of Forms” must be read as a  
25 reference to Form 5;~~and~~  
26 (C) when the appeal is from a bankruptcy  
27 appellate panel, ~~the term~~ “district court,” as  
28 used in any applicable rule, means  
29 “appellate panel”; and

30            (D) in Rule 12.1, “district court” includes a  
31            bankruptcy court or bankruptcy appellate  
32            panel.

33            (2) **Additional Rules.** In addition to the rules made  
34            applicable by Rule 6(b)(1), the following rules  
35            apply:

36            (A) **Motion for rehearing.**

37            (i) If a timely motion for rehearing under  
38            Bankruptcy Rule ~~8045~~8022 is filed,  
39            the time to appeal for all parties runs  
40            from the entry of the order disposing  
41            of the motion. A notice of appeal filed  
42            after the district court or bankruptcy  
43            appellate panel announces or enters a  
44            judgment, order, or decree – but  
45            before disposition of the motion for

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46 rehearing – becomes effective when  
47 the order disposing of the motion for  
48 rehearing is entered.

49 (ii) ~~Appellate review of~~ If a party intends  
50 to challenge the order disposing of the  
51 motion – or the alteration or  
52 amendment of a judgment, order, or  
53 decree upon the motion –  
54 then requires the party, in compliance  
55 with Rules 3(c) and 6(b)(1)(B), ~~to~~  
56 ~~amend a previously filed notice of~~  
57 ~~appeal. A party intending to challenge~~  
58 ~~an altered or amended judgment,~~  
59 ~~order, or decree~~ must file a notice of  
60 appeal or amended notice of appeal.  
61 The notice or amended notice must be

62                    filed within the time prescribed by  
63                    Rule 4 – excluding Rules 4(a)(4) and  
64                    4(b) – measured from the entry of the  
65                    order disposing of the motion.

66                    (iii) No additional fee is required to file an  
67                    amended notice.

68                    (B) **The ~~r~~Record on aAppeal.**

69                    (i) Within 14 days after filing the notice  
70                    of appeal, the appellant must file with  
71                    the clerk possessing the record  
72                    assembled in accordance with  
73                    Bankruptcy Rule ~~8006~~8009 – and  
74                    serve on the appellee – a statement of  
75                    the issues to be presented on appeal  
76                    and a designation of the record to be

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77 certified and ~~sent~~made available to the  
78 circuit clerk.

79 (ii) An appellee who believes that other  
80 parts of the record are necessary must,  
81 within 14 days after being served with  
82 the appellant's designation, file with  
83 the clerk and serve on the appellant a  
84 designation of additional parts to be  
85 included.

86 (iii) The record on appeal consists of:  
87 • the redesignated record as  
88 provided above;  
89 • the proceedings in the district  
90 court or bankruptcy appellate  
91 panel; and

- 92                           • a certified copy of the docket  
93                           entries prepared by the clerk  
94                           under Rule 3(d).

95                   (C) **Forwarding Making**

96                   **the Record Available.**

- 97                   (i) When the record is complete, the  
98                   district clerk or bankruptcy-appellate-  
99                   panel clerk must number the  
100                   documents constituting the record  
101                   and ~~send~~promptly make it  
102                   available ~~them promptly to the circuit~~  
103                   ~~clerk together with a list of the~~  
104                   ~~documents correspondingly numbered~~  
105                   ~~and reasonably identified~~to the circuit  
106                   ~~clerk. Unless directed to do so by a~~  
107                   ~~party or the circuit clerk~~If the clerk

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108 makes the record available in paper  
109 form, the clerk will not send ~~to the~~  
110 ~~court of appeals~~ documents of unusual  
111 bulk or weight, physical exhibits other  
112 than documents, or other parts of the  
113 record designated for omission by  
114 local rule of the court of appeals,  
115 unless directed to do so by a party or  
116 the circuit clerk. If ~~the exhibits are~~  
117 unusually bulky or heavy exhibits are  
118 to be made available in paper form, a  
119 party must arrange with the clerks in  
120 advance for their transportation and  
121 receipt.

122 (ii) All parties must do whatever else is  
123 necessary to enable the clerk to

124 assemble the record and ~~forward the~~  
 125 ~~record~~ make it available. When the  
 126 record is made available in paper  
 127 form, ~~t~~The court of appeals may  
 128 provide by rule or order that a certified  
 129 copy of the docket entries  
 130 be ~~sent~~ made available in place of the  
 131 redesignated record, ~~b.~~ But any party  
 132 may request at any time during the  
 133 pendency of the appeal that the  
 134 redesignated record be ~~sent~~ made  
 135 available.

136 (D) **Filing the rRecord.** ~~Upon receiving the~~  
 137 ~~record or a certified copy of the docket~~  
 138 ~~entries sent in place of the redesignated~~  
 139 ~~record the circuit clerk must file it and~~

140 ~~immediately notify all parties of the filing~~  
141 ~~date~~When the district clerk or bankruptcy-  
142 appellate-panel clerk has made the record  
143 available, the circuit clerk must note that  
144 fact on the docket. The date noted on the  
145 docket serves as the filing date of the  
146 record. The circuit clerk must immediately  
147 notify all parties of the filing date.

148 **(c) Direct Review by Permission Under 28 U.S.C.**

149 **§ 158(d)(2).**

150 **(1) Applicability of Other Rules.** These rules  
151 apply to a direct appeal by permission under 28  
152 U.S.C. § 158(d)(2), but with these qualifications:  
153 (A) Rules 3-4, 5(a)(3), 6(a), 6(b), 8(a), 8(c), 9-  
154 12, 13-20, 22-23, and 24(b) do not apply;

155           (B) as used in any applicable rule, “district  
156                     court” or “district clerk” includes – to the  
157                     extent appropriate – a bankruptcy court or  
158                     bankruptcy appellate panel or its clerk; and  
159           (C) the reference to “Rules 11 and 12(c)” in  
160                     Rule 5(d)(3) must be read as a reference to  
161                     Rules 6(c)(2)(B) and (C).

162           (2) **Additional Rules.** In addition, the following  
163                     rules apply:

164           (A) **The Record on Appeal.** Bankruptcy  
165                     Rule 8009 governs the record on appeal.

166           (B) **Making the Record Available.**  
167                     Bankruptcy Rule 8010 governs completing  
168                     the record and making it available.

169           (C) **Stays Pending Appeal.** Bankruptcy  
170                     Rule 8007 applies to stays pending appeal.

171                    **(D) Duties of the Circuit Clerk.** When the  
172                    bankruptcy clerk has made the record  
173                    available, the circuit clerk must note that  
174                    fact on the docket. The date noted on the  
175                    docket serves as the filing date of the  
176                    record. The circuit clerk must immediately  
177                    notify all parties of the filing date.

178                    **(E) Filing a Representation Statement.**  
179                    Unless the court of appeals designates  
180                    another time, within 14 days after entry of  
181                    the order granting permission to appeal, the  
182                    attorney who sought permission must file a  
183                    statement with the circuit clerk naming the  
184                    parties that the attorney represents on  
185                    appeal.

### Committee Note

**Subdivision (b)(1).** Subdivision (b)(1) is updated to reflect the renumbering of 28 U.S.C. § 158(d) as 28 U.S.C. § 158(d)(1). Subdivision (b)(1)(A) is updated to reflect the renumbering of Rule 12(b) as Rule 12(c). New subdivision (b)(1)(D) provides that references in Rule 12.1 to the “district court” include – as appropriate – a bankruptcy court or bankruptcy appellate panel.

**Subdivision (b)(2).** Subdivision (b)(2)(A)(i) is amended to refer to Bankruptcy Rule 8022 (in accordance with the renumbering of Part VIII of the Bankruptcy Rules).

Subdivision (b)(2)(A)(ii) is amended to address problems that stemmed from the adoption — during the 1998 restyling project — of language referring to challenges to “an altered or amended judgment, order, or decree.” Current Rule 6(b)(2)(A)(ii) states that “[a] party intending to challenge an altered or amended judgment, order, or decree must file a notice of appeal or amended notice of appeal ....” Before the 1998 restyling, the comparable subdivision of Rule 6 instead read “[a] party intending to challenge an alteration or amendment of the judgment, order, or decree shall file an amended notice of appeal ....” The 1998 restyling made a similar change in Rule 4(a)(4). One court has explained that the 1998 amendment introduced ambiguity into that Rule: “The new formulation could be read to expand the obligation to file an amended notice to circumstances where the ruling on the post-trial motion alters the prior judgment in an

insignificant manner or in a manner favorable to the appellant, even though the appeal is not directed against the alteration of the judgment.” *Sorensen v. City of New York*, 413 F.3d 292, 296 n.2 (2d Cir. 2005). Though the *Sorensen* court was writing of Rule 4(a)(4), a similar concern arises with respect to Rule 6(b)(2)(A)(ii). Rule 4(a)(4) was amended in 2009 to remove the ambiguity identified by the *Sorensen* court. The current amendment follows suit by removing Rule 6(b)(2)(A)(ii)’s reference to challenging “an altered or amended judgment, order, or decree,” and referring instead to challenging “the alteration or amendment of a judgment, order, or decree.”

Subdivision (b)(2)(B)(i) is amended to refer to Rule 8009 (in accordance with the renumbering of Part VIII of the Bankruptcy Rules).

Due to the shift to electronic filing, in some appeals the record will no longer be transmitted in paper form. Subdivisions (b)(2)(B)(i), (b)(2)(C), and (b)(2)(D) are amended to reflect the fact that the record sometimes will be made available electronically.

Subdivision (b)(2)(D) sets the duties of the circuit clerk when the record has been made available. Because the record may be made available in electronic form, subdivision (b)(2)(D) does not direct the clerk to “file” the record. Rather, it directs the clerk to note on the docket the date when the record was made available and to notify the parties of that date, which shall serve as the date of filing the record for purposes of provisions in these Rules that calculate time from that filing date.

**Subdivision (c).** New subdivision (c) is added to govern permissive direct appeals from the bankruptcy court to the court of appeals under 28 U.S.C. § 158(d)(2). For further provisions governing such direct appeals, see Bankruptcy Rule 8006.

**Subdivision (c)(1).** Subdivision (c)(1) provides for the general applicability of the Federal Rules of Appellate Procedure, with specified exceptions, to appeals covered by subdivision (c) and makes necessary word adjustments.

**Subdivision (c)(2).** Subdivision (c)(2)(A) provides that the record on appeal is governed by Bankruptcy Rule 8009. Subdivision (c)(2)(B) provides that the record shall be made available as stated in Bankruptcy Rule 8010. Subdivision (c)(2)(C) provides that Bankruptcy Rule 8007 applies to stays pending appeal; in addition, Appellate Rule 8(b) applies to sureties on bonds provided in connection with stays pending appeal.

Subdivision (c)(2)(D), like subdivision (b)(2)(D), directs the clerk to note on the docket the date when the record was made available and to notify the parties of that date, which shall serve as the date of filing the record for purposes of provisions in these Rules that calculate time from that filing date.

Subdivision (c)(2)(E) is modeled on Rule 12(b), with appropriate adjustments.

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**Changes Made After Publication and Comment**

No changes were made after publication and comment.

Supreme Court of the United States  
Washington, D. C. 20543

CHAMBERS OF  
THE CHIEF JUSTICE

April 25, 2014

Honorable John A. Boehner  
Speaker of the House of Representatives  
Washington, D.C. 20515

Dear Mr. Speaker:

I have the honor to submit to the Congress the amendments to the Federal Rules of Bankruptcy Procedure that have been adopted by the Supreme Court of the United States pursuant to Section 2075 of Title 28, United States Code.

Accompanying these rules are excerpts from the Report of the Committee on Rules of Practice and Procedure to the Judicial Conference of the United States containing the Committee Notes submitted to the Court for its consideration pursuant to Section 331 of Title 28, United States Code.

Sincerely,

/s/ John G. Roberts

Supreme Court of the United States  
Washington, D. C. 20543

CHAMBERS OF  
THE CHIEF JUSTICE

April 25, 2014

Honorable Joseph R. Biden, Jr.  
President, United States Senate  
Washington, D.C. 20510

Dear Mr. President:

I have the honor to submit to the Congress the amendments to the Federal Rules of Bankruptcy Procedure that have been adopted by the Supreme Court of the United States pursuant to Section 2075 of Title 28, United States Code.

Accompanying these rules are excerpts from the Report of the Committee on Rules of Practice and Procedure to the Judicial Conference of the United States containing the Committee Notes submitted to the Court for its consideration pursuant to Section 331 of Title 28, United States Code.

Sincerely,

/s/ John G. Roberts

April 25, 2014

SUPREME COURT OF THE UNITED STATES

ORDERED:

1. That the Federal Rules of Bankruptcy Procedure be, and they hereby are, amended by including therein amendments to Bankruptcy Rules 1014, 7004, 7008, 7054, 8001–8028, 9023, and 9024.

[See infra., pp. — — —.]

2. That the foregoing amendments to the Federal Rules of Bankruptcy Procedure shall take effect on December 1, 2014, and shall govern in all proceedings in bankruptcy cases thereafter commenced and, insofar as just and practicable, all proceedings then pending.

3. That THE CHIEF JUSTICE be, and hereby is, authorized to transmit to the Congress the foregoing amendments to the Federal Rules of Bankruptcy Procedure in accordance with the provisions of Section 2075 of Title 28, United States Code.

**PROPOSED AMENDMENTS TO THE FEDERAL  
RULES OF BANKRUPTCY PROCEDURE**

**Rule 1014. Dismissal and Change of Venue**

\* \* \* \* \*

(b) PROCEDURE WHEN PETITIONS INVOLVING THE SAME DEBTOR OR RELATED DEBTORS ARE FILED IN DIFFERENT COURTS. If petitions commencing cases under the Code or seeking recognition under chapter 15 are filed in different districts by, regarding, or against (1) the same debtor, (2) a partnership and one or more of its general partners, (3) two or more general partners, or (4) a debtor and an affiliate, the court in the district in which the first-filed petition is pending may determine, in the interest of justice or for the convenience of the parties, the district or districts in which any of the cases should proceed. The court may so determine on motion and after a hearing, with notice to the

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following entities in the affected cases: the United States trustee, entities entitled to notice under Rule 2002(a), and other entities as the court directs. The court may order the parties to the later-filed cases not to proceed further until it makes the determination.

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

\* \* \* \* \*

(e) SUMMONS: TIME LIMIT FOR SERVICE WITHIN THE UNITED STATES. Service made under Rule 4(e), (g), (h)(1), (i), or (j)(2) F.R.Civ.P. shall be by delivery of the summons and complaint within 7 days after the summons is issued. If service is by any authorized form of mail, the summons and complaint shall be deposited in the mail within 7 days after the summons is issued. If a summons is not timely delivered or mailed, another summons will be issued for service. This subdivision does not apply to service in a foreign country.

\* \* \* \* \*

**Rule 7008. General Rules of Pleading**

Rule 8 F.R.Civ.P. applies in adversary proceedings. The allegation of jurisdiction required by Rule 8(a) shall also contain a reference to the name, number, and chapter of the case under the Code to which the adversary proceeding relates and to the district and division where the case under the Code is pending. In an adversary proceeding before a bankruptcy judge, the complaint, counterclaim, cross-claim, or third-party complaint shall contain a statement that the proceeding is core or non-core and, if non-core, that the pleader does or does not consent to entry of final orders or judgment by the bankruptcy judge.

**Rule 7054. Judgments; Costs**

(a) JUDGMENTS. Rule 54(a)-(c) F.R.Civ.P. applies in adversary proceedings.

(b) COSTS; ATTORNEY'S FEES.

(1) *Costs Other Than Attorney's Fees.* The court may allow costs to the prevailing party except when a statute of the United States or these rules otherwise provides. Costs against the United States, its officers and agencies shall be imposed only to the extent permitted by law. Costs may be taxed by the clerk on 14 days' notice; on motion served within seven days thereafter, the action of the clerk may be reviewed by the court.

(2) *Attorney's Fees.*

(A) Rule 54(d)(2)(A)-(C) and (E) F.R.Civ.P. applies in adversary proceedings

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except for the reference in Rule 54(d)(2)(C) to Rule 78.

(B) By local rule, the court may establish special procedures to resolve fee-related issues without extensive evidentiary hearings.

**Rule 9023. New Trials; Amendment of Judgments**

Except as provided in this rule and Rule 3008, Rule 59 F.R.Civ.P. applies in cases under the Code. A motion for a new trial or to alter or amend a judgment shall be filed, and a court may on its own order a new trial, no later than 14 days after entry of judgment. In some circumstances, Rule 8008 governs post-judgment motion practice after an appeal has been docketed and is pending.

**Rule 9024. Relief from Judgment or Order**

Rule 60 F.R.Civ.P. applies in cases under the Code except that (1) a motion to reopen a case under the Code or for the reconsideration of an order allowing or disallowing a claim against the estate entered without a contest is not subject to the one year limitation prescribed in Rule 60(c), (2) a complaint to revoke a discharge in a chapter 7 liquidation case may be filed only within the time allowed by § 727(e) of the Code, and (3) a complaint to revoke an order confirming a plan may be filed only within the time allowed by § 1144, § 1230, or § 1330. In some circumstances, Rule 8008 governs post-judgment motion practice after an appeal has been docketed and is pending.

**Rule 8001. Scope of Part VIII Rules; Definition of “BAP”; Method of Transmission**

(a) GENERAL SCOPE. These Part VIII rules govern the procedure in a United States district court and a bankruptcy appellate panel on appeal from a judgment, order, or decree of a bankruptcy court. They also govern certain procedures on appeal to a United States court of appeals under 28 U.S.C. § 158(d).

(b) DEFINITION OF “BAP.” “BAP” means a bankruptcy appellate panel established by a circuit’s judicial council and authorized to hear appeals from a bankruptcy court under 28 U.S.C. § 158.

(c) METHOD OF TRANSMITTING DOCUMENTS. A document must be sent electronically under these Part VIII rules, unless it is being sent by or to an individual who is not represented by counsel or the

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court's governing rules permit or require mailing or other means of delivery.

**Rule 8002. Time for Filing Notice of Appeal**

(a) IN GENERAL.

(1) *Fourteen-Day Period.* Except as provided in subdivisions (b) and (c), a notice of appeal must be filed with the bankruptcy clerk within 14 days after entry of the judgment, order, or decree being appealed.

(2) *Filing Before the Entry of Judgment.* A notice of appeal filed after the bankruptcy court announces a decision or order—but before entry of the judgment, order, or decree—is treated as filed on the date of and after the entry.

(3) *Multiple Appeals.* If one party files a timely notice of appeal, any other party may file a notice of appeal within 14 days after the date when the first notice was filed, or within the time otherwise allowed by this rule, whichever period ends later.

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(4) *Mistaken Filing in Another Court.* If a notice of appeal is mistakenly filed in a district court, BAP, or court of appeals, the clerk of that court must state on the notice the date on which it was received and transmit it to the bankruptcy clerk. The notice of appeal is then considered filed in the bankruptcy court on the date so stated.

(b) EFFECT OF A MOTION ON THE TIME TO APPEAL.

(1) *In General.* If a party timely files in the bankruptcy court any of the following motions, the time to file an appeal runs for all parties from the entry of the order disposing of the last such remaining motion:

(A) to amend or make additional findings under Rule 7052, whether or not granting the motion would alter the judgment;

(B) to alter or amend the judgment under Rule 9023;

(C) for a new trial under Rule 9023; or

(D) for relief under Rule 9024 if the motion is filed within 14 days after the judgment is entered.

(2) *Filing an Appeal Before the Motion is Decided.* If a party files a notice of appeal after the court announces or enters a judgment, order, or decree—but before it disposes of any motion listed in subdivision (b)(1)—the notice becomes effective when the order disposing of the last such remaining motion is entered.

(3) *Appealing the Ruling on the Motion.* If a party intends to challenge an order disposing of any motion listed in subdivision (b)(1)—or the alteration or amendment of a judgment, order, or decree upon

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the motion—the party must file a notice of appeal or an amended notice of appeal. The notice or amended notice must comply with Rule 8003 or 8004 and be filed within the time prescribed by this rule, measured from the entry of the order disposing of the last such remaining motion.

(4) *No Additional Fee.* No additional fee is required to file an amended notice of appeal.

(c) APPEAL BY AN INMATE CONFINED IN AN INSTITUTION.

(1) *In General.* If an inmate confined in an institution files a notice of appeal from a judgment, order, or decree of a bankruptcy court, the notice is timely if it is deposited in the institution's internal mail system on or before the last day for filing. If the institution has a system designed for legal mail, the inmate must use that system to receive the benefit of

this rule. Timely filing may be shown by a declaration in compliance with 28 U.S.C. § 1746 or by a notarized statement, either of which must set forth the date of deposit and state that first-class postage has been prepaid.

(2) *Multiple Appeals.* If an inmate files under this subdivision the first notice of appeal, the 14-day period provided in subdivision (a)(3) for another party to file a notice of appeal runs from the date when the bankruptcy clerk docketed the first notice.

(d) EXTENDING THE TIME TO APPEAL.

(1) *When the Time May be Extended.* Except as provided in subdivision (d)(2), the bankruptcy court may extend the time to file a notice of appeal upon a party's motion that is filed:

(A) within the time prescribed by this rule;

or

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(B) within 21 days after that time, if the party shows excusable neglect.

(2) *When the Time May Not be Extended.* The bankruptcy court may not extend the time to file a notice of appeal if the judgment, order, or decree appealed from:

(A) grants relief from an automatic stay under § 362, 922, 1201, or 1301 of the Code;

(B) authorizes the sale or lease of property or the use of cash collateral under § 363 of the Code;

(C) authorizes the obtaining of credit under § 364 of the Code;

(D) authorizes the assumption or assignment of an executory contract or unexpired lease under § 365 of the Code;

(E) approves a disclosure statement under § 1125 of the Code; or

(F) confirms a plan under § 943, 1129, 1225, or 1325 of the Code.

(3) *Time Limits on an Extension.* No extension of time may exceed 21 days after the time prescribed by this rule, or 14 days after the order granting the motion to extend time is entered, whichever is later.

**Rule 8003. Appeal as of Right—How Taken;  
Docketing the Appeal**

(a) FILING THE NOTICE OF APPEAL.

(1) *In General.* An appeal from a judgment, order, or decree of a bankruptcy court to a district court or BAP under 28 U.S.C. § 158(a)(1) or (a)(2) may be taken only by filing a notice of appeal with the bankruptcy clerk within the time allowed by Rule 8002.

(2) *Effect of Not Taking Other Steps.* An appellant's failure to take any step other than the timely filing of a notice of appeal does not affect the validity of the appeal, but is ground only for the district court or BAP to act as it considers appropriate, including dismissing the appeal.

(3) *Contents.* The notice of appeal must:

(A) conform substantially to the appropriate Official Form;

(B) be accompanied by the judgment, order, or decree, or the part of it, being appealed; and

(C) be accompanied by the prescribed fee.

(4) *Additional Copies.* If requested to do so, the appellant must furnish the bankruptcy clerk with enough copies of the notice to enable the clerk to comply with subdivision (c).

(b) JOINT OR CONSOLIDATED APPEALS.

(1) *Joint Notice of Appeal.* When two or more parties are entitled to appeal from a judgment, order, or decree of a bankruptcy court and their interests make joinder practicable, they may file a joint notice of appeal. They may then proceed on appeal as a single appellant.

(2) *Consolidating Appeals.* When parties have separately filed timely notices of appeal, the district court or BAP may join or consolidate the appeals.

(c) SERVING THE NOTICE OF APPEAL.

(1) *Serving Parties and Transmitting to the United States Trustee.* The bankruptcy clerk must serve the notice of appeal on counsel of record for each party to the appeal, excluding the appellant, and transmit it to the United States trustee. If a party is proceeding pro se, the clerk must send the notice of appeal to the party's last known address. The clerk must note, on each copy, the date when the notice of appeal was filed.

(2) *Effect of Failing to Serve or Transmit Notice.* The bankruptcy clerk's failure to serve notice on a party or transmit notice to the United States trustee does not affect the validity of the appeal.

(3) *Noting Service on the Docket.* The clerk must note on the docket the names of the parties served and the date and method of the service.

(d) TRANSMITTING THE NOTICE OF APPEAL TO THE DISTRICT COURT OR BAP; DOCKETING THE APPEAL.

(1) *Transmitting the Notice.* The bankruptcy clerk must promptly transmit the notice of appeal to the BAP clerk if a BAP has been established for appeals from that district and the appellant has not elected to have the district court hear the appeal. Otherwise, the bankruptcy clerk must promptly transmit the notice to the district clerk.

(2) *Docketing in the District Court or BAP.* Upon receiving the notice of appeal, the district or BAP clerk must docket the appeal under the title of the bankruptcy case and the title of any adversary

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proceeding, and must identify the appellant, adding the appellant's name if necessary.

**Rule 8004. Appeal by Leave—How Taken; Docketing the Appeal**

(a) NOTICE OF APPEAL AND MOTION FOR LEAVE TO APPEAL. To appeal from an interlocutory order or decree of a bankruptcy court under 28 U.S.C. § 158(a)(3), a party must file with the bankruptcy clerk a notice of appeal as prescribed by Rule 8003(a). The notice must:

(1) be filed within the time allowed by Rule 8002;

(2) be accompanied by a motion for leave to appeal prepared in accordance with subdivision (b); and

(3) unless served electronically using the court's transmission equipment, include proof of service in accordance with Rule 8011(d).

(b) CONTENTS OF THE MOTION; RESPONSE.

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(1) *Contents.* A motion for leave to appeal under 28 U.S.C. § 158(a)(3) must include the following:

(A) the facts necessary to understand the question presented;

(B) the question itself;

(C) the relief sought;

(D) the reasons why leave to appeal should be granted; and

(E) a copy of the interlocutory order or decree and any related opinion or memorandum.

(2) *Response.* A party may file with the district or BAP clerk a response in opposition or a cross-motion within 14 days after the motion is served.

(c) TRANSMITTING THE NOTICE OF APPEAL AND THE MOTION; DOCKETING THE APPEAL; DETERMINING THE MOTION.

(1) *Transmitting to the District Court or BAP.*

The bankruptcy clerk must promptly transmit the notice of appeal and the motion for leave to the BAP clerk if a BAP has been established for appeals from that district and the appellant has not elected to have the district court hear the appeal. Otherwise, the bankruptcy clerk must promptly transmit the notice and motion to the district clerk.

(2) *Docketing in the District Court or BAP.*

Upon receiving the notice and motion, the district or BAP clerk must docket the appeal under the title of the bankruptcy case and the title of any adversary proceeding, and must identify the appellant, adding the appellant's name if necessary.

(3) *Oral Argument Not Required.* The motion and any response or cross-motion are submitted

without oral argument unless the district court or BAP orders otherwise.

(d) FAILURE TO FILE A MOTION WITH A NOTICE OF APPEAL. If an appellant timely files a notice of appeal under this rule but does not include a motion for leave, the district court or BAP may order the appellant to file a motion for leave, or treat the notice of appeal as a motion for leave and either grant or deny it. If the court orders that a motion for leave be filed, the appellant must do so within 14 days after the order is entered, unless the order provides otherwise.

(e) DIRECT APPEAL TO A COURT OF APPEALS. If leave to appeal an interlocutory order or decree is required under 28 U.S.C. § 158(a)(3), an authorization of a direct appeal by the court of appeals under 28 U.S.C. § 158(d)(2) satisfies the requirement.

**Rule 8005. Election to Have an Appeal Heard by the District Court Instead of the BAP**

(a) FILING OF A STATEMENT OF ELECTION.

To elect to have an appeal heard by the district court, a party must:

(1) file a statement of election that conforms substantially to the appropriate Official Form; and

(2) do so within the time prescribed by 28 U.S.C. § 158(c)(1).

(b) TRANSMITTING THE DOCUMENTS RELATED TO THE APPEAL. Upon receiving an appellant's timely statement of election, the bankruptcy clerk must transmit to the district clerk all documents related to the appeal. Upon receiving a timely statement of election by a party other than the appellant, the BAP clerk must transmit to the district clerk all documents related to

the appeal and notify the bankruptcy clerk of the transmission.

(c) DETERMINING THE VALIDITY OF AN ELECTION. A party seeking a determination of the validity of an election must file a motion in the court where the appeal is then pending. The motion must be filed within 14 days after the statement of election is filed.

(d) MOTION FOR LEAVE WITHOUT A NOTICE OF APPEAL—EFFECT ON THE TIMING OF AN ELECTION. If an appellant moves for leave to appeal under Rule 8004 but fails to file a separate notice of appeal with the motion, the motion must be treated as a notice of appeal for purposes of determining the timeliness of a statement of election.

**Rule 8006. Certifying a Direct Appeal to the Court of Appeals**

(a) EFFECTIVE DATE OF A CERTIFICATION.

A certification of a judgment, order, or decree of a bankruptcy court for direct review in a court of appeals under 28 U.S.C. § 158(d)(2) is effective when:

(1) the certification has been filed;

(2) a timely appeal has been taken under Rule 8003 or 8004; and

(3) the notice of appeal has become effective under Rule 8002.

(b) FILING THE CERTIFICATION. The

certification must be filed with the clerk of the court where the matter is pending. For purposes of this rule, a matter remains pending in the bankruptcy court for 30 days after the effective date under Rule 8002 of the first notice of appeal from the judgment, order, or decree for which direct

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review is sought. A matter is pending in the district court or BAP thereafter.

(c) JOINT CERTIFICATION BY ALL APPELLANTS AND APPELLEES. A joint certification by all the appellants and appellees under 28 U.S.C. § 158(d)(2)(A) must be made by using the appropriate Official Form. The parties may supplement the certification with a short statement of the basis for the certification, which may include the information listed in subdivision (f)(2).

(d) THE COURT THAT MAY MAKE THE CERTIFICATION. Only the court where the matter is pending, as provided in subdivision (b), may certify a direct review on request of parties or on its own motion.

(e) CERTIFICATION ON THE COURT'S OWN MOTION.

(1) *How Accomplished.* A certification on the court's own motion must be set forth in a separate document. The clerk of the certifying court must serve it on the parties to the appeal in the manner required for service of a notice of appeal under Rule 8003(c)(1). The certification must be accompanied by an opinion or memorandum that contains the information required by subdivision (f)(2)(A)-(D).

(2) *Supplemental Statement by a Party.* Within 14 days after the court's certification, a party may file with the clerk of the certifying court a short supplemental statement regarding the merits of certification.

(f) CERTIFICATION BY THE COURT ON REQUEST.

(1) *How Requested.* A request by a party for certification that a circumstance specified in 28 U.S.C.

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§158(d)(2)(A)(i)-(iii) applies—or a request by a majority of the appellants and a majority of the appellees—must be filed with the clerk of the court where the matter is pending within 60 days after the entry of the judgment, order, or decree.

(2) *Service and Contents.* The request must be served on all parties to the appeal in the manner required for service of a notice of appeal under Rule 8003(c)(1), and it must include the following:

- (A) the facts necessary to understand the question presented;
- (B) the question itself;
- (C) the relief sought;
- (D) the reasons why the direct appeal should be allowed, including which circumstance specified in 28 U.S.C. § 158(d)(2)(A)(i)-(iii) applies; and

(E) a copy of the judgment, order, or decree and any related opinion or memorandum.

(3) *Time to File a Response or a Cross-Request.* A party may file a response to the request within 14 days after the request is served, or such other time as the court where the matter is pending allows. A party may file a cross-request for certification within 14 days after the request is served, or within 60 days after the entry of the judgment, order, or decree, whichever occurs first.

(4) *Oral Argument Not Required.* The request, cross-request, and any response are submitted without oral argument unless the court where the matter is pending orders otherwise.

(5) *Form and Service of the Certification.* If the court certifies a direct appeal in response to the request, it must do so in a separate document. The

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certification must be served on the parties to the appeal in the manner required for service of a notice of appeal under Rule 8003(c)(1).

(g) PROCEEDING IN THE COURT OF APPEALS FOLLOWING A CERTIFICATION. Within 30 days after the date the certification becomes effective under subdivision (a), a request for permission to take a direct appeal to the court of appeals must be filed with the circuit clerk in accordance with F.R.App.P. 6(c).

**Rule 8007. Stay Pending Appeal; Bonds; Suspension of Proceedings**

(a) INITIAL MOTION IN THE BANKRUPTCY COURT.

(1) *In General.* Ordinarily, a party must move first in the bankruptcy court for the following relief:

(A) a stay of a judgment, order, or decree of the bankruptcy court pending appeal;

(B) the approval of a supersedeas bond;

(C) an order suspending, modifying, restoring, or granting an injunction while an appeal is pending; or

(D) the suspension or continuation of proceedings in a case or other relief permitted by subdivision (e).

(2) *Time to File.* The motion may be made either before or after the notice of appeal is filed.

(b) MOTION IN THE DISTRICT COURT, THE BAP, OR THE COURT OF APPEALS ON DIRECT APPEAL.

(1) *Request for Relief.* A motion for the relief specified in subdivision (a)(1)—or to vacate or modify a bankruptcy court’s order granting such relief—may be made in the court where the appeal is pending.

(2) *Showing or Statement Required.* The motion must:

(A) show that moving first in the bankruptcy court would be impracticable; or

(B) if a motion was made in the bankruptcy court, either state that the court has not yet ruled on the motion, or state that the court has ruled and set out any reasons given for the ruling.

(3) *Additional Content.* The motion must also include:

(A) the reasons for granting the relief requested and the facts relied upon;

(B) affidavits or other sworn statements supporting facts subject to dispute; and

(C) relevant parts of the record.

(4) *Serving Notice.* The movant must give reasonable notice of the motion to all parties.

(c) FILING A BOND OR OTHER SECURITY.

The district court, BAP, or court of appeals may condition relief on filing a bond or other appropriate security with the bankruptcy court.

(d) BOND FOR A TRUSTEE OR THE UNITED STATES. The court may require a trustee to file a bond or other appropriate security when the trustee appeals. A bond or other security is not required when an appeal is

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taken by the United States, its officer, or its agency or by direction of any department of the federal government.

(e) CONTINUATION OF PROCEEDINGS IN THE BANKRUPTCY COURT. Despite Rule 7062 and subject to the authority of the district court, BAP, or court of appeals, the bankruptcy court may:

(1) suspend or order the continuation of other proceedings in the case; or

(2) issue any other appropriate orders during the pendency of an appeal to protect the rights of all parties in interest.

**Rule 8008. Indicative Rulings**

(a) RELIEF PENDING APPEAL. If a party files a timely motion in the bankruptcy court for relief that the court lacks authority to grant because of an appeal that has been docketed and is pending, the bankruptcy court may:

- (1) defer considering the motion;
- (2) deny the motion; or
- (3) state that the court would grant the motion if the court where the appeal is pending remands for that purpose, or state that the motion raises a substantial issue.

(b) NOTICE TO THE COURT WHERE THE APPEAL IS PENDING. The movant must promptly notify the clerk of the court where the appeal is pending if the bankruptcy court states that it would grant the motion or that the motion raises a substantial issue.

(c) REMAND AFTER AN INDICATIVE RULING.

If the bankruptcy court states that it would grant the motion or that the motion raises a substantial issue, the district court or BAP may remand for further proceedings, but it retains jurisdiction unless it expressly dismisses the appeal. If the district court or BAP remands but retains jurisdiction, the parties must promptly notify the clerk of that court when the bankruptcy court has decided the motion on remand.

**Rule 8009. Record on Appeal; Sealed Documents**

(a) DESIGNATING THE RECORD ON APPEAL;  
STATEMENT OF THE ISSUES.

(1) *Appellant.*

(A) The appellant must file with the bankruptcy clerk and serve on the appellee a designation of the items to be included in the record on appeal and a statement of the issues to be presented.

(B) The appellant must file and serve the designation and statement within 14 days after:

(i) the appellant's notice of appeal as of right becomes effective under Rule 8002; or

(ii) an order granting leave to appeal is entered.

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A designation and statement served prematurely must be treated as served on the first day on which filing is timely.

(2) *Appellee and Cross-Appellant.* Within 14 days after being served, the appellee may file with the bankruptcy clerk and serve on the appellant a designation of additional items to be included in the record. An appellee who files a cross-appeal must file and serve a designation of additional items to be included in the record and a statement of the issues to be presented on the cross-appeal.

(3) *Cross-Appellee.* Within 14 days after service of the cross-appellant's designation and statement, a cross-appellee may file with the bankruptcy clerk and serve on the cross-appellant a designation of additional items to be included in the record.

(4) *Record on Appeal.* The record on appeal must include the following:

- docket entries kept by the bankruptcy clerk;
- items designated by the parties;
- the notice of appeal;
- the judgment, order, or decree being appealed;
- any order granting leave to appeal;
- any certification required for a direct appeal to the court of appeals;
- any opinion, findings of fact, and conclusions of law relating to the issues on appeal, including transcripts of all oral rulings;
- any transcript ordered under subdivision (b);

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- any statement required by subdivision (c); and

- any additional items from the record that the court where the appeal is pending orders.

(5) *Copies for the Bankruptcy Clerk.* If paper copies are needed, a party filing a designation of items must provide a copy of any of those items that the bankruptcy clerk requests. If the party fails to do so, the bankruptcy clerk must prepare the copy at the party's expense.

(b) TRANSCRIPT OF PROCEEDINGS.

(1) *Appellant's Duty to Order.* Within the time period prescribed by subdivision (a)(1), the appellant must:

(A) order in writing from the reporter, as defined in Rule 8010(a)(1), a transcript of such parts of the proceedings not already on file as the

appellant considers necessary for the appeal, and file a copy of the order with the bankruptcy clerk; or

(B) file with the bankruptcy clerk a certificate stating that the appellant is not ordering a transcript.

(2) *Cross-Appellant's Duty to Order.* Within 14 days after the appellant files a copy of the transcript order or a certificate of not ordering a transcript, the appellee as cross-appellant must:

(A) order in writing from the reporter, as defined in Rule 8010(a)(1), a transcript of such additional parts of the proceedings as the cross-appellant considers necessary for the appeal, and file a copy of the order with the bankruptcy clerk; or

(B) file with the bankruptcy clerk a certificate stating that the cross-appellant is not ordering a transcript.

(3) *Appellee's or Cross-Appellee's Right to Order.* Within 14 days after the appellant or cross-appellant files a copy of a transcript order or certificate of not ordering a transcript, the appellee or cross-appellee may order in writing from the reporter a transcript of such additional parts of the proceedings as the appellee or cross-appellee considers necessary for the appeal. A copy of the order must be filed with the bankruptcy clerk.

(4) *Payment.* At the time of ordering, a party must make satisfactory arrangements with the reporter for paying the cost of the transcript.

(5) *Unsupported Finding or Conclusion.* If the appellant intends to argue on appeal that a finding or

conclusion is unsupported by the evidence or is contrary to the evidence, the appellant must include in the record a transcript of all relevant testimony and copies of all relevant exhibits.

(c) STATEMENT OF THE EVIDENCE WHEN A TRANSCRIPT IS UNAVAILABLE. If a transcript of a hearing or trial is unavailable, the appellant may prepare a statement of the evidence or proceedings from the best available means, including the appellant's recollection. The statement must be filed within the time prescribed by subdivision (a)(1) and served on the appellee, who may serve objections or proposed amendments within 14 days after being served. The statement and any objections or proposed amendments must then be submitted to the bankruptcy court for settlement and approval. As settled and approved, the statement must be included by the bankruptcy clerk in the record on appeal.

(d) **AGREED STATEMENT AS THE RECORD ON APPEAL.** Instead of the record on appeal as defined in subdivision (a), the parties may prepare, sign, and submit to the bankruptcy court a statement of the case showing how the issues presented by the appeal arose and were decided in the bankruptcy court. The statement must set forth only those facts alleged and proved or sought to be proved that are essential to the court's resolution of the issues. If the statement is accurate, it—together with any additions that the bankruptcy court may consider necessary to a full presentation of the issues on appeal—must be approved by the bankruptcy court and must then be certified to the court where the appeal is pending as the record on appeal. The bankruptcy clerk must then transmit it to the clerk of that court within the time provided by Rule 8010. A copy of the agreed statement may be filed in place of the appendix

required by Rule 8018(b) or, in the case of a direct appeal to the court of appeals, by F.R.App.P. 30.

(e) CORRECTING OR MODIFYING THE RECORD.

(1) *Submitting to the Bankruptcy Court.* If any difference arises about whether the record accurately discloses what occurred in the bankruptcy court, the difference must be submitted to and settled by the bankruptcy court and the record conformed accordingly. If an item has been improperly designated as part of the record on appeal, a party may move to strike that item.

(2) *Correcting in Other Ways.* If anything material to either party is omitted from or misstated in the record by error or accident, the omission or misstatement may be corrected, and a supplemental record may be certified and transmitted:

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(A) on stipulation of the parties;

(B) by the bankruptcy court before or after the record has been forwarded; or

(C) by the court where the appeal is pending.

(3) *Remaining Questions.* All other questions as to the form and content of the record must be presented to the court where the appeal is pending.

(f) **SEALED DOCUMENTS.** A document placed under seal by the bankruptcy court may be designated as part of the record on appeal. In doing so, a party must identify it without revealing confidential or secret information, but the bankruptcy clerk must not transmit it to the clerk of the court where the appeal is pending as part of the record. Instead, a party must file a motion with the court where the appeal is pending to accept the document under seal. If the motion is granted, the movant must

notify the bankruptcy court of the ruling, and the bankruptcy clerk must promptly transmit the sealed document to the clerk of the court where the appeal is pending.

(g) OTHER NECESSARY ACTIONS. All parties to an appeal must take any other action necessary to enable the bankruptcy clerk to assemble and transmit the record.

**Rule 8010. Completing and Transmitting the Record**

(a) REPORTER'S DUTIES.

(1) *Proceedings Recorded Without a Reporter Present.* If proceedings were recorded without a reporter being present, the person or service selected under bankruptcy court procedures to transcribe the recording is the reporter for purposes of this rule.

(2) *Preparing and Filing the Transcript.* The reporter must prepare and file a transcript as follows:

(A) Upon receiving an order for a transcript in accordance with Rule 8009(b), the reporter must file in the bankruptcy court an acknowledgment of the request that shows when it was received, and when the reporter expects to have the transcript completed.

(B) After completing the transcript, the reporter must file it with the bankruptcy clerk,

who will notify the district, BAP, or circuit clerk of its filing.

(C) If the transcript cannot be completed within 30 days after receiving the order, the reporter must request an extension of time from the bankruptcy clerk. The clerk must enter on the docket and notify the parties whether the extension is granted.

(D) If the reporter does not file the transcript on time, the bankruptcy clerk must notify the bankruptcy judge.

(b) CLERK'S DUTIES.

(1) *Transmitting the Record—In General.* Subject to Rule 8009(f) and subdivision (b)(5) of this rule, when the record is complete, the bankruptcy clerk must transmit to the clerk of the court where the

appeal is pending either the record or a notice that the record is available electronically.

(2) *Multiple Appeals.* If there are multiple appeals from a judgment, order, or decree, the bankruptcy clerk must transmit a single record.

(3) *Receiving the Record.* Upon receiving the record or notice that it is available electronically, the district, BAP, or circuit clerk must enter that information on the docket and promptly notify all parties to the appeal.

(4) *If Paper Copies Are Ordered.* If the court where the appeal is pending directs that paper copies of the record be provided, the clerk of that court must so notify the appellant. If the appellant fails to provide them, the bankruptcy clerk must prepare them at the appellant's expense.

(5) *When Leave to Appeal is Requested.*

Subject to subdivision (c), if a motion for leave to appeal has been filed under Rule 8004, the bankruptcy clerk must prepare and transmit the record only after the district court, BAP, or court of appeals grants leave.

(c) RECORD FOR A PRELIMINARY MOTION IN THE DISTRICT COURT, BAP, OR COURT OF APPEALS. This subdivision (c) applies if, before the record is transmitted, a party moves in the district court, BAP, or court of appeals for any of the following relief:

- leave to appeal;
- dismissal;
- a stay pending appeal;
- approval of a supersedeas bond, or additional security on a bond or undertaking on appeal; or

- any other intermediate order.

The bankruptcy clerk must then transmit to the clerk of the court where the relief is sought any parts of the record designated by a party to the appeal or a notice that those parts are available electronically.

**Rule 8011. Filing and Service; Signature**

(a) FILING.

(1) *With the Clerk.* A document required or permitted to be filed in a district court or BAP must be filed with the clerk of that court.

(2) *Method and Timeliness.*

(A) *In General.* Filing may be accomplished by transmission to the clerk of the district court or BAP. Except as provided in subdivision (a)(2)(B) and (C), filing is timely only if the clerk receives the document within the time fixed for filing.

(B) *Brief or Appendix.* A brief or appendix is also timely filed if, on or before the last day for filing, it is:

- (i) mailed to the clerk by first-class mail—or other class of mail that is at least

as expeditious—postage prepaid, if the district court’s or BAP’s procedures permit or require a brief or appendix to be filed by mailing; or

(ii) dispatched to a third-party commercial carrier for delivery within 3 days to the clerk, if the court’s procedures so permit or require.

(C) *Inmate Filing.* A document filed by an inmate confined in an institution is timely if deposited in the institution’s internal mailing system on or before the last day for filing. If the institution has a system designed for legal mail, the inmate must use that system to receive the benefit of this rule. Timely filing may be shown by a declaration in compliance with 28 U.S.C. § 1746 or by a notarized statement, either of

which must set forth the date of deposit and state that first-class postage has been prepaid.

(D) *Copies.* If a document is filed electronically, no paper copy is required. If a document is filed by mail or delivery to the district court or BAP, no additional copies are required. But the district court or BAP may require by local rule or by order in a particular case the filing or furnishing of a specified number of paper copies.

(3) *Clerk's Refusal of Documents.* The court's clerk must not refuse to accept for filing any document transmitted for that purpose solely because it is not presented in proper form as required by these rules or by any local rule or practice.

(b) SERVICE OF ALL DOCUMENTS  
REQUIRED. Unless a rule requires service by the clerk, a

party must, at or before the time of the filing of a document, serve it on the other parties to the appeal. Service on a party represented by counsel must be made on the party's counsel.

(c) MANNER OF SERVICE.

(1) *Methods.* Service must be made electronically, unless it is being made by or on an individual who is not represented by counsel or the court's governing rules permit or require service by mail or other means of delivery. Service may be made by or on an unrepresented party by any of the following methods:

(A) personal delivery;

(B) mail; or

(C) third-party commercial carrier for delivery within 3 days.

(2) *When Service is Complete.* Service by electronic means is complete on transmission, unless the party making service receives notice that the document was not transmitted successfully. Service by mail or by commercial carrier is complete on mailing or delivery to the carrier.

(d) PROOF OF SERVICE.

(1) *What is Required.* A document presented for filing must contain either:

(A) an acknowledgment of service by the person served; or

(B) proof of service consisting of a statement by the person who made service certifying:

(i) the date and manner of service;

(ii) the names of the persons served;

and

(iii) the mail or electronic address, the fax number, or the address of the place of delivery, as appropriate for the manner of service, for each person served.

(2) *Delayed Proof.* The district or BAP clerk may permit documents to be filed without acknowledgment or proof of service, but must require the acknowledgment or proof to be filed promptly thereafter.

(3) *Brief or Appendix.* When a brief or appendix is filed, the proof of service must also state the date and manner by which it was filed.

(e) SIGNATURE. Every document filed electronically must include the electronic signature of the person filing it or, if the person is represented, the electronic signature of counsel. The electronic signature must be provided by electronic means that are consistent

with any technical standards that the Judicial Conference of the United States establishes. Every document filed in paper form must be signed by the person filing the document or, if the person is represented, by counsel.

**Rule 8012. Corporate Disclosure Statement**

(a) WHO MUST FILE. Any nongovernmental corporate party appearing in the district court or BAP must file a statement that identifies any parent corporation and any publicly held corporation that owns 10% or more of its stock or states that there is no such corporation.

(b) TIME TO FILE; SUPPLEMENTAL FILING. A party must file the statement with its principal brief or upon filing a motion, response, petition, or answer in the district court or BAP, whichever occurs first, unless a local rule requires earlier filing. Even if the statement has already been filed, the party's principal brief must include a statement before the table of contents. A party must supplement its statement whenever the required information changes.

**Rule 8013. Motions; Intervention**

(a) CONTENTS OF A MOTION; RESPONSE;  
REPLY.

(1) *Request for Relief.* A request for an order or other relief is made by filing a motion with the district or BAP clerk, with proof of service on the other parties to the appeal.

(2) *Contents of a Motion.*

(A) *Grounds and the Relief Sought.* A motion must state with particularity the grounds for the motion, the relief sought, and the legal argument necessary to support it.

(B) *Motion to Expedite an Appeal.* A motion to expedite an appeal must explain what justifies considering the appeal ahead of other matters. If the district court or BAP grants the motion, it may accelerate the time to transmit the

record, the deadline for filing briefs and other documents, oral argument, and the resolution of the appeal. A motion to expedite an appeal may be filed as an emergency motion under subdivision (d).

(C) *Accompanying Documents.*

(i) Any affidavit or other document necessary to support a motion must be served and filed with the motion.

(ii) An affidavit must contain only factual information, not legal argument.

(iii) A motion seeking substantive relief must include a copy of the bankruptcy court's judgment, order, or decree, and any accompanying opinion as a separate exhibit.

(D) *Documents Barred or Not Required.*

(i) A separate brief supporting or responding to a motion must not be filed.

(ii) Unless the court orders otherwise, a notice of motion or a proposed order is not required.

(3) *Response and Reply; Time to File.* Unless the district court or BAP orders otherwise,

(A) any party to the appeal may file a response to the motion within 7 days after service of the motion; and

(B) the movant may file a reply to a response within 7 days after service of the response, but may only address matters raised in the response.

(b) DISPOSITION OF A MOTION FOR A PROCEDURAL ORDER. The district court or BAP may rule on a motion for a procedural order—including a

motion under Rule 9006(b) or (c)—at any time without awaiting a response. A party adversely affected by the ruling may move to reconsider, vacate, or modify it within 7 days after the procedural order is served.

(c) **ORAL ARGUMENT.** A motion will be decided without oral argument unless the district court or BAP orders otherwise.

(d) **EMERGENCY MOTION.**

(1) *Noting the Emergency.* When a movant requests expedited action on a motion because irreparable harm would occur during the time needed to consider a response, the movant must insert the word “Emergency” before the title of the motion.

(2) *Contents of the Motion.* The emergency motion must

(A) be accompanied by an affidavit setting out the nature of the emergency;

(B) state whether all grounds for it were submitted to the bankruptcy court and, if not, why the motion should not be remanded for the bankruptcy court to consider;

(C) include the e-mail addresses, office addresses, and telephone numbers of moving counsel and, when known, of opposing counsel and any unrepresented parties to the appeal; and

(D) be served as prescribed by Rule 8011.

(3) *Notifying Opposing Parties.* Before filing an emergency motion, the movant must make every practicable effort to notify opposing counsel and any unrepresented parties in time for them to respond. The affidavit accompanying the emergency motion must state when and how notice was given or state why giving it was impracticable.

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(e) POWER OF A SINGLE BAP JUDGE TO ENTERTAIN A MOTION.

(1) *Single Judge's Authority.* A BAP judge may act alone on any motion, but may not dismiss or otherwise determine an appeal, deny a motion for leave to appeal, or deny a motion for a stay pending appeal if denial would make the appeal moot.

(2) *Reviewing a Single Judge's Action.* The BAP may review a single judge's action, either on its own motion or on a party's motion.

(f) FORM OF DOCUMENTS; PAGE LIMITS; NUMBER OF COPIES.

(1) *Format of a Paper Document.* Rule 27(d)(1) F.R.App.P. applies in the district court or BAP to a paper version of a motion, response, or reply.

(2) *Format of an Electronically Filed Document.* A motion, response, or reply filed electronically must comply with the requirements for a paper version regarding covers, line spacing, margins, typeface, and type style. It must also comply with the page limits under paragraph (3).

(3) *Page Limits.* Unless the district court or BAP orders otherwise:

(A) a motion or a response to a motion must not exceed 20 pages, exclusive of the corporate disclosure statement and accompanying documents authorized by subdivision (a)(2)(C); and

(B) a reply to a response must not exceed 10 pages.

(4) *Paper Copies.* Paper copies must be provided only if required by local rule or by an order in a particular case.

(g) INTERVENING IN AN APPEAL. Unless a statute provides otherwise, an entity that seeks to intervene in an appeal pending in the district court or BAP must move for leave to intervene and serve a copy of the motion on the parties to the appeal. The motion or other notice of intervention authorized by statute must be filed within 30 days after the appeal is docketed. It must concisely state the movant's interest, the grounds for intervention, whether intervention was sought in the bankruptcy court, why intervention is being sought at this stage of the proceeding, and why participating as an amicus curiae would not be adequate.

**Rule 8014. Briefs**

(a) APPELLANT'S BRIEF. The appellant's brief must contain the following under appropriate headings and in the order indicated:

(1) a corporate disclosure statement, if required by Rule 8012;

(2) a table of contents, with page references;

(3) a table of authorities—cases (alphabetically arranged), statutes, and other authorities—with references to the pages of the brief where they are cited;

(4) a jurisdictional statement, including:

(A) the basis for the bankruptcy court's subject-matter jurisdiction, with citations to applicable statutory provisions and stating relevant facts establishing jurisdiction;

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(B) the basis for the district court's or BAP's jurisdiction, with citations to applicable statutory provisions and stating relevant facts establishing jurisdiction;

(C) the filing dates establishing the timeliness of the appeal; and

(D) an assertion that the appeal is from a final judgment, order, or decree, or information establishing the district court's or BAP's jurisdiction on another basis;

(5) a statement of the issues presented and, for each one, a concise statement of the applicable standard of appellate review;

(6) a concise statement of the case setting out the facts relevant to the issues submitted for review, describing the relevant procedural history, and

identifying the rulings presented for review, with appropriate references to the record;

(7) a summary of the argument, which must contain a succinct, clear, and accurate statement of the arguments made in the body of the brief, and which must not merely repeat the argument headings;

(8) the argument, which must contain the appellant's contentions and the reasons for them, with citations to the authorities and parts of the record on which the appellant relies;

(9) a short conclusion stating the precise relief sought; and

(10) the certificate of compliance, if required by Rule 8015(a)(7) or (b).

(b) APPELLEE'S BRIEF. The appellee's brief must conform to the requirements of subdivision (a)(1)-(8) and (10), except that none of the following need appear

unless the appellee is dissatisfied with the appellant's statement:

- (1) the jurisdictional statement;
- (2) the statement of the issues and the applicable standard of appellate review; and
- (3) the statement of the case.

(c) **REPLY BRIEF.** The appellant may file a brief in reply to the appellee's brief. A reply brief must comply with the requirements of subdivision (a)(2)-(3).

(d) **STATUTES, RULES, REGULATIONS, OR SIMILAR AUTHORITY.** If the court's determination of the issues presented requires the study of the Code or other statutes, rules, regulations, or similar authority, the relevant parts must be set out in the brief or in an addendum.

(e) **BRIEFS IN A CASE INVOLVING MULTIPLE APPELLANTS OR APPELLEES.** In a case involving more than one appellant or appellee, including consolidated

cases, any number of appellants or appellees may join in a brief, and any party may adopt by reference a part of another's brief. Parties may also join in reply briefs.

(f) CITATION OF SUPPLEMENTAL AUTHORITIES. If pertinent and significant authorities come to a party's attention after the party's brief has been filed—or after oral argument but before a decision—a party may promptly advise the district or BAP clerk by a signed submission setting forth the citations. The submission, which must be served on the other parties to the appeal, must state the reasons for the supplemental citations, referring either to the pertinent page of a brief or to a point argued orally. The body of the submission must not exceed 350 words. Any response must be made within 7 days after the party is served, unless the court orders otherwise, and must be similarly limited.

**Rule 8015. Form and Length of Briefs; Form of Appendices and Other Papers**

(a) PAPER COPIES OF A BRIEF. If a paper copy of a brief may or must be filed, the following provisions apply:

(1) *Reproduction.*

(A) A brief may be reproduced by any process that yields a clear black image on light paper. The paper must be opaque and unglazed. Only one side of the paper may be used.

(B) Text must be reproduced with a clarity that equals or exceeds the output of a laser printer.

(C) Photographs, illustrations, and tables may be reproduced by any method that results in a good copy of the original. A glossy finish is acceptable if the original is glossy.

(2) *Cover.* The front cover of a brief must contain:

(A) the number of the case centered at the top;

(B) the name of the court;

(C) the title of the case as prescribed by Rule 8003(d)(2) or 8004(c)(2);

(D) the nature of the proceeding and the name of the court below;

(E) the title of the brief, identifying the party or parties for whom the brief is filed; and

(F) the name, office address, telephone number, and e-mail address of counsel representing the party for whom the brief is filed.

(3) *Binding.* The brief must be bound in any manner that is secure, does not obscure the text, and permits the brief to lie reasonably flat when open.

(4) *Paper Size, Line Spacing, and Margins.*

The brief must be on 8½-by-11 inch paper. The text must be double-spaced, but quotations more than two lines long may be indented and single-spaced. Headings and footnotes may be single-spaced. Margins must be at least one inch on all four sides. Page numbers may be placed in the margins, but no text may appear there.

(5) *Typeface.* Either a proportionally spaced or monospaced face may be used.

(A) A proportionally spaced face must include serifs, but sans-serif type may be used in headings and captions. A proportionally spaced face must be 14-point or larger.

(B) A monospaced face may not contain more than 10½ characters per inch.

(6) *Type Styles.* A brief must be set in plain, roman style, although italics or boldface may be used for emphasis. Case names must be italicized or underlined.

(7) *Length.*

(A) *Page limitation.* A principal brief must not exceed 30 pages, or a reply brief 15 pages, unless it complies with (B) and (C).

(B) *Type-volume limitation.*

- (i) A principal brief is acceptable if:
- it contains no more than 14,000 words; or
  - it uses a monospaced face and contains no more than 1,300 lines of text.

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(ii) A reply brief is acceptable if it contains no more than half of the type volume specified in item (i).

(iii) Headings, footnotes, and quotations count toward the word and line limitations. The corporate disclosure statement, table of contents, table of citations, statement with respect to oral argument, any addendum containing statutes, rules, or regulations, and any certificates of counsel do not count toward the limitation.

(C) *Certificate of Compliance.*

(i) A brief submitted under subdivision (a)(7)(B) must include a certificate signed by the attorney, or an unrepresented party, that the brief complies

with the type-volume limitation. The person preparing the certificate may rely on the word or line count of the word-processing system used to prepare the brief.

The certificate must state either:

- the number of words in the brief; or
- the number of lines of monospaced type in the brief.

(ii) The certification requirement is satisfied by a certificate of compliance that conforms substantially to the appropriate Official Form.

(b) ELECTRONICALLY FILED BRIEFS. A brief filed electronically must comply with subdivision (a), except for (a)(1), (a)(3), and the paper requirement of (a)(4).

(c) PAPER COPIES OF APPENDICES. A paper copy of an appendix must comply with subdivision (a)(1), (2), (3), and (4), with the following exceptions:

(1) An appendix may include a legible photocopy of any document found in the record or of a printed decision.

(2) When necessary to facilitate inclusion of odd-sized documents such as technical drawings, an appendix may be a size other than 8½-by-11 inches, and need not lie reasonably flat when opened.

(d) ELECTRONICALLY FILED APPENDICES. An appendix filed electronically must comply with subdivision (a)(2) and (4), except for the paper requirement of (a)(4).

(e) OTHER DOCUMENTS.

(1) *Motion*. Rule 8013(f) governs the form of a motion, response, or reply.

(2) *Paper Copies of Other Documents.* A paper copy of any other document, other than a submission under Rule 8014(f), must comply with subdivision (a), with the following exceptions:

(A) A cover is not necessary if the caption and signature page together contain the information required by subdivision (a)(2).

(B) Subdivision (a)(7) does not apply.

(3) *Other Documents Filed Electronically.* Any other document filed electronically, other than a submission under Rule 8014(f), must comply with the appearance requirements of paragraph (2).

(f) **LOCAL VARIATION.** A district court or BAP must accept documents that comply with the applicable requirements of this rule. By local rule, a district court or BAP may accept documents that do not meet all of the requirements of this rule.

**Rule 8016. Cross-Appeals**

(a) **APPLICABILITY.** This rule applies to a case in which a cross-appeal is filed. Rules 8014(a)-(c), 8015(a)(7)(A)-(B), and 8018(a)(1)-(3) do not apply to such a case, except as otherwise provided in this rule.

(b) **DESIGNATION OF APPELLANT.** The party who files a notice of appeal first is the appellant for purposes of this rule and Rule 8018(a)(4) and (b) and Rule 8019. If notices are filed on the same day, the plaintiff, petitioner, applicant, or movant in the proceeding below is the appellant. These designations may be modified by the parties' agreement or by court order.

(c) **BRIEFS.** In a case involving a cross-appeal:

(1) *Appellant's Principal Brief.* The appellant must file a principal brief in the appeal. That brief must comply with Rule 8014(a).

(2) *Appellee's Principal and Response Brief.*

The appellee must file a principal brief in the cross-appeal and must, in the same brief, respond to the principal brief in the appeal. That brief must comply with Rule 8014(a), except that the brief need not include a statement of the case unless the appellee is dissatisfied with the appellant's statement.

(3) *Appellant's Response and Reply Brief.* The appellant must file a brief that responds to the principal brief in the cross-appeal and may, in the same brief, reply to the response in the appeal. That brief must comply with Rule 8014(a)(2)-(8) and (10), except that none of the following need appear unless the appellant is dissatisfied with the appellee's statement in the cross-appeal:

(A) the jurisdictional statement;

(B) the statement of the issues and the applicable standard of appellate review; and

(C) the statement of the case.

(4) *Appellee's Reply Brief.* The appellee may file a brief in reply to the response in the cross-appeal. That brief must comply with Rule 8014(a)(2)-(3) and (10) and must be limited to the issues presented by the cross-appeal.

(d) LENGTH.

(1) *Page Limitation.* Unless it complies with paragraphs (2) and (3), the appellant's principal brief must not exceed 30 pages; the appellee's principal and response brief, 35 pages; the appellant's response and reply brief, 30 pages; and the appellee's reply brief, 15 pages.

(2) *Type-Volume Limitation.*

(A) The appellant's principal brief or the appellant's response and reply brief is acceptable if:

(i) it contains no more than 14,000 words; or

(ii) it uses a monospaced face and contains no more than 1,300 lines of text.

(B) The appellee's principal and response brief is acceptable if:

(i) it contains no more than 16,500 words; or

(ii) it uses a monospaced face and contains no more than 1,500 lines of text.

(C) The appellee's reply brief is acceptable if it contains no more than half of the type volume specified in subparagraph (A).

(D) Headings, footnotes, and quotations count toward the word and line limitations. The corporate disclosure statement, table of contents, table of citations, statement with respect to oral argument, any addendum containing statutes, rules, or regulations, and any certificates of counsel do not count toward the limitation.

(3) *Certificate of Compliance.* A brief submitted either electronically or in paper form under paragraph (2) must comply with Rule 8015(a)(7)(C).

(e) TIME TO SERVE AND FILE A BRIEF. Briefs must be served and filed as follows, unless the district court or BAP by order in a particular case excuses the filing of briefs or specifies different time limits:

(1) the appellant's principal brief, within 30 days after the docketing of notice that the record has been transmitted or is available electronically;

(2) the appellee's principal and response brief, within 30 days after the appellant's principal brief is served;

(3) the appellant's response and reply brief, within 30 days after the appellee's principal and response brief is served; and

(4) the appellee's reply brief, within 14 days after the appellant's response and reply brief is served, but at least 7 days before scheduled argument unless the district court or BAP, for good cause, allows a later filing.

**Rule 8017. Brief of an Amicus Curiae**

(a) **WHEN PERMITTED.** The United States or its officer or agency or a state may file an amicus-curiae brief without the consent of the parties or leave of court. Any other amicus curiae may file a brief only by leave of court or if the brief states that all parties have consented to its filing. On its own motion, and with notice to all parties to an appeal, the district court or BAP may request a brief by an amicus curiae.

(b) **MOTION FOR LEAVE TO FILE.** The motion must be accompanied by the proposed brief and state:

(1) the movant's interest; and

(2) the reason why an amicus brief is desirable and why the matters asserted are relevant to the disposition of the appeal.

(c) **CONTENTS AND FORM.** An amicus brief must comply with Rule 8015. In addition to the

requirements of Rule 8015, the cover must identify the party or parties supported and indicate whether the brief supports affirmance or reversal. If an amicus curiae is a corporation, the brief must include a disclosure statement like that required of parties by Rule 8012. An amicus brief need not comply with Rule 8014, but must include the following:

- (1) a table of contents, with page references;
- (2) a table of authorities—cases (alphabetically arranged), statutes, and other authorities—with references to the pages of the brief where they are cited;
- (3) a concise statement of the identity of the amicus curiae, its interest in the case, and the source of its authority to file;

(4) unless the amicus curiae is one listed in the first sentence of subdivision (a), a statement that indicates whether:

(A) a party's counsel authored the brief in whole or in part;

(B) a party or a party's counsel contributed money that was intended to fund preparing or submitting the brief; and

(C) a person—other than the amicus curiae, its members, or its counsel—contributed money that was intended to fund preparing or submitting the brief and, if so, identifies each such person;

(5) an argument, which may be preceded by a summary and need not include a statement of the applicable standard of review; and

(6) a certificate of compliance, if required by Rule 8015(a)(7)(C) or 8015(b).

(d) LENGTH. Except by the district court's or BAP's permission, an amicus brief must be no more than one-half the maximum length authorized by these rules for a party's principal brief. If the court grants a party permission to file a longer brief, that extension does not affect the length of an amicus brief.

(e) TIME FOR FILING. An amicus curiae must file its brief, accompanied by a motion for filing when necessary, no later than 7 days after the principal brief of the party being supported is filed. An amicus curiae that does not support either party must file its brief no later than 7 days after the appellant's principal brief is filed. The district court or BAP may grant leave for later filing, specifying the time within which an opposing party may answer.

(f) **REPLY BRIEF.** Except by the district court's or BAP's permission, an amicus curiae may not file a reply brief.

(g) **ORAL ARGUMENT.** An amicus curiae may participate in oral argument only with the district court's or BAP's permission.

**Rule 8018. Serving and Filing Briefs; Appendices**

(a) TIME TO SERVE AND FILE A BRIEF. The following rules apply unless the district court or BAP by order in a particular case excuses the filing of briefs or specifies different time limits:

(1) The appellant must serve and file a brief within 30 days after the docketing of notice that the record has been transmitted or is available electronically.

(2) The appellee must serve and file a brief within 30 days after service of the appellant's brief.

(3) The appellant may serve and file a reply brief within 14 days after service of the appellee's brief, but a reply brief must be filed at least 7 days before scheduled argument unless the district court or BAP, for good cause, allows a later filing.

(4) If an appellant fails to file a brief on time or within an extended time authorized by the district court or BAP, an appellee may move to dismiss the appeal—or the district court or BAP, after notice, may dismiss the appeal on its own motion. An appellee who fails to file a brief will not be heard at oral argument unless the district court or BAP grants permission.

(b) DUTY TO SERVE AND FILE AN APPENDIX TO THE BRIEF.

(1) *Appellant.* Subject to subdivision (e) and Rule 8009(d), the appellant must serve and file with its principal brief excerpts of the record as an appendix. It must contain the following:

(A) the relevant entries in the bankruptcy docket;

(B) the complaint and answer, or other equivalent filings;

(C) the judgment, order, or decree from which the appeal is taken;

(D) any other orders, pleadings, jury instructions, findings, conclusions, or opinions relevant to the appeal;

(E) the notice of appeal; and

(F) any relevant transcript or portion of it.

(2) *Appellee*. The appellee may also serve and file with its brief an appendix that contains material required to be included by the appellant or relevant to the appeal or cross-appeal, but omitted by the appellant.

(3) *Cross-Appellee*. The appellant as cross-appellee may also serve and file with its response an appendix that contains material relevant to matters

raised initially by the principal brief in the cross-appeal, but omitted by the cross-appellant.

(c) **FORMAT OF THE APPENDIX.** The appendix must begin with a table of contents identifying the page at which each part begins. The relevant docket entries must follow the table of contents. Other parts of the record must follow chronologically. When pages from the transcript of proceedings are placed in the appendix, the transcript page numbers must be shown in brackets immediately before the included pages. Omissions in the text of documents or of the transcript must be indicated by asterisks. Immaterial formal matters (captions, subscriptions, acknowledgments, and the like) should be omitted.

(d) **EXHIBITS.** Exhibits designated for inclusion in the appendix may be reproduced in a separate volume or volumes, suitably indexed.

(e) APPEAL ON THE ORIGINAL RECORD WITHOUT AN APPENDIX. The district court or BAP may, either by rule for all cases or classes of cases or by order in a particular case, dispense with the appendix and permit an appeal to proceed on the original record, with the submission of any relevant parts of the record that the district court or BAP orders the parties to file.

**Rule 8019. Oral Argument**

(a) PARTY'S STATEMENT. Any party may file, or a district court or BAP may require, a statement explaining why oral argument should, or need not, be permitted.

(b) PRESUMPTION OF ORAL ARGUMENT AND EXCEPTIONS. Oral argument must be allowed in every case unless the district judge—or all the BAP judges assigned to hear the appeal—examine the briefs and record and determine that oral argument is unnecessary because

(1) the appeal is frivolous;

(2) the dispositive issue or issues have been authoritatively decided; or

(3) the facts and legal arguments are adequately presented in the briefs and record, and the decisional process would not be significantly aided by oral argument.

(c) NOTICE OF ARGUMENT; POSTPONEMENT.

The district court or BAP must advise all parties of the date, time, and place for oral argument, and the time allowed for each side. A motion to postpone the argument or to allow longer argument must be filed reasonably in advance of the hearing date.

(d) ORDER AND CONTENTS OF ARGUMENT.

The appellant opens and concludes the argument. Counsel must not read at length from briefs, the record, or authorities.

(e) CROSS-APPEALS AND SEPARATE APPEALS. If there is a cross-appeal, Rule 8016(b) determines which party is the appellant and which is the appellee for the purposes of oral argument. Unless the district court or BAP directs otherwise, a cross-appeal or separate appeal must be argued when the initial appeal is

argued. Separate parties should avoid duplicative argument.

(f) NONAPPEARANCE OF A PARTY. If the appellee fails to appear for argument, the district court or BAP may hear the appellant's argument. If the appellant fails to appear for argument, the district court or BAP may hear the appellee's argument. If neither party appears, the case will be decided on the briefs unless the district court or BAP orders otherwise.

(g) SUBMISSION ON BRIEFS. The parties may agree to submit a case for decision on the briefs, but the district court or BAP may direct that the case be argued.

(h) USE OF PHYSICAL EXHIBITS AT ARGUMENT; REMOVAL. Counsel intending to use physical exhibits other than documents at the argument must arrange to place them in the courtroom on the day of the argument before the court convenes. After the

argument, counsel must remove the exhibits from the courtroom unless the district court or BAP directs otherwise. The clerk may destroy or dispose of the exhibits if counsel does not reclaim them within a reasonable time after the clerk gives notice to remove them.

1 **Rule 8020. Frivolous Appeal and Other Misconduct**

2 (a) FRIVOLOUS APPEAL—DAMAGES AND  
3 COSTS. If the district court or BAP determines that an  
4 appeal is frivolous, it may, after a separately filed motion or  
5 notice from the court and reasonable opportunity to  
6 respond, award just damages and single or double costs to  
7 the appellee.

8 (b) OTHER MISCONDUCT. The district court or  
9 BAP may discipline or sanction an attorney or party  
10 appearing before it for other misconduct, including failure  
11 to comply with any court order. First, however, the court  
12 must afford the attorney or party reasonable notice, an  
13 opportunity to show cause to the contrary, and, if requested,  
14 a hearing.

**Rule 8021. Costs**

(a) **AGAINST WHOM ASSESSED.** The following rules apply unless the law provides or the district court or BAP orders otherwise:

(1) if an appeal is dismissed, costs are taxed against the appellant, unless the parties agree otherwise;

(2) if a judgment, order, or decree is affirmed, costs are taxed against the appellant;

(3) if a judgment, order, or decree is reversed, costs are taxed against the appellee;

(4) if a judgment, order, or decree is affirmed or reversed in part, modified, or vacated, costs are taxed only as the district court or BAP orders.

(b) **COSTS FOR AND AGAINST THE UNITED STATES.** Costs for or against the United States, its

agency, or its officer may be assessed under subdivision (a) only if authorized by law.

(c) COSTS ON APPEAL TAXABLE IN THE BANKRUPTCY COURT. The following costs on appeal are taxable in the bankruptcy court for the benefit of the party entitled to costs under this rule:

(1) the production of any required copies of a brief, appendix, exhibit, or the record;

(2) the preparation and transmission of the record;

(3) the reporter's transcript, if needed to determine the appeal;

(4) premiums paid for a supersedeas bond or other bonds to preserve rights pending appeal; and

(5) the fee for filing the notice of appeal.

(d) BILL OF COSTS; OBJECTIONS. A party who wants costs taxed must, within 14 days after entry of

judgment on appeal, file with the bankruptcy clerk, with proof of service, an itemized and verified bill of costs. Objections must be filed within 14 days after service of the bill of costs, unless the bankruptcy court extends the time.

**Rule 8022. Motion for Rehearing**

(a) TIME TO FILE; CONTENTS; RESPONSE; ACTION BY THE DISTRICT COURT OR BAP IF GRANTED.

(1) *Time.* Unless the time is shortened or extended by order or local rule, any motion for rehearing by the district court or BAP must be filed within 14 days after entry of judgment on appeal.

(2) *Contents.* The motion must state with particularity each point of law or fact that the movant believes the district court or BAP has overlooked or misapprehended and must argue in support of the motion. Oral argument is not permitted.

(3) *Response.* Unless the district court or BAP requests, no response to a motion for rehearing is permitted. But ordinarily, rehearing will not be granted in the absence of such a request.

(4) *Action by the District Court or BAP.* If a motion for rehearing is granted, the district court or BAP may do any of the following:

(A) make a final disposition of the appeal without reargument;

(B) restore the case to the calendar for reargument or resubmission; or

(C) issue any other appropriate order.

(b) **FORM OF THE MOTION; LENGTH.** The motion must comply in form with Rule 8013(f)(1) and (2). Copies must be served and filed as provided by Rule 8011. Unless the district court or BAP orders otherwise, a motion for rehearing must not exceed 15 pages.

**Rule 8023. Voluntary Dismissal**

The clerk of the district court or BAP must dismiss an appeal if the parties file a signed dismissal agreement specifying how costs are to be paid and pay any fees that are due. An appeal may be dismissed on the appellant's motion on terms agreed to by the parties or fixed by the district court or BAP.

**Rule 8024. Clerk's Duties on Disposition of the Appeal**

(a) JUDGMENT ON APPEAL. The district or BAP clerk must prepare, sign, and enter the judgment after receiving the court's opinion or, if there is no opinion, as the court instructs. Noting the judgment on the docket constitutes entry of judgment.

(b) NOTICE OF A JUDGMENT. Immediately upon the entry of a judgment, the district or BAP clerk must:

(1) transmit a notice of the entry to each party to the appeal, to the United States trustee, and to the bankruptcy clerk, together with a copy of any opinion; and

(2) note the date of the transmission on the docket.

(c) RETURNING PHYSICAL ITEMS. If any physical items were transmitted as the record on appeal,

they must be returned to the bankruptcy clerk on disposition of the appeal.

**Rule 8025. Stay of a District Court or BAP Judgment**

(a) **AUTOMATIC STAY OF JUDGMENT ON APPEAL.** Unless the district court or BAP orders otherwise, its judgment is stayed for 14 days after entry.

(b) **STAY PENDING APPEAL TO THE COURT OF APPEALS.**

(1) *In General.* On a party's motion and notice to all other parties to the appeal, the district court or BAP may stay its judgment pending an appeal to the court of appeals.

(2) *Time Limit.* The stay must not exceed 30 days after the judgment is entered, except for cause shown.

(3) *Stay Continued.* If, before a stay expires, the party who obtained the stay appeals to the court of appeals, the stay continues until final disposition by the court of appeals.

(4) *Bond or Other Security.* A bond or other security may be required as a condition for granting or continuing a stay of the judgment. A bond or other security may be required if a trustee obtains a stay, but not if a stay is obtained by the United States or its officer or agency or at the direction of any department of the United States government.

(c) AUTOMATIC STAY OF AN ORDER, JUDGMENT, OR DECREE OF A BANKRUPTCY COURT. If the district court or BAP enters a judgment affirming an order, judgment, or decree of the bankruptcy court, a stay of the district court's or BAP's judgment automatically stays the bankruptcy court's order, judgment, or decree for the duration of the appellate stay.

(d) POWER OF A COURT OF APPEALS NOT LIMITED. This rule does not limit the power of a court of appeals or any of its judges to do the following:

- (1) stay a judgment pending appeal;
- (2) stay proceedings while an appeal is pending;
- (3) suspend, modify, restore, vacate, or grant a stay or an injunction while an appeal is pending; or
- (4) issue any order appropriate to preserve the status quo or the effectiveness of any judgment to be entered.

**Rule 8026. Rules by Circuit Councils and District Courts; Procedure When There is No Controlling Law**

(a) LOCAL RULES BY CIRCUIT COUNCILS  
AND DISTRICT COURTS.

(1) *Adopting Local Rules.* A circuit council that has authorized a BAP under 28 U.S.C. § 158(b) may make and amend rules governing the practice and procedure on appeal from a judgment, order, or decree of a bankruptcy court to the BAP. A district court may make and amend rules governing the practice and procedure on appeal from a judgment, order, or decree of a bankruptcy court to the district court. Local rules must be consistent with, but not duplicative of, Acts of Congress and these Part VIII rules. Rule 83 F.R.Civ.P. governs the procedure for making and amending rules to govern appeals.

(2) *Numbering.* Local rules must conform to any uniform numbering system prescribed by the Judicial Conference of the United States.

(3) *Limitation on Imposing Requirements of Form.* A local rule imposing a requirement of form must not be enforced in a way that causes a party to lose any right because of a nonwillful failure to comply.

(b) PROCEDURE WHEN THERE IS NO CONTROLLING LAW.

(1) *In General.* A district court or BAP may regulate practice in any manner consistent with federal law, applicable federal rules, the Official Forms, and local rules.

(2) *Limitation on Sanctions.* No sanction or other disadvantage may be imposed for noncompliance with any requirement not in federal

law, applicable federal rules, the Official Forms, or local rules unless the alleged violator has been furnished in the particular case with actual notice of the requirement.

**Rule 8027. Notice of a Mediation Procedure**

If the district court or BAP has a mediation procedure applicable to bankruptcy appeals, the clerk must notify the parties promptly after docketing the appeal of:

- (a) the requirements of the mediation procedure; and
- (b) any effect the mediation procedure has on the time to file briefs.

**Rule 8028. Suspension of Rules in Part VIII**

In the interest of expediting decision or for other cause in a particular case, the district court or BAP, or where appropriate the court of appeals, may suspend the requirements or provisions of the rules in Part VIII, except Rules 8001, 8002, 8003, 8004, 8005, 8006, 8007, 8012, 8020, 8024, 8025, 8026, and 8028.



# JUDICIAL CONFERENCE OF THE UNITED STATES

WASHINGTON, D.C. 20544

THE CHIEF JUSTICE  
OF THE UNITED STATES  
*Presiding*

HONORABLE JOHN D. BATES  
*Secretary*

November 6, 2013

## MEMORANDUM

To: The Chief Justice of the United States and  
Associate Justices of the Supreme Court

From: Judge John D. Bates 

RE: TRANSMITTAL OF PROPOSED AMENDMENTS TO THE FEDERAL RULES OF  
BANKRUPTCY PROCEDURE

By direction of the Judicial Conference of the United States, pursuant to the authority conferred by 28 U.S.C. § 331, I transmit herewith for consideration of the Court proposed amendments to Rules 1014, 7004, 7008, 7054, 8001 - 8028, 9023, and 9024 of the Federal Rules of Bankruptcy Procedure, which were approved by the Judicial Conference at its September 2013 session. The Judicial Conference recommends that the amendments be approved by the Court and transmitted to the Congress pursuant to law.

For your assistance in considering these proposed amendments, I am transmitting: (i) a version of the amendments that includes explanatory notes from the Advisory Committee on the Federal Rules of Bankruptcy Procedure; (ii) an excerpt from the Report of the Committee on Rules of Practice and Procedure to the Judicial Conference; and (iii) an excerpt from the Report of the Advisory Committee on the Federal Rules of Bankruptcy Procedure.

Attachments

**EXCERPT FROM THE  
REPORT OF THE JUDICIAL CONFERENCE**

**COMMITTEE ON RULES OF PRACTICE AND PROCEDURE**

**TO THE CHIEF JUSTICE OF THE UNITED STATES AND MEMBERS OF THE  
JUDICIAL CONFERENCE OF THE UNITED STATES:**

\* \* \* \* \*

**FEDERAL RULES OF BANKRUPTCY PROCEDURE**

*Rules Recommended for Approval and Transmission*

The Advisory Committee on Bankruptcy Rules submitted proposed amendments to Rules 1014, 7004, 7008, \* \* \* 7054, 8001–8028, 9023, [and] 9024 \* \* \* , and Official Forms 3A, 3B, 6I, 6J, 6 Summary, 23, and 27, with a recommendation that they be approved and transmitted to the Judicial Conference. Except as noted below, the proposed amendments were circulated to the bench, bar, and public for comment in August 2012.

Rule 1014

Rule 1014(b) governs the procedure for determining where cases will proceed if petitions are filed in different districts by, against, or regarding the same debtor or related debtors. The current rule provides that, upon motion, the court in which the first-filed petition is pending may determine—in the interest of justice or for the convenience of the parties—the district or districts in which the cases will proceed. Other courts must stay proceedings in later-filed cases until the first court makes its determination, unless that court orders otherwise.

The proposed amendment would provide that proceedings in subsequently filed cases are stayed only upon order of the court in which the first-filed petition is pending and expands the list of persons entitled to receive notice of a motion in the first court for a determination of where the related cases should proceed. The amendment states more clearly what event triggers the stay

of proceedings in the court in which a subsequent petition is filed. The current rule has led to uncertainty about whether the stay goes into effect immediately upon the filing of the second petition or only upon the filing of a motion to determine where the cases should proceed. Rather than selecting either of these options, the advisory committee decided that an order by the first court should be required. That requirement would eliminate any uncertainty about whether a stay was in effect. It would also permit a judicial determination—not just a party’s assertion—that the rule applies and that a stay of other proceedings is needed.

Four sets of comments were submitted. After considering all of the comments, the advisory committee unanimously voted to approve the amendments to Rule 1014(b) with one wording change.

#### Rule 7004(e)

Rule 7004(e) governs the time during which a summons is valid after its issuance in an adversary proceeding. The proposed amendment would shorten that period from 14 days to 7. The concern prompting the amendment is that a 14-day delay before service of a summons may unduly limit the defendant’s time to answer, which is calculated under Rule 7012 from the date the summons is issued and not—as is the case under the Civil Rules—the date it is served. Because summonses are routinely issued electronically and served by mail (as permitted under Rule 7004(b)), a 7-day service window is sufficient.

The advisory committee received four comments, each of which raised essentially the same issue: that a 7-day window to serve a summons may be too short in some circumstances. For three reasons, the advisory committee concluded that the concerns raised by the comments did not justify altering or abandoning the amendment to Rule 7004(e). First, the principal

concern expressed by the comments—that a 7-day service window might be insufficient in particular circumstances—had been contemplated by the advisory committee. Those circumstances were considered to be infrequent and, if they did arise, were thought to be best handled through a request under Rule 9006(b) for an enlargement of the time to serve the summons. In response to the comments, language was added to the Committee Note highlighting the availability of an enlargement of time under Rule 9006(b).

Second, the alternative approaches to service of summonses offered by the commenters would require significant changes to the Bankruptcy Rules. The advisory committee sought to make the least disruptive change that would ensure sufficient time to serve and respond to a summons.

Third, the published amendment’s 7-day time to serve a summons, although less than the 14-day period under the current rule, is close to the 10-day period that prevailed before it was lengthened by the Time Computation Project. The comments suggest that further study may be warranted with respect to harmonizing the Bankruptcy and Civil Rules on issuance and service of a summons and complaint. But that project is beyond the scope of the published amendment. The Committee approved the amendment to Rule 7004(e) with a minor stylistic change to the text.

\* \* \* \* \*

#### Rules 7008(b) and 7054

The proposed amendments to these rules would change the procedure for seeking attorney’s fees in bankruptcy proceedings, bringing the Bankruptcy Rules into closer alignment with the Civil Rules. Rule 7054 would be amended to include much of the substance of Civil

Rule 54(d)(2). Rule 7008(b), which currently addresses attorney's fees, would be deleted. The amendments are intended to eliminate a potential trap for an attorney, particularly one familiar with the Civil Rules, who might overlook the requirement in Rule 7008(b) to plead a request for attorney's fees as a claim in the complaint, answer, or other pleading. As under the Civil Rules, the procedure for seeking an award of attorney's fees would be governed exclusively by Rule 7054, unless the governing substantive law requires the fees to be proved at trial as an element of damages. The advisory committee received two comments, one of which addressed a sentence in Rule 7054(b)(1) that was not proposed for amendment and the other of which expressed support for the amendments. The advisory committee unanimously approved the amendments as published.

#### Rules 8001–8028 (Part VIII of the Bankruptcy Rules)

The proposed amendments to Part VIII of the Bankruptcy Rules—the rules governing appeals to district courts and bankruptcy appellate panels—are the product of a multi-year project to (1) bring the bankruptcy appellate rules into closer alignment with the Federal Rules of Appellate Procedure; (2) incorporate a presumption favoring the electronic transmission, filing, and service of court documents; and (3) adopt a clearer and simpler style.

Fourteen sets of comments were submitted in response to the publication of these rules. Many of the comments were lengthy and detailed, and provided suggestions on issues of style, organization, and substance. In considering the comments, the advisory committee was guided by the goal of maintaining close adherence to the Federal Rules of Appellate Procedure, except where those rules are incompatible with bankruptcy appeals. It recommended postponing for future consideration a number of suggestions that would change existing practice or raise policy

issues requiring careful consideration. In general, the comments displayed a positive response to the proposed revision of the Part VIII rules, and the advisory committee voted to recommend them for final approval with some post-publication changes to address issues raised by the comments.

#### Rules 9023 and 9024

The proposed amendments to Rule 9023, which governs new trials and amendment of judgments, and Rule 9024, which governs relief from a judgment or order, would add references to the procedure in proposed new Rule 8008 governing indicative rulings. Rule 8008 prescribes procedures for both the bankruptcy court and the appellate court when an indicative ruling is sought. It therefore incorporates provisions of both Civil Rule 62.1 and Appellate Rule 12.1. Because a litigant filing a post-judgment motion that implicates the indicative ruling procedure will not encounter a rule similar to Civil Rule 62.1 in either the Part VII or Part IX rules, the advisory committee decided that it would be useful to include a cross-reference to Rule 8008 in the rules governing post-judgment motions.

The advisory committee received one comment suggesting that a cross-reference to another rule is more appropriately placed in a Committee Note than in the rule itself. The advisory committee did not think it appropriate to amend a Committee Note without an amendment to the rule. Furthermore, several comments on the Part VIII Rules suggested that it is helpful to have a cross-reference to another rule included in the rule text, rather than in the Committee Note, because Committee Notes are not always published in rule compilations and are often overlooked. The advisory committee unanimously approved the amendments as published.

\* \* \* \* \*

The Committee concurred with the advisory committee's recommendations.

**Recommendation:** That the Judicial Conference:

- a. Approve the proposed amendments to Bankruptcy Rules 1014, 7004, 7008, \* \* \* 7054, 8001-8028, 9023, [and] 9024 \* \* \* , and transmit them to the Supreme Court for consideration with a recommendation that they be adopted by the Court and transmitted to Congress in accordance with the law; and

\* \* \* \* \*

Respectfully submitted,

A handwritten signature in blue ink that reads "Jeffrey S. Sutton". The signature is written in a cursive style with a large initial "J".

Jeffrey S. Sutton, Chair

James M. Cole  
Dean C. Colson  
Roy T. Englert, Jr.  
Gregory G. Garre  
Neil M. Gorsuch  
Marilyn L. Huff  
Wallace B. Jefferson

David F. Levi  
Patrick J. Schiltz  
Larry A. Thompson  
Richard C. Wesley  
Diane P. Wood  
Jack Zouhary

COMMITTEE ON RULES OF PRACTICE AND PROCEDURE  
OF THE  
JUDICIAL CONFERENCE OF THE UNITED STATES  
WASHINGTON, D.C. 20544

JEFFREY S. SUTTON  
CHAIR

JONATHAN C. ROSE  
SECRETARY

CHAIRS OF ADVISORY COMMITTEES

STEVEN M. COLLTON  
APPELLATE RULES

EUGENE R. WEDOFF  
BANKRUPTCY RULES

DAVID G. CAMPBELL  
CIVIL RULES

REENA RAGGI  
CRIMINAL RULES

SIDNEY A. FITZWATER  
EVIDENCE RULES

**MEMORANDUM**

**To:** Honorable Jeffrey S. Sutton, Chair  
Standing Committee on Rules of Practice and Procedure

**From:** Honorable Eugene R. Wedoff, Chair  
Advisory Committee on Federal Rules of Bankruptcy Procedure

**Date:** May 8, 2013

**Re:** Report of the Advisory Committee on Bankruptcy Rules

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**I. Introduction**

The Advisory Committee on Bankruptcy Rules met on April 2 and 3, 2013, in New York, New York, at the United States Bankruptcy Court. The draft minutes of that meeting accompany this report as Appendix C.

\* \* \* \* \*

Part II of this report discusses the action items, grouped as follows:

(A1) matters published in August 2012 for which the Advisory Committee seeks approval for transmission to the Judicial Conference—amendments to Rules 1014, 7004, 7008, \* \* \* 7054, 8001-8028, 9023, [and] 9024 \* \* \* , and Official Forms 3A, 3B, 6I, and 6J;

\* \* \* \* \*

## II. Action Items

### A. Items for Final Approval

*A1. Amendments Published for Comment in August 2012.* **The Advisory Committee recommends that the proposed rule and form amendments that are discussed below be approved and forwarded to the Judicial Conference. It recommends that the amended forms take effect on December 1, 2013.** The text of the amended rules and forms is set out in Appendix A.

\* \* \* \* \*

**Action Item 2. Rules 8001-8028** (Part VIII of the Bankruptcy Rules) are the products of a comprehensive revision of the rules governing bankruptcy appeals to district courts, bankruptcy appellate panels, and, with respect to some procedures, courts of appeals. They result from a multi-year project to bring the bankruptcy appellate rules into closer alignment with the Federal Rules of Appellate Procedure; to incorporate a presumption favoring the electronic transmission, filing, and service of court documents; and to adopt a clearer style. Existing rules were reorganized and renumbered, some rules were combined, and provisions of other rules were moved to new locations. Much of the language of the existing rules was restyled.

Fourteen sets of comments were submitted in response to the publication of these rules. Many of the comments were lengthy and detailed. They demonstrated the commenters' careful review of the published rules and provided suggestions on issues of style, organization, and substance. In considering the comments, the Advisory Committee was guided by the goal of maintaining close adherence to the Federal Rules of Appellate Procedure ("FRAP"), except where those rules are incompatible with bankruptcy appeals. It also recommended postponing for future consideration a number of suggestions that would change existing practice or raise policy issues requiring careful consideration. In general, the comments displayed a positive response to the proposed revision of the Part VIII rules, and the Advisory Committee unanimously voted to recommend them for final approval with the post-publication changes that are indicated.

Not all of the proposed rules were commented upon. The following discussion describes the most significant comments that were submitted and the Advisory Committee's responses.

Appendix A sets out after each rule a more complete listing of both the comments—including some on rules not discussed below—and the changes made after publication.

*General Comments.* Two bankruptcy judges and the National Conference of Bankruptcy Judges praised the revision of the Part VIII rules, stating that it would lead to improved quality of bankruptcy appellate practice, reduce confusion, and yield a more efficient and effective bankruptcy appellate practice.

*Rule 8002.* Two comments expressed concern about the inclusion of an inmate mailbox rule, which deems a notice of appeal by an inmate timely filed if it is deposited in the institution’s internal mail system on or before the last day for filing. The commenters stated that this rule could delay for several days the determination that a bankruptcy court order or judgment has become final. The Committee continued to support the inclusion of this provision in order to mirror FRAP 4(c). It believed that, given the rarity of inmate appeals in bankruptcy cases, the impact of the provision on finality will be limited.

*Rule 8003.* Several comments pointed out that the provision in subdivision (d) directing the clerk of the appellate court to docket an appeal “under the title of the bankruptcy court action” is unclear since “action” might refer to the overall bankruptcy case or to an adversary proceeding within the case. The Committee agreed that this was an instance in which the FRAP language needs to be modified for the bankruptcy context. It voted to change the wording in Rule 8003(d)(2) and the parallel provision in Rule 8004(c)(2) to “under the title of the bankruptcy case and the title of any adversary proceeding.”

*Rule 8004.* The clerk of a bankruptcy appellate panel (“BAP”) commented on the provision of subdivision (c)(3) that directed the dismissal of an appeal if leave to appeal is denied. She stated that appellants sometimes file a motion for leave to appeal when leave is not required and in that situation, although the motion is denied, dismissal is not appropriate. The Committee voted to delete the sentence in question, which is not contained in either the current bankruptcy rule or FRAP rule from which the proposed rule is derived.

One comment pointed out an inconsistency between proposed Rule 8003 and Rule 8004. Rule 8003(c) requires the bankruptcy clerk to serve the notice of appeal, whereas Rule 8004(a) places that duty on the appellant (along with the motion for leave to appeal). This difference is a carryover from existing practice. The Committee decided to consider in the future whether the service requirement should be the same in both rules.

*Rule 8005.* Several comments questioned whether an election to have an appeal heard by the district court, rather than the BAP, must still be made by a statement in a separate document. Subdivision (a) of the proposed rule refers to an official form that did not exist at the time the rule was published, and some comments also expressed confusion about that reference. At the spring meeting, the Committee approved for publication an amendment to the notice of appeal form, Official Form 17A, that will include a section for making an election under this rule. That form, which if approved will take effect on the same date as the rule, will clarify that the separate-document rule no longer applies.

Two comments addressed the procedure that should apply when an appellee elects to have the district court hear an appeal that was initially sent to the BAP. The Committee agreed with one of the comments that the BAP clerk should notify the bankruptcy clerk if an appeal is transferred to the district court, and it voted to add a sentence to that effect in subdivision (b).

*Rule 8006.* Two comments stated that the proposed rule does not give the bankruptcy court sufficient time to certify a direct appeal to the court of appeals. Under subdivision (b), a matter is deemed to remain pending in the bankruptcy court for purposes of this rule for 30 days after the effective date of the first notice of appeal. The Advisory Committee decided that this time limit strikes an appropriate balance between giving the bankruptcy court time to decide whether to certify a direct appeal and letting the district court or BAP know at a reasonably early time that a certification for direct appeal will not be coming from the bankruptcy court. Under 28 U.S.C. § 158(d)(2), district courts and BAPs also have certification authority.

*Rule 8007.* Two comments questioned the provision of the published rule that appeared to permit a party to seek a stay pending appeal in an appellate court before a notice of appeal has been filed. The comments took the position that, until a notice of appeal is filed, the appellate court lacks jurisdiction to rule on a stay motion. The Committee agreed that the rule should be clarified to eliminate the possibility of filing a motion for a stay in the appellate court prior to the filing of a notice of appeal.

*Rule 8009.* Two bankruptcy judges and the Bankruptcy Clerks Advisory Group submitted comments stating that the practice of having the parties designate the record on appeal is now outdated and that the 8th Circuit BAP's rule regarding the record should be adopted. Under that rule the record before the bankruptcy court is the record on appeal, and parties refer by number to the appropriate bankruptcy court docket entries in their appellate briefs. BAP judges are able to review the entire bankruptcy court record electronically. The Advisory Committee decided that the rule should remain as published but that this issue should be taken up for consideration in the future.

Several comments objected to two FRAP provisions that were included in this rule: subdivision (c) that permits a statement of the evidence when a transcript is unavailable, and subdivision (d) that permits an agreed statement as the record on appeal. As to both, the Committee favored remaining consistent with the parallel FRAP provisions.

*Rule 8010.* Three comments noted that, while subdivision (b)(1) directs the bankruptcy clerk to transmit the record to the appellate clerk when it is complete, it does not specify what the clerk should do if the record is never completed. The Advisory Committee voted to add this issue to the list of matters for future consideration.

*Rule 8013.* One comment suggested that district courts be allowed to require a notice of motion in bankruptcy appeals if they otherwise follow that practice in their court. Another comment made a similar suggestion concerning proposed orders. The Advisory Committee

agreed with these comments and added “Unless the court orders otherwise” to subdivision (a)(2)(D)(ii).

Another comment questioned why a rule allowing intervention on appeal is necessary and whether a party moving to intervene would have standing. The Advisory Committee noted that it is not always clear who is a party to a contested matter, so someone affected by an order being appealed may want to intervene to participate in the appeal. A United States trustee is also sometimes in the position of needing to intervene on appeal.

*Rule 8016.* Two comments raised questions about subdivision (f), which addressed the consequences of failing to file a brief on time. It was unclear why the provision was located in the rule governing cross-appeals, and it seemed to be inconsistent with a provision in Rule 8018. The Advisory Committee thought that the comments were well taken, and it voted to delete the subdivision.

*Rule 8017.* The States’ Association of Bankruptcy Attorneys commented that all governmental units, not just the United States and states, should be permitted to file an amicus brief without consent or leave of court. The Advisory Committee adhered to the decision to make the bankruptcy rule consistent with FRAP 29.

*Rule 8018.* A bankruptcy judge commented that the authorization in subdivision (f) for dismissal of an appeal or cross-appeal should require notice and an opportunity to show cause why the appeal should not be dismissed. The Advisory Committee voted to reword the provision to clarify that dismissal can occur only upon motion of a party or on the court’s own motion, after which the appellant would have an opportunity to respond.

*Rule 8019.* One comment stated that there should not be a presumption in favor of oral argument and that the grounds for not allowing it should not be limited. The Advisory Committee made no change to the proposed rule, which is consistent with current Rule 8012 and FRAP 34(a)(2).

Another comment asserted that there is an inconsistency between subdivision (b), which requires a unanimous vote of a BAP panel to dispense with oral argument, and subdivision (g), which allows a BAP panel by majority vote to require oral argument when the parties agree to submit the case on the briefs. The Advisory Committee concluded that these provisions are consistent with FRAP 34(a)(2) and (f) and with the presumption in favor of oral argument.

*Rule 8021.* The States’ Association of Bankruptcy Attorneys commented that subdivision (b), which permits the assessment of costs for or against the United States, its agencies, and officers only if authorized by law, should apply to all governmental units. The Advisory Committee made no change to this provision, which is consistent with FRAP 39(b).

*Rule 8023.* In its comments, the National Conference of Bankruptcy Judges suggested two issues for future consideration by the Advisory Committee relating to this rule, which governs voluntary dismissals of appeals. (1) In the bankruptcy court Rule 7041 requires a

plaintiff seeking to dismiss an adversary proceeding objecting to the debtor's discharge to provide notice to certain parties and obtain a court order containing appropriate terms and conditions. The NCBJ suggests the need for similar safeguards when that type of proceeding is voluntarily dismissed on appeal. (2) Under Rule 9019 a trustee is required to obtain court approval of any compromise or settlement. The NCBJ stated that it is not clear how Rule 9019 relates to this rule. The Advisory Committee added these issues to its list of matters for future consideration.

*Rule 8024.* The National Conference of Bankruptcy Judges commented that the rule carries forward a problem in current Rule 8016: It does not provide for the issuance of a mandate by the appellate court and thus does not make clear when jurisdiction reverts in the bankruptcy court after the conclusion of an appeal. While the existing rule does not appear to be disrupting bankruptcy administration unduly, the comment suggested that the Advisory Committee consider this issue in the future. The Advisory Committee agreed to do so.

**Action Item 3. Rule 1014(b)** governs the procedure for determining where cases will proceed if petitions are filed in different districts by, against, or regarding the same debtor or related debtors. The rule currently provides that, upon motion, the court in which the first-filed petition is pending may determine—in the interest of justice or for the convenience of the parties—the district or districts in which the cases will proceed. Except as otherwise ordered by that court, proceedings in the cases in the other districts “shall be stayed by the courts in which they have been filed” until the first court makes its determination.

The Advisory Committee proposed amending Rule 1014(b) to provide that proceedings in subsequently filed cases are stayed only upon order of the court in which the first-filed petition is pending and to expand the list of persons entitled to receive notice of a motion in the first court for a determination of where the related cases should proceed. The amendment would state more clearly what event triggers the stay of proceedings in the court in which a subsequent petition is filed. The current rule has led to uncertainty about whether the stay goes into effect immediately upon the filing of the second petition or only upon the filing of a motion to determine where the cases should proceed. Rather than selecting either of these options, the Committee decided that an order by the first court should be required. That requirement would eliminate any uncertainty about whether a stay was in effect. It would also permit a judicial determination—not just a party's assertion—that the rule applies and that a stay of other proceedings is needed.

Four sets of comments were submitted in response to the publication of the proposed amendments. Two of the commenters—Bankruptcy Judge Robert J. Kressel and the National Conference of Bankruptcy Judges—questioned the jurisdiction of the first court to enjoin parties to other cases. The States' Association of Bankruptcy Attorneys raised four issues. Its comment stated that (1) the rule does not clearly state that the first court has exclusive authority to determine the venue of the related cases; (2) it is not clear who can seek a determination of where the cases can proceed; (3) the Committee Note says that the clerk can order the moving party to provide notice, but that party will not always have the information needed to provide notice to parties in other cases; and (4) a time limit should be imposed for seeking a determination in the

first court. Finally, Bankruptcy Judge Christopher Klein commented that the current rule generally works well and engenders cooperation among the affected courts, something he fears will not happen under the amended rule.

Regarding the jurisdictional issue that was raised, the Advisory Committee noted that the rule—in its current form as well as in the proposed amended version—allows a court to order a change of venue of cases pending in other courts. The accompanying stay provision is intended to prevent the entry of inconsistent orders while the venue situation is resolved by the first court.

The proposed amendment both clarifies and narrows the scope of the stay provision. The current rule applies a blanket rule that all the later-filed cases are stayed while the first court makes the venue determination. The amended rule would limit the stay to situations in which the first court finds that the rule in fact applies and that a stay is needed. Bankruptcy courts have long been held to have jurisdiction to issue stays to protect the estate being administered, including stays to protect the individuals managing the estate. *Ex parte Christy*, 44 U.S. 292, 318 (1845) (recognizing the power of a court presiding over a bankruptcy case to issue stays of other proceedings); *Celotex Corp. v. Edwards*, 514 U.S. 300, 313 (1995) (enforcing a bankruptcy court’s injunction preventing judgment creditors from proceeding against sureties). Consistent with this authority, the legitimacy of the existing rule’s stay authority has not been questioned. The Committee concluded that an amendment that reduces the scope of that authority would be equally valid.

In considering the comments of the States’ Association of Bankruptcy Attorneys, the Committee concluded that the amended rule would give the first court exclusive authority to determine where the related cases will proceed if a motion for that purpose is filed in that court. The Committee did not support imposing a time limit for filing the motion because of the varying circumstances in which this rule might be invoked. The Committee also concluded that the rule did not need to be more specific about the provision of notice. It did, however, vote to make a wording change regarding notice that was suggested by the National Conference of Bankruptcy Judges.

Despite Judge Klein’s positive experience with current Rule 1014(b), the Committee remained concerned that it imposes a stay of other cases at a time that is uncertain and under circumstances of which affected courts and parties may be unaware.

The Committee therefore unanimously voted to approve the amendments to Rule 1014(b) with one wording change.

**Action Item 4. Rule 7004(e)** governs the time during which a summons is valid after its issuance in an adversary proceeding. The current rule provides that a summons is valid so long as it is served within 14 days of its issuance. The Advisory Committee sought publication of an amendment to reduce that period from 14 days to 7 days. The concern prompting the amendment is that a 14-day delay before service of a summons may unduly limit the defendant’s time to answer, which is calculated under Rule 7012 of the Bankruptcy Rules from the date the summons

is issued and not (as is the case under the Civil Rules) the date it is served. Because summonses are routinely issued electronically and served by mail (as permitted under Rule 7004(b)), the Advisory Committee believed that a seven-day service window would be sufficient.

Upon publication of the amendment, the Advisory Committee received four comments. Each of the comments raised essentially the same issue—that a seven-day window to serve a summons may be too short in some circumstances. Two comments noted that service by mail is not permitted under Rule 7004(b) when the recipient’s postal address is not a “dwelling house or usual place of abode or . . . the place where the individual regularly conducts a business or profession.” If, for example, the recipient has only a post office box, the Bankruptcy Rules do not provide for service by mail. Effecting service within seven days may be impracticable under those circumstances. One comment observed that with an unrepresented plaintiff or one whose lawyer is not a registered electronic filer, the summons will not be issued electronically. If the party receives the summons by mail from the clerk, some or all of the seven-day period will expire, making timely service unlikely. A similar concern was raised with respect to judges who require the inclusion of a scheduling order with the summons. The scheduling order might not be prepared for several days, which could impede the ability to make timely service.

For three reasons, the Advisory Committee concluded that the concerns raised by the comments did not justify altering or abandoning the amendment to Rule 7004(e). First, the principal concern expressed by the comments—that a seven-day service window might be insufficient in particular circumstances—had been contemplated by the Advisory Committee. Those circumstances were considered to be infrequent and, if they did arise, were thought to be best handled through a request for an enlargement of the time to serve the summons under Rule 9006(b). The comments do not suggest that the Advisory Committee was mistaken in its consideration of the issue. In response to the comments, the Advisory Committee has added language to the Committee Note accompanying the amendment in order to highlight the availability of an enlargement of time under Rule 9006(b).

Second, the alternative approaches to service of summonses offered by the comments would require significant changes to the Bankruptcy Rules. The Advisory Committee, however, sought to make the least disruptive change that would ensure sufficient time to serve, and respond to, a summons. The Advisory Committee rejected an alternative amendment to Rule 7012 that would lengthen the defendant’s time to answer, because that approach would not serve the need to expedite proceedings in bankruptcy. The Advisory Committee also declined to make more extensive changes to Rule 7004, such as adopting the Civil Rules’ method of calculating the defendant’s time to respond.

Third, the published amendment’s 7-day time to serve a summons, although less than the 14-day period under the current rule, is close to the ten-day period that prevailed before it was lengthened by the Time-Computation Project. The comments suggest that further study may be warranted with respect to harmonizing the Bankruptcy and Civil Rules on issuance and service of a summons and complaint. But that project is well beyond the scope of the published amendment.

Accordingly, the Advisory Committee voted unanimously to recommend final approval of the text of the amended rule as published, together with a revised Committee Note.

**Action Item 5. Rules 7008(b) and 7054** would be amended to change the procedure for seeking attorney's fees in bankruptcy proceedings. The Advisory Committee proposed the amendments in order to clarify and to promote uniformity in the procedures for seeking an award of attorney's fees. Rule 7054 would be amended to include much of the substance of Civil Rule 54(d)(2). Rule 7008(b), which currently addresses attorney's fees, would be deleted. By bringing the Bankruptcy Rules into closer alignment with the Civil Rules, the amendments would eliminate a potential trap for an attorney, particularly one familiar with the Civil Rules, who might overlook the requirement in Rule 7008(b) to plead a request for attorney's fees as a claim in the complaint, answer, or other pleading. As under the Civil Rules, the procedure for seeking an award of attorney's fees would be governed exclusively by Rule 7054, unless the governing substantive law requires the fees to be proved at trial as an element of damages.

Two comments were submitted on these amendments. The States' Association of Bankruptcy Attorneys addressed the sentence in Rule 7054(b)(1), which is not proposed for amendment, that permits the award of costs against the United States, its officers, and agencies only to the extent permitted by law. The Association suggested that the provision be broadened to apply to all governmental units. The other comment was submitted by attorney Louis M. Bubala III. Mr. Bubala stated that he was "pleased especially with the proposed elimination of Rule 7008(b) and addition of Rule 7054(b)(2) regarding claims for attorney's fees. The current rules have caused problems over the years, and the adoption of the procedure from the civil rules is a good one."

The Advisory Committee voted unanimously to approve the amendments as published.

**Action Item 6. Rule 9023**, which governs New Trials; Amendment of Judgments, and **Rule 9024**, which governs Relief from Judgment or Order, would be amended to include a cross-reference to proposed Rule 8008, which governs Indicative Rulings. The Advisory Committee proposed these amendments in order to call attention at an appropriate place in the rules to that new bankruptcy appellate rule. Rule 8008 prescribes procedures for both the bankruptcy court and the appellate court when an indicative ruling is sought. It therefore incorporates provisions of both Civil Rule 62.1 and FRAP 12.1. Because a litigant filing a post-judgment motion that implicates the indicative-ruling procedure will not encounter a rule similar to Civil Rule 62.1 in either the Part VII or Part IX rules, the Committee decided that it would be useful to include a cross-reference to Rule 8008 in the rules governing post-judgment motions.

The only comment submitted in response to the publication of these amendments was from the National Conference of Bankruptcy Judges. It commented that a cross-reference to another rule is more appropriately placed in a Committee Note than in the rule itself.

The Advisory Committee voted unanimously to approve the amendments to these rules as published because a Committee Note may not be amended without an amendment of the rule.

Furthermore, several comments on the Part VIII rules suggested that it is helpful to have a cross-reference to another rule included in the rule, rather than in the Committee Note, because Committee Notes are not always published in rule compilations and are often overlooked.

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**PROPOSED AMENDMENTS TO THE FEDERAL  
RULES OF BANKRUPTCY PROCEDURE\***

1 **Rule 1014. Dismissal and Change of Venue**

2 \* \* \* \* \*

3 (b) PROCEDURE WHEN PETITIONS  
4 INVOLVING THE SAME DEBTOR OR RELATED  
5 DEBTORS ARE FILED IN DIFFERENT COURTS. If  
6 petitions commencing cases under the Code or seeking  
7 recognition under chapter 15 are filed in different districts  
8 by, regarding, or against (1) the same debtor, (2) a  
9 partnership and one or more of its general partners, (3) two  
10 or more general partners, or (4) a debtor and an affiliate, ~~on~~  
11 ~~motion filed~~the court in the district in which the first-filed  
12 ~~petition filed first~~ is pending ~~and after hearing on notice to~~  
13 ~~the petitioners, the United States trustee, and other entities~~  
14 ~~as directed by the court, the court~~ may determine, in the

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\* New material is underlined; matter to be omitted is lined through.

## 2 FEDERAL RULES OF BANKRUPTCY PROCEDURE

15 interest of justice or for the convenience of the parties, the  
16 district or districts in which ~~the case or~~ any of the cases  
17 should proceed. The court may so determine on motion  
18 and after a hearing, with notice to the following entities in  
19 the affected cases: the United States trustee, entities  
20 entitled to notice under Rule 2002(a), and other entities as  
21 the court directs. ~~Except as otherwise ordered by the~~The  
22 ~~court in the district in which the petition filed first is~~  
23 ~~pending,~~may order the parties to the later-filed cases not to  
24 proceed further ~~the proceedings on the other petitions shall~~  
25 ~~be stayed by the courts in which they have been filed until~~  
26 it makes ~~the determination is made.~~

### **Committee Note**

Subdivision (b) provides a practical solution for resolving venue issues when related cases are filed in different districts. It designates the court in which the first-filed petition is pending as the decision maker if a party seeks a determination of where the related cases should proceed. Subdivision (b) is amended to clarify when

proceedings in the subsequently filed cases are stayed. It requires an order of the court in which the first-filed petition is pending to stay proceedings in the related cases. Requiring a court order to trigger the stay will prevent the disruption of other cases unless there is a judicial determination that this subdivision of the rule applies and that a stay of related cases is needed while the court makes its venue determination.

Notice of the hearing must be given to all debtors, trustees, creditors, indenture trustees, and United States trustees in the affected cases, as well as any other entity that the court directs. Because the clerk of the court that makes the determination often may lack access to the names and addresses of entities in other cases, a court may order the moving party to provide notice.

The other changes to subdivision (b) are stylistic.

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### **Changes Made After Publication and Comment**

The only change made after publication and comment was stylistic.

4 FEDERAL RULES OF BANKRUPTCY PROCEDURE

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

2 \* \* \* \* \*

3 (e) SUMMONS: TIME LIMIT FOR SERVICE  
4 WITHIN THE UNITED STATES. Service made under  
5 Rule 4(e), (g), (h)(1), (i), or (j)(2) F.R.Civ.P. shall be by  
6 delivery of the summons and complaint within ~~14~~7 days  
7 after the summons is issued. If service is by any authorized  
8 form of mail, the summons and complaint shall be  
9 deposited in the mail within ~~14~~7 days after the summons is  
10 issued. If a summons is not timely delivered or mailed,  
11 another summons ~~shall~~will be issued ~~and served for~~  
12 service. This subdivision does not apply to service in a  
13 foreign country.

14 \* \* \* \* \*

**Committee Note**

Subdivision (e) is amended to alter the period of time during which service of the summons and complaint must be made. The amendment reduces that period from fourteen days to seven days after issuance of the summons. Because Rule 7012 provides that the defendant's time to answer the complaint is calculated from the date the

summons is issued, a lengthy delay between issuance and service of the summons may unduly shorten the defendant's time to respond. The amendment is therefore intended to encourage prompt service after issuance of a summons. If service of the summons within any seven-day period is impracticable, a court retains the discretion to enlarge that period of time under Rule 9006(b).

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#### **Changes Made After Publication and Comment**

A new sentence referring to the availability of an enlargement of time under Rule 9006(b) was added to the Committee Note. The only other change made after publication and comment was stylistic.

1 **Rule 7008. General Rules of Pleading**

2 ~~(a) APPLICABILITY OF RULE 8 F.R.CIV.P.~~

3 Rule 8 F.R.Civ.P. applies in adversary proceedings. The  
4 allegation of jurisdiction required by Rule 8(a) shall also  
5 contain a reference to the name, number, and chapter of the  
6 case under the Code to which the adversary proceeding  
7 relates and to the district and division where the case under  
8 the Code is pending. In an adversary proceeding before a  
9 bankruptcy judge, the complaint, counterclaim, cross-  
10 claim, or third-party complaint shall contain a statement  
11 that the proceeding is core or non-core and, if non-core,  
12 that the pleader does or does not consent to entry of final  
13 orders or judgment by the bankruptcy judge.

14 ~~(b) ATTORNEY'S FEES. A request for an award of~~  
15 ~~attorney's fees shall be pleaded as a claim in a complaint,~~  
16 ~~cross claim, third party complaint, answer, or~~  
17 ~~reply as may be appropriate.~~

### **Committee Note**

The rule is amended to delete subdivision (b), which required a request for attorney's fees always to be pleaded as a claim in an allowed pleading. That requirement, which differed from the practice under the Federal Rules of Civil Procedure, had the potential to serve as a trap for the unwary.

The procedures for seeking an award of attorney's fees are now set out in Rule 7054(b)(2), which makes applicable most of the provisions of Rule 54(d)(2) F.R.Civ.P. As specified by Rule 54(d)(2)(A) and (B) F.R.Civ.P., a claim for attorney's fees must be made by a motion filed no later than 14 days after entry of the judgment unless the governing substantive law requires those fees to be proved at trial as an element of damages. When fees are an element of damages, such as when the terms of a contract provide for the recovery of fees incurred prior to the instant adversary proceeding, the general pleading requirements of this rule still apply.

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### **Changes Made After Publication and Comment**

No changes were made after publication and comment.

8 FEDERAL RULES OF BANKRUPTCY PROCEDURE

1 **Rule 7054. Judgments; Costs**

2 (a) JUDGMENTS. Rule 54(a)-(c) F.R.Civ.P.  
3 applies in adversary proceedings.

4 (b) COSTS; ATTORNEY'S FEES.

5 (1) Costs Other Than Attorney's Fees. The  
6 court may allow costs to the prevailing party except  
7 when a statute of the United States or these rules  
8 otherwise provides. Costs against the United States,  
9 its officers and agencies shall be imposed only to the  
10 extent permitted by law. Costs may be taxed by the  
11 clerk on 14 days' notice; on motion served within  
12 seven days thereafter, the action of the clerk may be  
13 reviewed by the court.

14 (2) Attorney's Fees.

15 (A) Rule 54(d)(2)(A)-(C) and (E)  
16 F.R.Civ.P. applies in adversary proceedings  
17 except for the reference in Rule 54(d)(2)(C) to  
18 Rule 78.

19                            (B) By local rule, the court may establish  
 20                            special procedures to resolve fee-related issues  
 21                            without extensive evidentiary hearings.

**Committee Note**

Subdivision (b) is amended to prescribe the procedure for seeking an award of attorney’s fees and related nontaxable expenses in adversary proceedings. It does so by adding new paragraph (2) that incorporates most of the provisions of Rule 54(d)(2) F.R.Civ.P. The title of subdivision (b) is amended to reflect the new content, and the previously existing provision governing costs is renumbered as paragraph (1) and re-titled.

As provided in Rule 54(d)(2)(A), new subsection (b)(2) does not apply to fees recoverable as an element of damages, as when sought under the terms of a contract providing for the recovery of fees incurred prior to the instant adversary proceeding. Such fees typically are required to be claimed in a pleading.

Rule 54(d)(2)(D) F.R.Civ.P. does not apply in adversary proceedings insofar as it authorizes the referral of fee matters to a master or a magistrate judge. The use of masters is not authorized in bankruptcy cases, *see* Rule 9031, and 28 U.S.C. § 636 does not authorize a magistrate judge to exercise jurisdiction upon referral by a bankruptcy judge. The remaining provision of Rule 54(d)(2)(D) is expressed in subdivision (b)(2)(B) of this rule.

10 FEDERAL RULES OF BANKRUPTCY PROCEDURE

Rule 54(d)(2)(C) refers to Rule 78 F.R.Civ.P., which is not applicable in adversary proceedings. Accordingly, that reference is not incorporated by this rule.

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**Changes Made After Publication and Comment**

No changes were made after publication and comment.

1 **Rule 9023. New Trials; Amendment of Judgments**

2 Except as provided in this rule and Rule 3008,  
3 Rule 59 F.R.Civ.P. applies in cases under the Code. A  
4 motion for a new trial or to alter or amend a judgment shall  
5 be filed, and a court may on its own order a new trial, no  
6 later than 14 days after entry of judgment. In some  
7 circumstances, Rule 8008 governs post-judgment motion  
8 practice after an appeal has been docketed and is pending.

**Committee Note**

This rule is amended to include a cross-reference to Rule 8008. That rule governs the issuance of an indicative ruling when relief is sought that the court lacks authority to grant because of an appeal that has been docketed and is pending.

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**Changes Made After Publication and Comment**

No changes were made after publication and comment.

1 **Rule 9024. Relief from Judgment or Order**

2 Rule 60 F.R.Civ.P. applies in cases under the Code  
3 except that (1) a motion to reopen a case under the Code or  
4 for the reconsideration of an order allowing or disallowing  
5 a claim against the estate entered without a contest is not  
6 subject to the one year limitation prescribed in Rule 60(c),  
7 (2) a complaint to revoke a discharge in a chapter 7  
8 liquidation case may be filed only within the time allowed  
9 by § 727(e) of the Code, and (3) a complaint to revoke an  
10 order confirming a plan may be filed only within the time  
11 allowed by § 1144, § 1230, or § 1330. In some  
12 circumstances, Rule 8008 governs post-judgment motion  
13 practice after an appeal has been docketed and is pending.

**Committee Note**

This rule is amended to include a cross-reference to Rule 8008. That rule governs the issuance of an indicative ruling when relief is sought that the court lacks authority to

grant because of an appeal that has been docketed and is pending.

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**Changes Made After Publication and Comment**

No changes were made after publication and comment.

**PART VIII. BANKRUPTCY APPEALS\***

1 **Rule 8001. Scope of Part VIII Rules; Definition of**  
2 **“BAP”; Method of Transmission**

3 (a) GENERAL SCOPE. These Part VIII rules govern  
4 the procedure in a United States district court and a  
5 bankruptcy appellate panel on appeal from a judgment, order,  
6 or decree of a bankruptcy court. They also govern certain  
7 procedures on appeal to a United States court of appeals  
8 under 28 U.S.C. § 158(d).

9 (b) DEFINITION OF “BAP.” “BAP” means a  
10 bankruptcy appellate panel established by a circuit’s judicial

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\* The proposed amendments to Part VIII of the Bankruptcy Rules are comprehensive. Existing rules have been reorganized and renumbered, some rules have been combined, and provisions of other rules have been moved to new locations. Much of the language of the existing rules has been restyled. Because of the comprehensive nature of the proposed revision, it is not possible to present the amendments in a redlined version that points out changes to the existing rules. Nor can the proposed revision be presented in a comparative format as was previously used for the restyled Evidence Rules.

11 council and authorized to hear appeals from a bankruptcy  
12 court under 28 U.S.C. § 158.

13 (c) METHOD OF TRANSMITTING DOCUMENTS.

14 A document must be sent electronically under these Part VIII  
15 rules, unless it is being sent by or to an individual who is not  
16 represented by counsel or the court's governing rules permit  
17 or require mailing or other means of delivery.

#### **Committee Note**

These Part VIII rules apply to appeals under 28 U.S.C. § 158(a) from bankruptcy courts to district courts and BAPs. The Federal Rules of Appellate Procedure generally govern bankruptcy appeals to courts of appeals.

Eight of the Part VIII rules do, however, relate to appeals to courts of appeals. Rule 8004(e) provides that the authorization by a court of appeals of a direct appeal of a bankruptcy court's interlocutory order or decree constitutes a grant of leave to appeal. Rule 8006 governs the procedure for certification under 28 U.S.C. § 158(d)(2) of a direct appeal from a judgment, order, or decree of a bankruptcy court to a court of appeals. Rule 8007 addresses stays pending a direct appeal to a court of appeals. Rule 8008 authorizes a bankruptcy court to issue an indicative ruling while an appeal is pending in a court of appeals. Rules 8009 and 8010 govern

the record on appeal in a direct appeal to a court of appeals. Rule 8025 governs the granting of a stay of a district court or BAP judgment pending an appeal to the court of appeals. And Rule 8028 authorizes the court of appeals to suspend applicable Part VIII rules in a particular case, subject to certain enumerated exceptions.

These rules take account of the evolving technology in the federal courts for the electronic filing, storage, and transmission of documents. Except as applied to pro se parties, the Part VIII rules require documents to be sent electronically, unless applicable court rules or orders expressly require or permit another means of sending a particular document.

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#### **Changes Made After Publication and Comment**

No changes were made after publication and comment.

1 **Rule 8002. Time for Filing Notice of Appeal**

2 (a) IN GENERAL.

3 (1) *Fourteen-Day Period.* Except as provided in  
4 subdivisions (b) and (c), a notice of appeal must be filed  
5 with the bankruptcy clerk within 14 days after entry of  
6 the judgment, order, or decree being appealed.

7 (2) *Filing Before the Entry of Judgment.* A  
8 notice of appeal filed after the bankruptcy court  
9 announces a decision or order—but before entry of the  
10 judgment, order, or decree—is treated as filed on the  
11 date of and after the entry.

12 (3) *Multiple Appeals.* If one party files a timely  
13 notice of appeal, any other party may file a notice of  
14 appeal within 14 days after the date when the first notice  
15 was filed, or within the time otherwise allowed by this  
16 rule, whichever period ends later.

18 FEDERAL RULES OF BANKRUPTCY PROCEDURE

17 (4) *Mistaken Filing in Another Court.* If a notice  
18 of appeal is mistakenly filed in a district court, BAP, or  
19 court of appeals, the clerk of that court must state on the  
20 notice the date on which it was received and transmit it  
21 to the bankruptcy clerk. The notice of appeal is then  
22 considered filed in the bankruptcy court on the date so  
23 stated.

24 (b) EFFECT OF A MOTION ON THE TIME TO  
25 APPEAL.

26 (1) *In General.* If a party timely files in the  
27 bankruptcy court any of the following motions, the time  
28 to file an appeal runs for all parties from the entry of the  
29 order disposing of the last such remaining motion:

30 (A) to amend or make additional findings  
31 under Rule 7052, whether or not granting the  
32 motion would alter the judgment;

33 (B) to alter or amend the judgment under  
34 Rule 9023;

35 (C) for a new trial under Rule 9023; or

36 (D) for relief under Rule 9024 if the motion  
37 is filed within 14 days after the judgment is  
38 entered.

39 (2) *Filing an Appeal Before the Motion is*  
40 *Decided.* If a party files a notice of appeal after the  
41 court announces or enters a judgment, order, or  
42 decree—but before it disposes of any motion listed in  
43 subdivision (b)(1)—the notice becomes effective when  
44 the order disposing of the last such remaining motion is  
45 entered.

46 (3) *Appealing the Ruling on the Motion.* If a  
47 party intends to challenge an order disposing of any  
48 motion listed in subdivision (b)(1)—or the alteration or

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49 amendment of a judgment, order, or decree upon the  
50 motion—the party must file a notice of appeal or an  
51 amended notice of appeal. The notice or amended  
52 notice must comply with Rule 8003 or 8004 and be filed  
53 within the time prescribed by this rule, measured from  
54 the entry of the order disposing of the last such  
55 remaining motion.

56 (4) *No Additional Fee.* No additional fee is  
57 required to file an amended notice of appeal.

58 (c) APPEAL BY AN INMATE CONFINED IN AN  
59 INSTITUTION.

60 (1) *In General.* If an inmate confined in an  
61 institution files a notice of appeal from a judgment,  
62 order, or decree of a bankruptcy court, the notice is  
63 timely if it is deposited in the institution’s internal mail  
64 system on or before the last day for filing. If the

65 institution has a system designed for legal mail, the  
66 inmate must use that system to receive the benefit of this  
67 rule. Timely filing may be shown by a declaration in  
68 compliance with 28 U.S.C. § 1746 or by a notarized  
69 statement, either of which must set forth the date of  
70 deposit and state that first-class postage has been  
71 prepaid.

72 (2) *Multiple Appeals.* If an inmate files under  
73 this subdivision the first notice of appeal, the 14-day  
74 period provided in subdivision (a)(3) for another party  
75 to file a notice of appeal runs from the date when the  
76 bankruptcy clerk docketed the first notice.

77 (d) EXTENDING THE TIME TO APPEAL.

78 (1) *When the Time May be Extended.* Except as  
79 provided in subdivision (d)(2), the bankruptcy court may  
80 extend the time to file a notice of appeal upon a party's

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81 motion that is filed:

82 (A) within the time prescribed by this rule;

83 or

84 (B) within 21 days after that time, if the  
85 party shows excusable neglect.

86 (2) *When the Time May Not be Extended.* The  
87 bankruptcy court may not extend the time to file a notice  
88 of appeal if the judgment, order, or decree appealed  
89 from:

90 (A) grants relief from an automatic stay  
91 under § 362, 922, 1201, or 1301 of the Code;

92 (B) authorizes the sale or lease of property  
93 or the use of cash collateral under § 363 of the  
94 Code;

95 (C) authorizes the obtaining of credit under  
96 § 364 of the Code;

97 (D) authorizes the assumption or assignment  
98 of an executory contract or unexpired lease under  
99 § 365 of the Code;

100 (E) approves a disclosure statement under  
101 § 1125 of the Code; or

102 (F) confirms a plan under § 943, 1129,  
103 1225, or 1325 of the Code.

104 (3) *Time Limits on an Extension.* No extension  
105 of time may exceed 21 days after the time prescribed by  
106 this rule, or 14 days after the order granting the motion  
107 to extend time is entered, whichever is later.

**Committee Note**

This rule is derived from former Rule 8002 and F.R.App.P. 4(a) and (c). With the exception of subdivision (c), the changes to the former rule are stylistic. The rule retains the former rule's 14-day time period for filing a notice of appeal, as opposed to the longer periods permitted for appeals in civil cases under F.R.App.P. 4(a).

Subdivision (a) continues to allow any other party to file

a notice of appeal within 14 days after the first notice of appeal is filed, or thereafter to the extent otherwise authorized by this rule. Subdivision (a) also retains provisions of the former rule that prescribe the date the notice of appeal is deemed filed if the appellant files it prematurely or in the wrong court.

Subdivision (b), like former Rule 8002(b) and F.R.App.P. 4(a), tolls the time for filing a notice of appeal when certain postjudgment motions are filed, and it prescribes the effective date of a notice of appeal that is filed before the court disposes of all of the specified motions. As under the former rule, a party that wants to appeal the court's disposition of the motion or the alteration or amendment of a judgment, order, or decree in response to such a motion must file a notice of appeal or, if it has already filed one, an amended notice of appeal.

Although Rule 8003(a)(3)(C) requires a notice of appeal to be accompanied by the required fee, no additional fee is required for the filing of an amended notice of appeal.

Subdivision (c) mirrors the provisions of F.R.App.P. 4(c)(1) and (2), which specify timing rules for a notice of appeal filed by an inmate confined in an institution.

Subdivision (d) continues to allow the court to grant an extension of time to file a notice of appeal, except with respect to certain specified judgments, orders, and decrees.

**Changes Made After Publication and Comment**

Stylistic changes were made to the title of subdivision (b)(3) and to subdivision (c)(1).

1 **Rule 8003. Appeal as of Right—How Taken; Docketing**  
2 **the Appeal**

3 (a) FILING THE NOTICE OF APPEAL.

4 (1) *In General.* An appeal from a judgment,  
5 order, or decree of a bankruptcy court to a district court  
6 or BAP under 28 U.S.C. § 158(a)(1) or (a)(2) may be  
7 taken only by filing a notice of appeal with the  
8 bankruptcy clerk within the time allowed by Rule 8002.

9 (2) *Effect of Not Taking Other Steps.* An  
10 appellant's failure to take any step other than the timely  
11 filing of a notice of appeal does not affect the validity of  
12 the appeal, but is ground only for the district court or  
13 BAP to act as it considers appropriate, including  
14 dismissing the appeal.

15 (3) *Contents.* The notice of appeal must:

16 (A) conform substantially to the appropriate  
17 Official Form;

18 (B) be accompanied by the judgment, order,  
19 or decree, or the part of it, being appealed; and

20 (C) be accompanied by the prescribed fee.

21 (4) *Additional Copies.* If requested to do so, the  
22 appellant must furnish the bankruptcy clerk with enough  
23 copies of the notice to enable the clerk to comply with  
24 subdivision (c).

25 (b) JOINT OR CONSOLIDATED APPEALS.

26 (1) *Joint Notice of Appeal.* When two or more  
27 parties are entitled to appeal from a judgment, order, or  
28 decree of a bankruptcy court and their interests make  
29 joinder practicable, they may file a joint notice of  
30 appeal. They may then proceed on appeal as a single  
31 appellant.

32 (2) *Consolidating Appeals.* When parties have  
33 separately filed timely notices of appeal, the district

34 court or BAP may join or consolidate the appeals.

35 (c) SERVING THE NOTICE OF APPEAL.

36 (1) *Serving Parties and Transmitting to the*  
37 *United States Trustee.* The bankruptcy clerk must serve  
38 the notice of appeal on counsel of record for each party  
39 to the appeal, excluding the appellant, and transmit it to  
40 the United States trustee. If a party is proceeding pro se,  
41 the clerk must send the notice of appeal to the party's  
42 last known address. The clerk must note, on each copy,  
43 the date when the notice of appeal was filed.

44 (2) *Effect of Failing to Serve or Transmit Notice.*  
45 The bankruptcy clerk's failure to serve notice on a party  
46 or transmit notice to the United States trustee does not  
47 affect the validity of the appeal.

48 (3) *Noting Service on the Docket.* The clerk must  
49 note on the docket the names of the parties served and

50 the date and method of the service.

51 (d) TRANSMITTING THE NOTICE OF APPEAL TO  
52 THE DISTRICT COURT OR BAP; DOCKETING THE  
53 APPEAL.

54 (1) *Transmitting the Notice.* The bankruptcy  
55 clerk must promptly transmit the notice of appeal to the  
56 BAP clerk if a BAP has been established for appeals  
57 from that district and the appellant has not elected to  
58 have the district court hear the appeal. Otherwise, the  
59 bankruptcy clerk must promptly transmit the notice to  
60 the district clerk.

61 (2) *Docketing in the District Court or BAP.*  
62 Upon receiving the notice of appeal, the district or BAP  
63 clerk must docket the appeal under the title of the  
64 bankruptcy case and the title of any adversary  
65 proceeding, and must identify the appellant, adding the

66 appellant's name if necessary.

### **Committee Note**

This rule is derived from several former Bankruptcy Rule and Appellate Rule provisions. It addresses appeals as of right, joint and consolidated appeals, service of the notice of appeal, and the timing of the docketing of an appeal in the district court or BAP.

Subdivision (a) incorporates, with stylistic changes, much of the content of former Rule 8001(a) regarding the taking of an appeal as of right under 28 U.S.C. § 158(a)(1) or (2). The rule now requires that the judgment, order, or decree being appealed be attached to the notice of appeal.

Subdivision (b), which is an adaptation of F.R.App.P. 3(b), permits the filing of a joint notice of appeal by multiple appellants that have sufficiently similar interests that their joinder is practicable. It also allows the district court or BAP to consolidate appeals taken separately by two or more parties.

Subdivision (c) is derived from former Rule 8004 and F.R.App.P. 3(d). Under Rule 8001(c), the former rule's requirement that service of the notice of appeal be accomplished by mailing is generally modified to require that the bankruptcy clerk serve counsel by electronic means. Service on pro se parties must be made by sending the notice to the address most recently provided to the court.

Subdivision (d) modifies the provision of former

Rule 8007(b), which delayed the docketing of an appeal by the district court or BAP until the record was complete and the bankruptcy clerk transmitted it. The new provision, adapted from F.R.App.P. 3(d) and 12(a), requires the bankruptcy clerk to promptly transmit the notice of appeal to the clerk of the district court or BAP. Upon receipt of the notice of appeal, the district or BAP clerk must docket the appeal. Under this procedure, motions filed in the district court or BAP prior to completion and transmission of the record can generally be placed on the docket of an already pending appeal.

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#### **Changes Made After Publication and Comment**

In subdivision (d)(2), the direction for docketing a bankruptcy appeal was changed to reflect the fact that many bankruptcy appeals have dual titles—the bankruptcy case itself and the adversary proceeding that is the subject of the appeal. Stylistic changes were made to subdivision (c)(1). Conforming changes were made to the Committee Note.

1 **Rule 8004. Appeal by Leave—How Taken; Docketing the**  
2 **Appeal**

3 (a) NOTICE OF APPEAL AND MOTION FOR  
4 LEAVE TO APPEAL. To appeal from an interlocutory order  
5 or decree of a bankruptcy court under 28 U.S.C. § 158(a)(3),  
6 a party must file with the bankruptcy clerk a notice of appeal  
7 as prescribed by Rule 8003(a). The notice must:

8 (1) be filed within the time allowed by  
9 Rule 8002;

10 (2) be accompanied by a motion for leave to  
11 appeal prepared in accordance with subdivision (b); and

12 (3) unless served electronically using the court's  
13 transmission equipment, include proof of service in  
14 accordance with Rule 8011(d).

15 (b) CONTENTS OF THE MOTION; RESPONSE.

16 (1) *Contents.* A motion for leave to appeal under  
17 28 U.S.C. § 158(a)(3) must include the following:

18 (A) the facts necessary to understand the  
19 question presented;

20 (B) the question itself;

21 (C) the relief sought;

22 (D) the reasons why leave to appeal should  
23 be granted; and

24 (E) a copy of the interlocutory order or  
25 decree and any related opinion or memorandum.

26 (2) *Response.* A party may file with the district  
27 or BAP clerk a response in opposition or a cross-motion  
28 within 14 days after the motion is served.

29 (c) TRANSMITTING THE NOTICE OF APPEAL  
30 AND THE MOTION; DOCKETING THE APPEAL;  
31 DETERMINING THE MOTION.

32 (1) *Transmitting to the District Court or BAP.*

33 The bankruptcy clerk must promptly transmit the notice

34 of appeal and the motion for leave to the BAP clerk if a  
35 BAP has been established for appeals from that district  
36 and the appellant has not elected to have the district  
37 court hear the appeal. Otherwise, the bankruptcy clerk  
38 must promptly transmit the notice and motion to the  
39 district clerk.

40 (2) *Docketing in the District Court or BAP.*

41 Upon receiving the notice and motion, the district or  
42 BAP clerk must docket the appeal under the title of the  
43 bankruptcy case and the title of any adversary  
44 proceeding, and must identify the appellant, adding the  
45 appellant's name if necessary.

46 (3) *Oral Argument Not Required.* The motion  
47 and any response or cross-motion are submitted without  
48 oral argument unless the district court or BAP orders  
49 otherwise.

50 (d) FAILURE TO FILE A MOTION WITH A  
51 NOTICE OF APPEAL. If an appellant timely files a notice  
52 of appeal under this rule but does not include a motion for  
53 leave, the district court or BAP may order the appellant to file  
54 a motion for leave, or treat the notice of appeal as a motion  
55 for leave and either grant or deny it. If the court orders that a  
56 motion for leave be filed, the appellant must do so within 14  
57 days after the order is entered, unless the order provides  
58 otherwise.

59 (e) DIRECT APPEAL TO A COURT OF APPEALS.  
60 If leave to appeal an interlocutory order or decree is required  
61 under 28 U.S.C. § 158(a)(3), an authorization of a direct  
62 appeal by the court of appeals under 28 U.S.C. § 158(d)(2)  
63 satisfies the requirement.

**Committee Note**

This rule is derived from former Rules 8001(b) and 8003 and F.R.App.P. 5. It retains the practice for interlocutory

bankruptcy appeals of requiring a notice of appeal to be filed along with a motion for leave to appeal. Like current Rule 8003, it alters the timing of the docketing of the appeal in the district court or BAP.

Subdivision (a) requires a party seeking leave to appeal under 28 U.S.C. § 158(a)(3) to file with the bankruptcy clerk both a notice of appeal and a motion for leave to appeal.

Subdivision (b) prescribes the contents of the motion, retaining the requirements of former Rule 8003(a). It also continues to allow another party to file a cross-motion or response to the appellant's motion. Because of the prompt docketing of the appeal under the current rule, the cross-motion or response must be filed in the district court or BAP, rather than in the bankruptcy court as the former rule required.

Subdivision (c) requires the bankruptcy clerk to transmit promptly to the district court or BAP the notice of appeal and the motion for leave to appeal. Upon receipt of the notice and the motion, the district or BAP clerk must docket the appeal. Unless the district court or BAP orders otherwise, no oral argument will be held on the motion.

Subdivision (d) retains the provisions of former Rule 8003(c). It provides that if the appellant timely files a notice of appeal, but fails to file a motion for leave to appeal, the court can either direct that a motion be filed or treat the notice of appeal as the motion and either grant or deny leave.

Subdivision (e), like former Rule 8003(d), treats the authorization of a direct appeal by the court of appeals as a

grant of leave to appeal under 28 U.S.C. § 158(a)(3) if the district court or BAP has not already granted leave. Thus, a separate order granting leave to appeal is not required. If the court of appeals grants permission to appeal, the record must be assembled and transmitted in accordance with Rules 8009 and 8010.

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### **Changes Made After Publication and Comment**

In subdivision (c)(2), the direction for docketing a bankruptcy appeal was changed to reflect the fact that many bankruptcy appeals have dual titles—the bankruptcy case itself and the adversary proceeding that is the subject of the appeal. As published, subdivision (c)(3) stated that the court must dismiss the appeal if the motion for leave to appeal is denied. That sentence was deleted.

1 **Rule 8005. Election to Have an Appeal Heard by the**  
2 **District Court Instead of the BAP**

3 (a) FILING OF A STATEMENT OF ELECTION. To  
4 elect to have an appeal heard by the district court, a party  
5 must:

6 (1) file a statement of election that conforms  
7 substantially to the appropriate Official Form; and

8 (2) do so within the time prescribed by 28 U.S.C.  
9 § 158(c)(1).

10 (b) TRANSMITTING THE DOCUMENTS  
11 RELATED TO THE APPEAL. Upon receiving an  
12 appellant's timely statement of election, the bankruptcy clerk  
13 must transmit to the district clerk all documents related to the  
14 appeal. Upon receiving a timely statement of election by a  
15 party other than the appellant, the BAP clerk must transmit to  
16 the district clerk all documents related to the appeal and notify  
17 the bankruptcy clerk of the transmission.

18           (c) DETERMINING THE VALIDITY OF AN  
19 ELECTION. A party seeking a determination of the validity  
20 of an election must file a motion in the court where the appeal  
21 is then pending. The motion must be filed within 14 days  
22 after the statement of election is filed.

23           (d) MOTION FOR LEAVE WITHOUT A NOTICE  
24 OF APPEAL—EFFECT ON THE TIMING OF AN  
25 ELECTION. If an appellant moves for leave to appeal under  
26 Rule 8004 but fails to file a separate notice of appeal with the  
27 motion, the motion must be treated as a notice of appeal for  
28 purposes of determining the timeliness of a statement of  
29 election.

#### **Committee Note**

This rule, which implements 28 U.S.C. § 158(c)(1), is derived from former Rule 8001(e). It applies only in districts in which an appeal to a BAP is authorized.

As the former rule required, subdivision (a) provides that an appellant that elects to have a district court, rather than a

BAP, hear its appeal must file with the bankruptcy clerk a statement of election when it files its notice of appeal. The statement must conform substantially to the appropriate Official Form. For appellants, that statement is included in the Notice of Appeal Official Form. If a BAP has been established for appeals from the bankruptcy court and the appellant does not file a timely statement of election, any other party that elects to have the district court hear the appeal must file a statement of election with the BAP clerk no later than 30 days after service of the notice of appeal.

Subdivision (b) requires the bankruptcy clerk to transmit all appeal documents to the district clerk if the appellant files a timely statement of election. If the appellant does not make that election, the bankruptcy clerk must transmit those documents to the BAP clerk. Upon a timely election by any other party, the BAP clerk must promptly transmit the appeal documents to the district clerk and notify the bankruptcy clerk that the appeal has been transferred.

Subdivision (c) provides a new procedure for the resolution of disputes regarding the validity of an election. A motion seeking the determination of the validity of an election must be filed no later than 14 days after the statement of election is filed. Nothing in this rule prevents a court from determining the validity of an election on its own motion.

Subdivision (d) provides that, in the case of an appeal by leave, if the appellant files a motion for leave to appeal but fails to file a notice of appeal, the filing and service of the motion will be treated for timing purposes under this rule as the filing and service of the notice of appeal.

**Changes Made After Publication and Comment**

In subdivision (b), a requirement was added that the BAP clerk notify the bankruptcy clerk if an appeal is transferred from the BAP to the district court upon the election of an appellee. Conforming and clarifying changes were made to the Committee Note.

1 **Rule 8006. Certifying a Direct Appeal to the Court of**  
2 **Appeals**

3 (a) EFFECTIVE DATE OF A CERTIFICATION. A  
4 certification of a judgment, order, or decree of a bankruptcy  
5 court for direct review in a court of appeals under 28 U.S.C.  
6 § 158(d)(2) is effective when:

7 (1) the certification has been filed;

8 (2) a timely appeal has been taken under  
9 Rule 8003 or 8004; and

10 (3) the notice of appeal has become effective  
11 under Rule 8002.

12 (b) FILING THE CERTIFICATION. The certification  
13 must be filed with the clerk of the court where the matter is  
14 pending. For purposes of this rule, a matter remains pending  
15 in the bankruptcy court for 30 days after the effective date  
16 under Rule 8002 of the first notice of appeal from the  
17 judgment, order, or decree for which direct review is sought.

18 A matter is pending in the district court or BAP thereafter.

19 (c) JOINT CERTIFICATION BY ALL  
20 APPELLANTS AND APPELLEES. A joint certification by  
21 all the appellants and appellees under 28 U.S.C.  
22 § 158(d)(2)(A) must be made by using the appropriate  
23 Official Form. The parties may supplement the certification  
24 with a short statement of the basis for the certification, which  
25 may include the information listed in subdivision (f)(2).

26 (d) THE COURT THAT MAY MAKE THE  
27 CERTIFICATION. Only the court where the matter is  
28 pending, as provided in subdivision (b), may certify a direct  
29 review on request of parties or on its own motion.

30 (e) CERTIFICATION ON THE COURT'S OWN  
31 MOTION.

32 (1) *How Accomplished.* A certification on the  
33 court's own motion must be set forth in a separate

34 document. The clerk of the certifying court must serve  
35 it on the parties to the appeal in the manner required for  
36 service of a notice of appeal under Rule 8003(c)(1). The  
37 certification must be accompanied by an opinion or  
38 memorandum that contains the information required by  
39 subdivision (f)(2)(A)-(D).

40 (2) *Supplemental Statement by a Party.* Within  
41 14 days after the court’s certification, a party may file  
42 with the clerk of the certifying court a short  
43 supplemental statement regarding the merits of  
44 certification.

45 (f) CERTIFICATION BY THE COURT ON  
46 REQUEST.

47 (1) *How Requested.* A request by a party for  
48 certification that a circumstance specified in 28 U.S.C.  
49 §158(d)(2)(A)(i)-(iii) applies—or a request by a majority

50 of the appellants and a majority of the appellees—must  
51 be filed with the clerk of the court where the matter is  
52 pending within 60 days after the entry of the judgment,  
53 order, or decree.

54 (2) *Service and Contents.* The request must be  
55 served on all parties to the appeal in the manner required  
56 for service of a notice of appeal under Rule 8003(c)(1),  
57 and it must include the following:

58 (A) the facts necessary to understand the  
59 question presented;

60 (B) the question itself;

61 (C) the relief sought;

62 (D) the reasons why the direct appeal should  
63 be allowed, including which circumstance  
64 specified in 28 U.S.C. § 158(d)(2)(A)(i)-(iii)  
65 applies; and

66 (E) a copy of the judgment, order, or decree  
67 and any related opinion or memorandum.

68 (3) *Time to File a Response or a Cross-Request.*

69 A party may file a response to the request within 14 days  
70 after the request is served, or such other time as the  
71 court where the matter is pending allows. A party may  
72 file a cross-request for certification within 14 days after  
73 the request is served, or within 60 days after the entry of  
74 the judgment, order, or decree, whichever occurs first.

75 (4) *Oral Argument Not Required.* The request,  
76 cross-request, and any response are submitted without  
77 oral argument unless the court where the matter is  
78 pending orders otherwise.

79 (5) *Form and Service of the Certification.* If the  
80 court certifies a direct appeal in response to the request,  
81 it must do so in a separate document. The certification

82            must be served on the parties to the appeal in the manner  
83            required for service of a notice of appeal under  
84            Rule 8003(c)(1).

85            (g) PROCEEDING IN THE COURT OF APPEALS  
86 FOLLOWING A CERTIFICATION. Within 30 days after  
87 the date the certification becomes effective under subdivision  
88 (a), a request for permission to take a direct appeal to the  
89 court of appeals must be filed with the circuit clerk in  
90 accordance with F.R.App.P. 6(c).

**Committee Note**

This rule is derived from former Rule 8001(f), and it provides the procedures for the certification of a direct appeal of a judgment, order, or decree of a bankruptcy court to the court of appeals under 28 U.S.C. § 158(d)(2). Once a case has been certified in the bankruptcy court, the district court, or the BAP for direct appeal and a request for permission to appeal has been timely filed with the circuit clerk, the Federal Rules of Appellate Procedure govern further proceedings in the court of appeals.

Subdivision (a), like the former rule, requires that an appeal be properly taken—now under Rule 8003 or

8004—before a certification for direct review in the court of appeals takes effect. This rule requires the timely filing of a notice of appeal under Rule 8002 and accounts for the delayed effectiveness of a notice of appeal under the circumstances specified in that rule. Ordinarily, a notice of appeal is effective when it is filed in the bankruptcy court. Rule 8002, however, delays the effectiveness of a notice of appeal when (1) it is filed after the announcement of a decision or order but prior to the entry of the judgment, order, or decree; or (2) it is filed after the announcement or entry of a judgment, order, or decree but before the bankruptcy court disposes of certain postjudgment motions.

When the bankruptcy court enters an interlocutory order or decree that is appealable under 28 U.S.C. § 158(a)(3), certification for direct review in the court of appeals may take effect before the district court or BAP grants leave to appeal. The certification is effective when the actions specified in subdivision (a) have occurred. Rule 8004(e) provides that if the court of appeals grants permission to take a direct appeal before leave to appeal an interlocutory ruling has been granted, the authorization by the court of appeals is treated as the granting of leave to appeal.

Subdivision (b) provides that a certification must be filed in the court where the matter is pending, as determined by this subdivision. This provision modifies the former rule. Because of the prompt docketing of appeals in the district court or BAP under Rules 8003 and 8004, a matter is deemed—for purposes of this rule only—to remain pending in the bankruptcy court for 30 days after the effective date of the notice of appeal. This provision will in appropriate cases

give the bankruptcy judge, who will be familiar with the matter being appealed, an opportunity to decide whether certification for direct review is appropriate. Similarly, subdivision (d) provides that only the court where the matter is then pending according to subdivision (b) may make a certification on its own motion or on the request of one or more parties.

Section 158(d)(2) provides three different ways in which an appeal may be certified for direct review. Implementing these options, the rule provides in subdivision (c) for the joint certification by all appellants and appellees; in subdivision (e) for the bankruptcy court's, district court's, or BAP's certification on its own motion; and in subdivision (f) for the bankruptcy court's, district court's, or BAP's certification on request of a party or a majority of appellants and a majority of appellees.

Subdivision (g) requires that, once a certification for direct review is made, a request to the court of appeals for permission to take a direct appeal to that court must be filed with the clerk of the court of appeals no later than 30 days after the effective date of the certification. Federal Rule of Appellate Procedure 6(c), which incorporates all of F.R.App.P. 5 except subdivision (a)(3), prescribes the procedure for requesting the permission of the court of appeals and governs proceedings that take place thereafter in that court.

**Changes Made After Publication and Comment**

In subdivisions (b) and (g), cross-references were added. In subdivision (f)(4), the statement regarding the inapplicability of Rule 9014 was deleted as unnecessary. A clarifying change was made to the first paragraph of the Committee Note.

1       **Rule 8007. Stay Pending Appeal; Bonds; Suspension of**  
2                                   **Proceedings**

3                   (a) INITIAL MOTION IN THE BANKRUPTCY  
4       COURT.

5                   (1) *In General.* Ordinarily, a party must move  
6       first in the bankruptcy court for the following relief:

7                                   (A) a stay of a judgment, order, or decree of  
8       the bankruptcy court pending appeal;

9                                   (B) the approval of a supersedeas bond;

10                                  (C) an order suspending, modifying,  
11       restoring, or granting an injunction while an appeal  
12       is pending; or

13                                  (D) the suspension or continuation of  
14       proceedings in a case or other relief permitted by  
15       subdivision (e).

16                   (2) *Time to File.* The motion may be made either  
17       before or after the notice of appeal is filed.

18 (b) MOTION IN THE DISTRICT COURT, THE BAP,  
19 OR THE COURT OF APPEALS ON DIRECT APPEAL.

20 (1) *Request for Relief.* A motion for the relief  
21 specified in subdivision (a)(1)—or to vacate or modify  
22 a bankruptcy court’s order granting such relief—may be  
23 made in the court where the appeal is pending.

24 (2) *Showing or Statement Required.* The motion  
25 must:

26 (A) show that moving first in the bankruptcy  
27 court would be impracticable; or

28 (B) if a motion was made in the bankruptcy  
29 court, either state that the court has not yet ruled on  
30 the motion, or state that the court has ruled and set  
31 out any reasons given for the ruling.

32 (3) *Additional Content.* The motion must also  
33 include:

34 (A) the reasons for granting the relief  
35 requested and the facts relied upon;

36 (B) affidavits or other sworn statements  
37 supporting facts subject to dispute; and

38 (C) relevant parts of the record.

39 (4) *Serving Notice.* The movant must give  
40 reasonable notice of the motion to all parties.

41 (c) FILING A BOND OR OTHER SECURITY. The  
42 district court, BAP, or court of appeals may condition relief  
43 on filing a bond or other appropriate security with the  
44 bankruptcy court.

45 (d) BOND FOR A TRUSTEE OR THE UNITED  
46 STATES. The court may require a trustee to file a bond or  
47 other appropriate security when the trustee appeals. A bond  
48 or other security is not required when an appeal is taken by  
49 the United States, its officer, or its agency or by direction of

50 any department of the federal government.

51 (e) CONTINUATION OF PROCEEDINGS IN THE  
52 BANKRUPTCY COURT. Despite Rule 7062 and subject to  
53 the authority of the district court, BAP, or court of appeals,  
54 the bankruptcy court may:

55 (1) suspend or order the continuation of other  
56 proceedings in the case; or

57 (2) issue any other appropriate orders during the  
58 pendency of an appeal to protect the rights of all parties  
59 in interest.

#### **Committee Note**

This rule is derived from former Rule 8005 and F.R.App.P. 8. It now applies to direct appeals in courts of appeals.

Subdivision (a), like the former rule, requires a party ordinarily to seek relief pending an appeal in the bankruptcy court. Subdivision (a)(1) expands the list of relief enumerated in F.R.App.P. 8(a)(1) to reflect bankruptcy practice. It includes the suspension or continuation of other proceedings in the bankruptcy case, as authorized by subdivision (e).

Subdivision (a)(2) clarifies that a motion for a stay pending appeal, approval of a supersedeas bond, or any other relief specified in paragraph (1) may be made in the bankruptcy court before or after the filing of a notice of appeal.

Subdivision (b) authorizes a party to seek the relief specified in (a)(1), or the vacation or modification of the granting of such relief, by means of a motion filed in the court where the appeal is pending—district court, BAP, or the court of appeals on direct appeal. Accordingly, a notice of appeal need not be filed with respect to a bankruptcy court’s order granting or denying such a motion. The motion for relief in the district court, BAP, or court of appeals must state why it was impracticable to seek relief initially in the bankruptcy court, if a motion was not filed there, or why the bankruptcy court denied the relief sought.

Subdivisions (c) and (d) retain the provisions of the former rule that permit the district court or BAP—and now the court of appeals—to condition the granting of relief on the posting of a bond by the appellant, except when that party is a federal government entity. Rule 9025 governs proceedings against sureties.

Subdivision (e) retains the provision of the former rule that authorizes the bankruptcy court to decide whether to suspend or allow the continuation of other proceedings in the bankruptcy case while the matter for which a stay has been sought is pending on appeal.

**Changes Made After Publication and Comment**

The clause “or where it will be taken” was deleted in subdivision (b)(1). Stylistic changes were made to the titles of subdivisions (b) and (e) and in subdivision (e)(1). A discussion of subdivision (e) was added to the Committee Note.

1 **Rule 8008. Indicative Rulings**

2 (a) RELIEF PENDING APPEAL. If a party files a  
3 timely motion in the bankruptcy court for relief that the court  
4 lacks authority to grant because of an appeal that has been  
5 docketed and is pending, the bankruptcy court may:

6 (1) defer considering the motion;

7 (2) deny the motion; or

8 (3) state that the court would grant the motion if  
9 the court where the appeal is pending remands for that  
10 purpose, or state that the motion raises a substantial  
11 issue.

12 (b) NOTICE TO THE COURT WHERE THE  
13 APPEAL IS PENDING. The movant must promptly notify  
14 the clerk of the court where the appeal is pending if the  
15 bankruptcy court states that it would grant the motion or that  
16 the motion raises a substantial issue.

17 (c) REMAND AFTER AN INDICATIVE RULING.

18 If the bankruptcy court states that it would grant the motion or  
19 that the motion raises a substantial issue, the district court or  
20 BAP may remand for further proceedings, but it retains  
21 jurisdiction unless it expressly dismisses the appeal. If the  
22 district court or BAP remands but retains jurisdiction, the  
23 parties must promptly notify the clerk of that court when the  
24 bankruptcy court has decided the motion on remand.

**Committee Note**

This rule is an adaptation of F.R.Civ.P. 62.1 and F.R.App.P. 12.1. It provides a procedure for the issuance of an indicative ruling when a bankruptcy court determines that, because of a pending appeal, the court lacks jurisdiction to grant a request for relief that the court concludes is meritorious or raises a substantial issue. The rule does not attempt to define the circumstances in which an appeal limits or defeats the bankruptcy court's authority to act in the face of a pending appeal. In contrast, Rule 8002(b) identifies motions that, if filed within the relevant time limit, suspend the effect of a notice of appeal filed before the last such motion is resolved. In those circumstances, the bankruptcy court has authority to resolve the motion without resorting to the indicative ruling procedure.

Subdivision (b) requires the movant to notify the court where an appeal is pending if the bankruptcy court states that it would grant the motion or that it raises a substantial issue. This provision applies to appeals pending in the district court, the BAP, or the court of appeals.

Federal Rules of Appellate Procedure 6 and 12.1 govern the procedure in the court of appeals following notification of the bankruptcy court's indicative ruling.

Subdivision (c) of this rule governs the procedure in the district court or BAP upon notification that the bankruptcy court has issued an indicative ruling. The district court or BAP may remand to the bankruptcy court for a ruling on the motion for relief. The district court or BAP may also remand all proceedings, thereby terminating the initial appeal, if it expressly states that it is dismissing the appeal. It should do so, however, only when the appellant has stated clearly its intention to abandon the appeal. Otherwise, the district court or BAP may remand for the purpose of ruling on the motion, while retaining jurisdiction to proceed with the appeal after the bankruptcy court rules, provided that the appeal is not then moot and a party wishes to proceed.

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### **Changes Made After Publication and Comment**

No changes were made after publication and comment.

1 **Rule 8009. Record on Appeal; Sealed Documents**

2 (a) DESIGNATING THE RECORD ON APPEAL;  
3 STATEMENT OF THE ISSUES.

4 (1) *Appellant.*

5 (A) The appellant must file with the  
6 bankruptcy clerk and serve on the appellee a  
7 designation of the items to be included in the  
8 record on appeal and a statement of the issues to be  
9 presented.

10 (B) The appellant must file and serve the  
11 designation and statement within 14 days after:

12 (i) the appellant's notice of appeal as  
13 of right becomes effective under Rule 8002;

14 or

15 (ii) an order granting leave to appeal is  
16 entered.

17                   A designation and statement served prematurely  
18                   must be treated as served on the first day on which  
19                   filing is timely.

20                   (2) *Appellee and Cross-Appellant.* Within 14  
21                   days after being served, the appellee may file with the  
22                   bankruptcy clerk and serve on the appellant a  
23                   designation of additional items to be included in the  
24                   record. An appellee who files a cross-appeal must file  
25                   and serve a designation of additional items to be  
26                   included in the record and a statement of the issues to be  
27                   presented on the cross-appeal.

28                   (3) *Cross-Appellee.* Within 14 days after service  
29                   of the cross-appellant's designation and statement, a  
30                   cross-appellee may file with the bankruptcy clerk and  
31                   serve on the cross-appellant a designation of additional  
32                   items to be included in the record.

33 (4) *Record on Appeal.* The record on appeal

34 must include the following:

- 35 • the docket entries kept by the
- 36 bankruptcy clerk;
- 37 • items designated by the parties;
- 38 • the notice of appeal;
- 39 • the judgment, order, or decree being
- 40 appealed;
- 41 • any order granting leave to appeal;
- 42 • any certification required for a direct appeal
- 43 to the court of appeals;
- 44 • any opinion, findings of fact, and
- 45 conclusions of law relating to the issues on appeal,
- 46 including transcripts of all oral rulings;
- 47 • any transcript ordered under subdivision (b);
- 48 • any statement required by subdivision (c);

49

and

50

- any additional items from the record that the

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court where the appeal is pending orders.

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(5) *Copies for the Bankruptcy Clerk.* If paper

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copies are needed, a party filing a designation of items

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must provide a copy of any of those items that the

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bankruptcy clerk requests. If the party fails to do so, the

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bankruptcy clerk must prepare the copy at the party's

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expense.

58

(b) TRANSCRIPT OF PROCEEDINGS.

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(1) *Appellant's Duty to Order.* Within the time

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period prescribed by subdivision (a)(1), the appellant

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must:

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(A) order in writing from the reporter, as

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defined in Rule 8010(a)(1), a transcript of such

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parts of the proceedings not already on file as the

65 appellant considers necessary for the appeal, and  
66 file a copy of the order with the bankruptcy clerk;  
67 or

68 (B) file with the bankruptcy clerk a  
69 certificate stating that the appellant is not ordering  
70 a transcript.

71 (2) *Cross-Appellant's Duty to Order*. Within 14  
72 days after the appellant files a copy of the transcript  
73 order or a certificate of not ordering a transcript, the  
74 appellee as cross-appellant must:

75 (A) order in writing from the reporter, as  
76 defined in Rule 8010(a)(1), a transcript of such  
77 additional parts of the proceedings as the cross-  
78 appellant considers necessary for the appeal, and  
79 file a copy of the order with the bankruptcy clerk;  
80 or

81 (B) file with the bankruptcy clerk a  
82 certificate stating that the cross-appellant is not  
83 ordering a transcript.

84 (3) *Appellee's or Cross-Appellee's Right to*  
85 *Order.* Within 14 days after the appellant or cross-  
86 appellant files a copy of a transcript order or certificate  
87 of not ordering a transcript, the appellee or cross-  
88 appellee may order in writing from the reporter a  
89 transcript of such additional parts of the proceedings as  
90 the appellee or cross-appellee considers necessary for  
91 the appeal. A copy of the order must be filed with the  
92 bankruptcy clerk.

93 (4) *Payment.* At the time of ordering, a party  
94 must make satisfactory arrangements with the reporter  
95 for paying the cost of the transcript.

96 (5) *Unsupported Finding or Conclusion.* If the

97 appellant intends to argue on appeal that a finding or  
98 conclusion is unsupported by the evidence or is contrary  
99 to the evidence, the appellant must include in the record  
100 a transcript of all relevant testimony and copies of all  
101 relevant exhibits.

102 (c) STATEMENT OF THE EVIDENCE WHEN A  
103 TRANSCRIPT IS UNAVAILABLE. If a transcript of a  
104 hearing or trial is unavailable, the appellant may prepare a  
105 statement of the evidence or proceedings from the best  
106 available means, including the appellant's recollection. The  
107 statement must be filed within the time prescribed by  
108 subdivision (a)(1) and served on the appellee, who may serve  
109 objections or proposed amendments within 14 days after  
110 being served. The statement and any objections or proposed  
111 amendments must then be submitted to the bankruptcy court  
112 for settlement and approval. As settled and approved, the

113 statement must be included by the bankruptcy clerk in the  
114 record on appeal.

115 (d) AGREED STATEMENT AS THE RECORD ON  
116 APPEAL. Instead of the record on appeal as defined in  
117 subdivision (a), the parties may prepare, sign, and submit to  
118 the bankruptcy court a statement of the case showing how the  
119 issues presented by the appeal arose and were decided in the  
120 bankruptcy court. The statement must set forth only those  
121 facts alleged and proved or sought to be proved that are  
122 essential to the court's resolution of the issues. If the  
123 statement is accurate, it—together with any additions that the  
124 bankruptcy court may consider necessary to a full presentation  
125 of the issues on appeal—must be approved by the bankruptcy  
126 court and must then be certified to the court where the appeal  
127 is pending as the record on appeal. The bankruptcy clerk  
128 must then transmit it to the clerk of that court within the time

129 provided by Rule 8010. A copy of the agreed statement may  
130 be filed in place of the appendix required by Rule 8018(b) or,  
131 in the case of a direct appeal to the court of appeals, by  
132 F.R.App.P. 30.

133 (e) CORRECTING OR MODIFYING THE RECORD.

134 (1) *Submitting to the Bankruptcy Court.* If any  
135 difference arises about whether the record accurately  
136 discloses what occurred in the bankruptcy court, the  
137 difference must be submitted to and settled by the  
138 bankruptcy court and the record conformed accordingly.  
139 If an item has been improperly designated as part of the  
140 record on appeal, a party may move to strike that item.

141 (2) *Correcting in Other Ways.* If anything  
142 material to either party is omitted from or misstated in  
143 the record by error or accident, the omission or  
144 misstatement may be corrected, and a supplemental

145 record may be certified and transmitted:

146 (A) on stipulation of the parties;

147 (B) by the bankruptcy court before or after  
148 the record has been forwarded; or

149 (C) by the court where the appeal is pending.

150 (3) *Remaining Questions.* All other questions as  
151 to the form and content of the record must be presented  
152 to the court where the appeal is pending.

153 (f) SEALED DOCUMENTS. A document placed  
154 under seal by the bankruptcy court may be designated as part  
155 of the record on appeal. In doing so, a party must identify it  
156 without revealing confidential or secret information, but the  
157 bankruptcy clerk must not transmit it to the clerk of the court  
158 where the appeal is pending as part of the record. Instead, a  
159 party must file a motion with the court where the appeal is  
160 pending to accept the document under seal. If the motion is

161 granted, the movant must notify the bankruptcy court of the  
162 ruling, and the bankruptcy clerk must promptly transmit the  
163 sealed document to the clerk of the court where the appeal is  
164 pending.

165 (g) OTHER NECESSARY ACTIONS. All parties to  
166 an appeal must take any other action necessary to enable the  
167 bankruptcy clerk to assemble and transmit the record.

#### **Committee Note**

This rule is derived from former Rule 8006 and F.R.App.P. 10 and 11(a). The provisions of this rule and Rule 8010 are applicable to appeals taken directly to a court of appeals under 28 U.S.C. § 158(d)(2), as well as to appeals to a district court or BAP. *See* F.R.App.P. 6(c)(2)(A) and (B).

The rule retains the practice of former Rule 8006 of requiring the parties to designate items to be included in the record on appeal. In this respect, the bankruptcy rule differs from the appellate rule. Among other things, F.R.App.P. 10(a) provides that the record on appeal consists of all the documents and exhibits filed in the case. This requirement would often be unworkable in a bankruptcy context because thousands of items might have been filed in the overall bankruptcy case.

Subdivision (a) provides the time period for an appellant to file a designation of items to be included in the record on appeal and a statement of the issues to be presented. It then provides for the designation of additional items by the appellee, cross-appellant, and cross-appellee, as well as for the cross-appellant's statement of the issues to be presented in its appeal. Subdivision (a)(4) prescribes the content of the record on appeal. Ordinarily, the bankruptcy clerk will not need to have paper copies of the designated items because the clerk will either transmit them to the appellate court electronically or otherwise make them available electronically. If the bankruptcy clerk requires a paper copy of some or all of the items designated as part of the record, the clerk may request the party that designated the item to provide the necessary copies, and the party must comply with the request or bear the cost of the clerk's copying.

Subdivision (b) governs the process for ordering a complete or partial transcript of the bankruptcy court proceedings. In situations in which a transcript is unavailable, subdivision (c) allows for the parties' preparation of a statement of the evidence or proceedings, which must be approved by the bankruptcy court.

Subdivision (d) adopts the practice of F.R.App.P. 10(d) of permitting the parties to agree on a statement of the case in place of the record on appeal. The statement must show how the issues on appeal arose and were decided in the bankruptcy court. It must be approved by the bankruptcy court in order to be certified as the record on appeal.

Subdivision (e), modeled on F.R.App.P. 10(e), provides

a procedure for correcting the record on appeal if an item is improperly designated, omitted, or misstated.

Subdivision (f) is a new provision that governs the handling of any document that remains sealed by the bankruptcy court and that a party wants to include in the record on appeal. The party must request the court where the appeal is pending to accept the document under seal, and that motion must be granted before the bankruptcy clerk may transmit the sealed document to the district, BAP, or circuit clerk.

Subdivision (g) requires the parties' cooperation with the bankruptcy clerk in assembling and transmitting the record. It retains the requirement of former Rule 8006, which was adapted from F.R.App.P. 11(a).

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### **Changes Made After Publication and Comment**

In subdivision (a)(2) and (3), the place of filing was clarified. "Docket entries kept by the bankruptcy clerk" was added to the list in subdivision (a)(4).

1 **Rule 8010. Completing and Transmitting the Record**

2 (a) REPORTER'S DUTIES.

3 (1) *Proceedings Recorded Without a Reporter*  
4 *Present.* If proceedings were recorded without a  
5 reporter being present, the person or service selected  
6 under bankruptcy court procedures to transcribe the  
7 recording is the reporter for purposes of this rule.

8 (2) *Preparing and Filing the Transcript.* The  
9 reporter must prepare and file a transcript as follows:

10 (A) Upon receiving an order for a transcript  
11 in accordance with Rule 8009(b), the reporter must  
12 file in the bankruptcy court an acknowledgment of  
13 the request that shows when it was received, and  
14 when the reporter expects to have the transcript  
15 completed.

16 (B) After completing the transcript, the

17 reporter must file it with the bankruptcy clerk, who  
18 will notify the district, BAP, or circuit clerk of its  
19 filing.

20 (C) If the transcript cannot be completed  
21 within 30 days after receiving the order, the  
22 reporter must request an extension of time from the  
23 bankruptcy clerk. The clerk must enter on the  
24 docket and notify the parties whether the extension  
25 is granted.

26 (D) If the reporter does not file the transcript  
27 on time, the bankruptcy clerk must notify the  
28 bankruptcy judge.

29 (b) CLERK'S DUTIES.

30 (1) *Transmitting the Record—In General.*  
31 Subject to Rule 8009(f) and subdivision (b)(5) of this  
32 rule, when the record is complete, the bankruptcy clerk

33 must transmit to the clerk of the court where the appeal  
34 is pending either the record or a notice that the record is  
35 available electronically.

36 (2) *Multiple Appeals.* If there are multiple  
37 appeals from a judgment, order, or decree, the  
38 bankruptcy clerk must transmit a single record.

39 (3) *Receiving the Record.* Upon receiving the  
40 record or notice that it is available electronically, the  
41 district, BAP, or circuit clerk must enter that information  
42 on the docket and promptly notify all parties to the  
43 appeal.

44 (4) *If Paper Copies Are Ordered.* If the court  
45 where the appeal is pending directs that paper copies of  
46 the record be provided, the clerk of that court must so  
47 notify the appellant. If the appellant fails to provide

48           them, the bankruptcy clerk must prepare them at the  
49           appellant's expense.

50                   (5) *When Leave to Appeal is Requested.* Subject  
51           to subdivision (c), if a motion for leave to appeal has  
52           been filed under Rule 8004, the bankruptcy clerk must  
53           prepare and transmit the record only after the district  
54           court, BAP, or court of appeals grants leave.

55           (c) RECORD FOR A PRELIMINARY MOTION IN  
56           THE DISTRICT COURT, BAP, OR COURT OF APPEALS.

57           This subdivision (c) applies if, before the record is  
58           transmitted, a party moves in the district court, BAP, or court  
59           of appeals for any of the following relief:

- 60           • leave to appeal;
- 61           • dismissal;
- 62           • a stay pending appeal;
- 63           • approval of a supersedeas bond, or additional

64 security on a bond or undertaking on appeal; or  
 65 • any other intermediate order.  
 66 The bankruptcy clerk must then transmit to the clerk of the  
 67 court where the relief is sought any parts of the record  
 68 designated by a party to the appeal or a notice that those parts  
 69 are available electronically.

**Committee Note**

This rule is derived from former Rule 8007 and F.R.App.P. 11. It applies to an appeal taken directly to a court of appeals under 28 U.S.C. § 158(d)(2), as well as to an appeal to a district court or BAP.

Subdivision (a) generally retains the procedure of former Rule 8007(a) regarding the reporter's duty to prepare and file a transcript if a party requests one. It clarifies that the person or service that transcribes the recording of a proceeding is considered the reporter under this rule if the proceeding is recorded without a reporter being present in the courtroom. It also makes clear that the reporter must file with the bankruptcy court the acknowledgment of the request for a transcript and statement of the expected completion date, the completed transcript, and any request for an extension of time beyond 30 days for completion of the transcript.

Subdivision (b) requires the bankruptcy clerk to transmit the record to the district, BAP or circuit clerk when the record is complete and, in the case of appeals under 28 U.S.C. §158(a)(3), leave to appeal has been granted. This transmission will be made electronically, either by sending the record itself or sending notice that the record can be accessed electronically. The court where the appeal is pending may, however, require that a paper copy of some or all of the record be furnished, in which case the clerk of that court will direct the appellant to provide the copies. If the appellant does not do so, the bankruptcy clerk must prepare the copies at the appellant's expense.

In a change from former Rule 8007(b), subdivision (b) of this rule no longer directs the clerk of the appellate court to docket the appeal upon receipt of the record from the bankruptcy clerk. Instead, under Rules 8003(d) and 8004(c) and F.R.App.P. 12(a), the district, BAP, or circuit clerk docket the appeal upon receipt of the notice of appeal or, in the case of appeals under 28 U.S.C. § 158(a)(3), the notice of appeal and the motion for leave to appeal. Accordingly, by the time the district, BAP, or circuit clerk receives the record, the appeal will already be docketed in that court. The clerk of the appellate court must indicate on the docket and give notice to the parties to the appeal when the transmission of the record is received. Under Rule 8018(a) and F.R.App.P. 31, the briefing schedule is generally based on that date.

Subdivision (c) is derived from former Rule 8007(c) and F.R.App.P. 11(g). It provides for the transmission of parts of the record that the parties designate for consideration by the district court, BAP, or court of appeals in ruling on specified

preliminary motions filed prior to the preparation and transmission of the record on appeal.

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**Changes Made After Publication and Comment**

Subdivision (a)(1) was revised to more accurately reflect the way in which transcription services are selected. A cross-reference to Rule 8009(b) was added to subdivision (a)(2)(A).

1 **Rule 8011. Filing and Service; Signature**

2 (a) FILING.

3 (1) *With the Clerk.* A document required or  
4 permitted to be filed in a district court or BAP must be  
5 filed with the clerk of that court.

6 (2) *Method and Timeliness.*

7 (A) *In General.* Filing may be accomplished  
8 by transmission to the clerk of the district court or  
9 BAP. Except as provided in subdivision (a)(2)(B)  
10 and (C), filing is timely only if the clerk receives  
11 the document within the time fixed for filing.

12 (B) *Brief or Appendix.* A brief or appendix  
13 is also timely filed if, on or before the last day for  
14 filing, it is:

15 (i) mailed to the clerk by first-class  
16 mail—or other class of mail that is at least as

17                   expeditious—postage prepaid, if the district  
18                   court’s or BAP’s procedures permit or require  
19                   a brief or appendix to be filed by mailing; or  
20                   (ii) dispatched to a third-party  
21                   commercial carrier for delivery within 3 days  
22                   to the clerk, if the court’s procedures so  
23                   permit or require.

24                   (C) *Inmate Filing.* A document filed by an  
25                   inmate confined in an institution is timely if  
26                   deposited in the institution’s internal mailing  
27                   system on or before the last day for filing. If the  
28                   institution has a system designed for legal mail, the  
29                   inmate must use that system to receive the benefit  
30                   of this rule. Timely filing may be shown by a  
31                   declaration in compliance with 28 U.S.C. § 1746  
32                   or by a notarized statement, either of which must

33 set forth the date of deposit and state that first-class  
34 postage has been prepaid.

35 (D) *Copies.* If a document is filed  
36 electronically, no paper copy is required. If a  
37 document is filed by mail or delivery to the district  
38 court or BAP, no additional copies are required.  
39 But the district court or BAP may require by local  
40 rule or by order in a particular case the filing or  
41 furnishing of a specified number of paper copies.

42 (3) *Clerk's Refusal of Documents.* The court's  
43 clerk must not refuse to accept for filing any document  
44 transmitted for that purpose solely because it is not  
45 presented in proper form as required by these rules or by  
46 any local rule or practice.

47 (b) SERVICE OF ALL DOCUMENTS REQUIRED.

48 Unless a rule requires service by the clerk, a party must, at or

49 before the time of the filing of a document, serve it on the  
50 other parties to the appeal. Service on a party represented by  
51 counsel must be made on the party's counsel.

52 (c) MANNER OF SERVICE.

53 (1) *Methods.* Service must be made  
54 electronically, unless it is being made by or on an  
55 individual who is not represented by counsel or the  
56 court's governing rules permit or require service by mail  
57 or other means of delivery. Service may be made by or  
58 on an unrepresented party by any of the following  
59 methods:

60 (A) personal delivery;

61 (B) mail; or

62 (C) third-party commercial carrier for  
63 delivery within 3 days.



79 (ii) the names of the persons served;  
80 and  
81 (iii) the mail or electronic address, the  
82 fax number, or the address of the place of  
83 delivery, as appropriate for the manner of  
84 service, for each person served.

85 (2) *Delayed Proof.* The district or BAP clerk  
86 may permit documents to be filed without  
87 acknowledgment or proof of service, but must require  
88 the acknowledgment or proof to be filed promptly  
89 thereafter.

90 (3) *Brief or Appendix.* When a brief or appendix  
91 is filed, the proof of service must also state the date and  
92 manner by which it was filed.

93 (e) SIGNATURE. Every document filed electronically  
94 must include the electronic signature of the person filing it or,

95 if the person is represented, the electronic signature of  
96 counsel. The electronic signature must be provided by  
97 electronic means that are consistent with any technical  
98 standards that the Judicial Conference of the United States  
99 establishes. Every document filed in paper form must be  
100 signed by the person filing the document or, if the person is  
101 represented, by counsel.

**Committee Note**

This rule is derived from former Rule 8008 and F.R.App.P. 25. It adopts some of the additional details of the appellate rule, and it provides greater recognition of the possibility of electronic filing and service.

Subdivision (a) governs the filing of documents in the district court or BAP. Consistent with other provisions of these Part VIII rules, subdivision (a)(2) requires electronic filing of documents, including briefs and appendices, unless the district court's or BAP's procedures permit or require other methods of delivery to the court. An electronic filing is timely if it is received by the district or BAP clerk within the time fixed for filing. No additional copies need to be submitted when documents are filed electronically, by mail, or by delivery unless the district court or BAP requires them.

Subdivision (a)(3) provides that the district or BAP clerk may not refuse to accept a document for filing solely because its form does not comply with these rules or any local rule or practice. The district court or BAP may, however, direct the correction of any deficiency in any document that does not conform to the requirements of these rules or applicable local rules, and may prescribe such other relief as the court deems appropriate.

Subdivisions (b) and (c) address the service of documents in the district court or BAP. Except for documents that the district or BAP clerk must serve, a party that makes a filing must serve copies of the document on the other parties to the appeal. Service on represented parties must be made on counsel. Subdivision (c) expresses the general requirement under these Part VIII rules that documents be sent electronically. *See* Rule 8001(c). Local court rules, however, may provide for other means of service, and subdivision (c) specifies non-electronic methods of service by or on an unrepresented party. Electronic service is complete upon transmission, unless the party making service receives notice that the transmission did not reach the person intended to be served in a readable form.

Subdivision (d) retains the former rule's provisions regarding proof of service of a document filed in the district court or BAP. In addition, it provides that a certificate of service must state the mail or electronic address or fax number to which service was made.

Subdivision (e) is a new provision that requires an electronic signature of counsel or an unrepresented filer for

documents that are filed electronically in the district court or BAP. A local rule may specify a method of providing an electronic signature that is consistent with any standards established by the Judicial Conference of the United States. Paper copies of documents filed in the district court or BAP must bear an actual signature of counsel or the filer. By requiring a signature, subdivision (e) ensures that a readily identifiable attorney or party takes responsibility for every document that is filed.

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**Changes Made After Publication and Comment**

No changes were made after publication and comment.

1       **Rule 8012. Corporate Disclosure Statement**

2           (a) WHO MUST FILE. Any nongovernmental  
3 corporate party appearing in the district court or BAP must  
4 file a statement that identifies any parent corporation and any  
5 publicly held corporation that owns 10% or more of its stock  
6 or states that there is no such corporation.

7           (b) TIME TO FILE; SUPPLEMENTAL FILING. A  
8 party must file the statement with its principal brief or upon  
9 filing a motion, response, petition, or answer in the district  
10 court or BAP, whichever occurs first, unless a local rule  
11 requires earlier filing. Even if the statement has already been  
12 filed, the party's principal brief must include a statement  
13 before the table of contents. A party must supplement its  
14 statement whenever the required information changes.

### **Committee Note**

This rule is derived from F.R.App.P. 26.1. It requires the filing of corporate disclosure statements and supplemental statements in order to assist district court and BAP judges in determining whether they should recuse themselves. Rule 9001 makes the definitions in § 101 of the Code applicable to these rules. Under § 101(9) the word “corporation” includes a limited liability company, limited liability partnership, business trust, and certain other entities that are not designated under applicable law as corporations.

If filed separately from a brief, motion, response, petition, or answer, the statement must be filed and served in accordance with Rule 8011. Under Rule 8015(a)(7)(B)(iii), the corporate disclosure statement is not included in calculating applicable word-count limitations.

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### **Changes Made After Publication and Comment**

A sentence was added to the Committee Note to draw attention to the broad definition of “corporation” under § 101(9) of the Bankruptcy Code.

1 **Rule 8013. Motions; Intervention**

2 (a) CONTENTS OF A MOTION; RESPONSE;  
3 REPLY.

4 (1) *Request for Relief.* A request for an order or  
5 other relief is made by filing a motion with the district  
6 or BAP clerk, with proof of service on the other parties  
7 to the appeal.

8 (2) *Contents of a Motion.*

9 (A) *Grounds and the Relief Sought.* A  
10 motion must state with particularity the grounds  
11 for the motion, the relief sought, and the legal  
12 argument necessary to support it.

13 (B) *Motion to Expedite an Appeal.* A  
14 motion to expedite an appeal must explain what  
15 justifies considering the appeal ahead of other  
16 matters. If the district court or BAP grants the

17 motion, it may accelerate the time to transmit the  
18 record, the deadline for filing briefs and other  
19 documents, oral argument, and the resolution of  
20 the appeal. A motion to expedite an appeal may be  
21 filed as an emergency motion under subdivision  
22 (d).

23 (C) *Accompanying Documents.*

24 (i) Any affidavit or other document  
25 necessary to support a motion must be served  
26 and filed with the motion.

27 (ii) An affidavit must contain only  
28 factual information, not legal argument.

29 (iii) A motion seeking substantive  
30 relief must include a copy of the bankruptcy  
31 court's judgment, order, or decree, and any  
32 accompanying opinion as a separate exhibit.

33 (D) *Documents Barred or Not Required.*

34 (i) A separate brief supporting or  
35 responding to a motion must not be filed.

36 (ii) Unless the court orders otherwise,  
37 a notice of motion or a proposed order is not  
38 required.

39 (3) *Response and Reply; Time to File.* Unless the  
40 district court or BAP orders otherwise,

41 (A) any party to the appeal may file a  
42 response to the motion within 7 days after service  
43 of the motion; and

44 (B) the movant may file a reply to a  
45 response within 7 days after service of the  
46 response, but may only address matters raised in  
47 the response.

48           (b) DISPOSITION OF A MOTION FOR A  
49 PROCEDURAL ORDER. The district court or BAP may rule  
50 on a motion for a procedural order—including a motion under  
51 Rule 9006(b) or (c)—at any time without awaiting a response.  
52 A party adversely affected by the ruling may move to  
53 reconsider, vacate, or modify it within 7 days after the  
54 procedural order is served.

55           (c) ORAL ARGUMENT. A motion will be decided  
56 without oral argument unless the district court or BAP orders  
57 otherwise.

58           (d) EMERGENCY MOTION.

59           (1) *Noting the Emergency.* When a movant  
60 requests expedited action on a motion because  
61 irreparable harm would occur during the time needed to  
62 consider a response, the movant must insert the word  
63 “Emergency” before the title of the motion.

64                   (2) *Contents of the Motion.* The emergency  
65                   motion must

66                   (A) be accompanied by an affidavit setting  
67                   out the nature of the emergency;

68                   (B) state whether all grounds for it were  
69                   submitted to the bankruptcy court and, if not, why  
70                   the motion should not be remanded for the  
71                   bankruptcy court to consider;

72                   (C) include the e-mail addresses, office  
73                   addresses, and telephone numbers of moving  
74                   counsel and, when known, of opposing counsel  
75                   and any unrepresented parties to the appeal; and

76                   (D) be served as prescribed by Rule 8011.

77                   (3) *Notifying Opposing Parties.* Before filing an  
78                   emergency motion, the movant must make every  
79                   practicable effort to notify opposing counsel and any

80 unrepresented parties in time for them to respond. The  
81 affidavit accompanying the emergency motion must  
82 state when and how notice was given or state why giving  
83 it was impracticable.

84 (e) POWER OF A SINGLE BAP JUDGE TO  
85 ENTERTAIN A MOTION.

86 (1) *Single Judge's Authority.* A BAP judge may  
87 act alone on any motion, but may not dismiss or  
88 otherwise determine an appeal, deny a motion for leave  
89 to appeal, or deny a motion for a stay pending appeal if  
90 denial would make the appeal moot.

91 (2) *Reviewing a Single Judge's Action.* The BAP  
92 may review a single judge's action, either on its own  
93 motion or on a party's motion.

94 (f) FORM OF DOCUMENTS; PAGE LIMITS;  
95 NUMBER OF COPIES.



111 (B) a reply to a response must not exceed 10  
112 pages.

113 (4) *Paper Copies*. Paper copies must be provided  
114 only if required by local rule or by an order in a  
115 particular case.

116 (g) INTERVENING IN AN APPEAL. Unless a statute  
117 provides otherwise, an entity that seeks to intervene in an  
118 appeal pending in the district court or BAP must move for  
119 leave to intervene and serve a copy of the motion on the  
120 parties to the appeal. The motion or other notice of  
121 intervention authorized by statute must be filed within 30  
122 days after the appeal is docketed. It must concisely state the  
123 movant's interest, the grounds for intervention, whether  
124 intervention was sought in the bankruptcy court, why  
125 intervention is being sought at this stage of the proceeding,

126 and why participating as an amicus curiae would not be  
127 adequate.

### Committee Note

This rule is derived from former Rule 8011 and F.R.App.P. 15(d) and 27. It adopts many of the provisions of the appellate rules that specify the form and page limits of motions and accompanying documents, while also adjusting those requirements for electronic filing. In addition, it prescribes the procedure for seeking to intervene in the district court or BAP.

Subdivision (a) retains much of the content of former Rule 8011(a) regarding the contents of a motion, response, and reply. It also specifies the documents that may accompany a motion. Unlike the former rule, which allowed the filing of separate briefs supporting a motion, subdivision (a) now adopts the practice of F.R.App.P. 27(a) of prohibiting the filing of briefs supporting or responding to a motion. The motion or response itself must include the party's legal arguments.

Subdivision (a)(2)(B) clarifies the procedure for seeking to expedite an appeal. A motion under this provision seeks to expedite the time for the disposition of the appeal as a whole, whereas an emergency motion—which is addressed by subdivision (d)—typically involves an urgent request for relief short of disposing of the entire appeal (for example, an emergency request for a stay pending appeal to prevent imminent mootness). In appropriate cases—such as when

there is an urgent need to resolve the appeal quickly to prevent harm—a party may file a motion to expedite the appeal as an emergency motion.

Subdivision (b) retains the substance of former Rule 8011(b). It authorizes the district court or BAP to act on a motion for a procedural order without awaiting a response to the motion. It specifies that a party seeking reconsideration, vacation, or modification of the order must file a motion within 7 days after service of the order.

Subdivision (c) continues the practice of former Rule 8011(c) and F.R.App.P. 27(e) of dispensing with oral argument of motions in the district court or BAP unless the court orders otherwise.

Subdivision (d), which carries forward the content of former Rule 8011(d), governs emergency motions that the district court or BAP may rule on without awaiting a response when necessary to prevent irreparable harm. A party seeking expedited action on a motion in the district court or BAP must explain the nature of the emergency, whether all grounds in support of the motion were first presented to the bankruptcy court, and, if not, why the district court or BAP should not remand for reconsideration. The moving party must also explain the steps taken to notify opposing counsel and any unrepresented parties in advance of filing the emergency motion and, if they were not notified, why it was impracticable to do so.

Subdivision (e), like former Rule 8011(e) and similar to F.R.App.P. 27(c), authorizes a single BAP judge to rule on

certain motions. This authority, however, does not extend to issuing rulings that would dispose of the appeal. For that reason, the rule now prohibits a single BAP judge from denying a motion for a stay pending appeal when the effect of that ruling would be to require dismissal of the appeal as moot. A ruling by a single judge is subject to review by the BAP.

Subdivision (f) incorporates by reference the formatting and appearance requirements of F.R.App.P. 27(d)(1). When paper versions of the listed documents are filed, they must comply with the requirements of the specified rules regarding reproduction, covers, binding, appearance, and format. When these documents are filed electronically, they must comply with the relevant requirements of the specified rules regarding covers and format. Subdivision (f) also specifies page limits for motions, responses, and replies, which is a matter that former Rule 8011 did not address.

Subdivision (g) clarifies the procedure for seeking to intervene in a proceeding that has been appealed. It is based on F.R.App.P. 15(d), but it also requires the moving party to explain why intervention is being sought at the appellate stage. The former Part VIII rules did not address intervention.

**Changes Made After Publication and Comment**

Subdivision (a)(2)(D) was changed to allow the court to require a notice of motion or proposed order. A stylistic change was made to subdivision (d)(2)(B).

1 **Rule 8014. Briefs**

2 (a) APPELLANT'S BRIEF. The appellant's brief  
3 must contain the following under appropriate headings and in  
4 the order indicated:

5 (1) a corporate disclosure statement, if required  
6 by Rule 8012;

7 (2) a table of contents, with page references;

8 (3) a table of authorities—cases (alphabetically  
9 arranged), statutes, and other authorities—with  
10 references to the pages of the brief where they are cited;

11 (4) a jurisdictional statement, including:

12 (A) the basis for the bankruptcy court's  
13 subject-matter jurisdiction, with citations to  
14 applicable statutory provisions and stating relevant  
15 facts establishing jurisdiction;

16 (B) the basis for the district court's or  
17 BAP's jurisdiction, with citations to applicable  
18 statutory provisions and stating relevant facts  
19 establishing jurisdiction;

20 (C) the filing dates establishing the  
21 timeliness of the appeal; and

22 (D) an assertion that the appeal is from a  
23 final judgment, order, or decree, or information  
24 establishing the district court's or BAP's  
25 jurisdiction on another basis;

26 (5) a statement of the issues presented and, for  
27 each one, a concise statement of the applicable standard  
28 of appellate review;

29 (6) a concise statement of the case setting out the  
30 facts relevant to the issues submitted for review,  
31 describing the relevant procedural history, and

32 identifying the rulings presented for review, with  
33 appropriate references to the record;

34 (7) a summary of the argument, which must  
35 contain a succinct, clear, and accurate statement of the  
36 arguments made in the body of the brief, and which  
37 must not merely repeat the argument headings;

38 (8) the argument, which must contain the  
39 appellant's contentions and the reasons for them, with  
40 citations to the authorities and parts of the record on  
41 which the appellant relies;

42 (9) a short conclusion stating the precise relief  
43 sought; and

44 (10) the certificate of compliance, if required by  
45 Rule 8015(a)(7) or (b).

46 (b) APPELLEE'S BRIEF. The appellee's brief must  
47 conform to the requirements of subdivision (a)(1)-(8) and

48 (10), except that none of the following need appear unless the  
49 appellee is dissatisfied with the appellant's statement:

50 (1) the jurisdictional statement;

51 (2) the statement of the issues and the applicable  
52 standard of appellate review; and

53 (3) the statement of the case.

54 (c) REPLY BRIEF. The appellant may file a brief in  
55 reply to the appellee's brief. A reply brief must comply with  
56 the requirements of subdivision (a)(2)-(3).

57 (d) STATUTES, RULES, REGULATIONS, OR  
58 SIMILAR AUTHORITY. If the court's determination of the  
59 issues presented requires the study of the Code or other  
60 statutes, rules, regulations, or similar authority, the relevant  
61 parts must be set out in the brief or in an addendum.

62 (e) BRIEFS IN A CASE INVOLVING MULTIPLE  
63 APPELLANTS OR APPELLEES. In a case involving more

64 than one appellant or appellee, including consolidated cases,  
65 any number of appellants or appellees may join in a brief, and  
66 any party may adopt by reference a part of another's brief.  
67 Parties may also join in reply briefs.

77 (f) CITATION OF SUPPLEMENTAL  
78 AUTHORITIES. If pertinent and significant authorities come  
79 to a party's attention after the party's brief has been filed—or  
80 after oral argument but before a decision—a party may  
81 promptly advise the district or BAP clerk by a signed  
82 submission setting forth the citations. The submission, which  
83 must be served on the other parties to the appeal, must state  
84 the reasons for the supplemental citations, referring either to  
85 the pertinent page of a brief or to a point argued orally. The  
86 body of the submission must not exceed 350 words. Any  
87 response must be made within 7 days after the party is served,

88 unless the court orders otherwise, and must be similarly  
89 limited.

#### **Committee Note**

This rule is derived from former Rule 8010(a) and (b) and F.R.App.P. 28. Adopting much of the content of Rule 28, it provides greater detail than former Rule 8010 contained regarding appellate briefs.

Subdivision (a) prescribes the content and structure of the appellant's brief. It largely follows former Rule 8010(a)(1), but, to ensure national uniformity, it eliminates the provision authorizing a district court or BAP to alter these requirements. Subdivision (a)(1) provides that when Rule 8012 requires an appellant to file a corporate disclosure statement, it must be placed at the beginning of the appellant's brief. Subdivision (a)(10) is new. It implements the requirement under Rule 8015(a)(7)(C) and (b) for the filing of a certificate of compliance with the limit on the number of words or lines allowed to be in a brief.

Subdivision (b) carries forward the provisions of former Rule 8010(a)(2).

Subdivision (c) is derived from F.R.App.P. 28(c). It authorizes an appellant to file a reply brief, which will generally complete the briefing process.

Subdivision (d) is similar to former Rule 8010(b), but it is reworded to reflect the likelihood that briefs will generally be filed electronically rather than in paper form.

Subdivision (e) mirrors F.R.App.P. 28(i). It authorizes multiple appellants or appellees to join in a single brief. It also allows a party to incorporate by reference portions of another party's brief.

Subdivision (f) adopts the procedures of F.R.App.P. 28(j) with respect to the filing of supplemental authorities with the district court or BAP after a brief has been filed or after oral argument. Unlike the appellate rule, it specifies a period of 7 days for filing a response to a submission of supplemental authorities. The supplemental submission and response must comply with the signature requirements of Rule 8011(e).

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### **Changes Made After Publication and Comment**

No changes were made after publication and comment.

1 **Rule 8015. Form and Length of Briefs; Form of**  
2 **Appendices and Other Papers**

3 (a) PAPER COPIES OF A BRIEF. If a paper copy of  
4 a brief may or must be filed, the following provisions apply:

5 (1) *Reproduction.*

6 (A) A brief may be reproduced by any  
7 process that yields a clear black image on light  
8 paper. The paper must be opaque and unglazed.  
9 Only one side of the paper may be used.

10 (B) Text must be reproduced with a clarity  
11 that equals or exceeds the output of a laser printer.

12 (C) Photographs, illustrations, and tables  
13 may be reproduced by any method that results in a  
14 good copy of the original. A glossy finish is  
15 acceptable if the original is glossy.

16 (2) *Cover.* The front cover of a brief must  
17 contain:

18 (A) the number of the case centered at the  
19 top;

20 (B) the name of the court;

21 (C) the title of the case as prescribed by  
22 Rule 8003(d)(2) or 8004(c)(2);

23 (D) the nature of the proceeding and the  
24 name of the court below;

25 (E) the title of the brief, identifying the party  
26 or parties for whom the brief is filed; and

27 (F) the name, office address, telephone  
28 number, and e-mail address of counsel  
29 representing the party for whom the brief is filed.

30 (3) *Binding*. The brief must be bound in any  
31 manner that is secure, does not obscure the text, and  
32 permits the brief to lie reasonably flat when open.

33                   (4) *Paper Size, Line Spacing, and Margins.* The  
34                   brief must be on 8½-by-11 inch paper. The text must be  
35                   double-spaced, but quotations more than two lines long  
36                   may be indented and single-spaced. Headings and  
37                   footnotes may be single-spaced. Margins must be at  
38                   least one inch on all four sides. Page numbers may be  
39                   placed in the margins, but no text may appear there.

40                   (5) *Typeface.* Either a proportionally spaced or  
41                   monospaced face may be used.

42                   (A) A proportionally spaced face must  
43                   include serifs, but sans-serif type may be used in  
44                   headings and captions. A proportionally spaced  
45                   face must be 14-point or larger.

46                   (B) A monospaced face may not contain  
47                   more than 10½ characters per inch.

48                   (6) *Type Styles.* A brief must be set in plain,  
49                   roman style, although italics or boldface may be used for  
50                   emphasis. Case names must be italicized or underlined.

51                   (7) *Length.*

52                   (A) *Page limitation.* A principal brief must  
53                   not exceed 30 pages, or a reply brief 15 pages,  
54                   unless it complies with (B) and (C).

55                   (B) *Type-volume limitation.*

56                   (i) A principal brief is acceptable if:  
57                   • it contains no more than  
58                   14,000 words; or  
59                   • it uses a monospaced face  
60                   and contains no more than 1,300  
61                   lines of text.

62 (ii) A reply brief is acceptable if it  
63 contains no more than half of the type volume  
64 specified in item (i).

65 (iii) Headings, footnotes, and  
66 quotations count toward the word and line  
67 limitations. The corporate disclosure  
68 statement, table of contents, table of citations,  
69 statement with respect to oral argument, any  
70 addendum containing statutes, rules, or  
71 regulations, and any certificates of counsel do  
72 not count toward the limitation.

73 (C) *Certificate of Compliance.*

74 (i) A brief submitted under  
75 subdivision (a)(7)(B) must include a  
76 certificate signed by the attorney, or an  
77 unrepresented party, that the brief complies

78 with the type-volume limitation. The person  
79 preparing the certificate may rely on the word  
80 or line count of the word-processing system  
81 used to prepare the brief. The certificate  
82 must state either:

- 83 • the number of words in the brief;
- 84 or
- 85 • the number of lines of monospaced  
86 type in the brief.

87 (ii) The certification requirement is  
88 satisfied by a certificate of compliance that  
89 conforms substantially to the appropriate  
90 Official Form.

91 (b) ELECTRONICALLY FILED BRIEFS. A brief  
92 filed electronically must comply with subdivision (a), except  
93 for (a)(1), (a)(3), and the paper requirement of (a)(4).

94 (c) PAPER COPIES OF APPENDICES. A paper copy  
95 of an appendix must comply with subdivision (a)(1), (2), (3),  
96 and (4), with the following exceptions:

97 (1) An appendix may include a legible photocopy  
98 of any document found in the record or of a printed  
99 decision.

100 (2) When necessary to facilitate inclusion of odd-  
101 sized documents such as technical drawings, an  
102 appendix may be a size other than 8½-by-11 inches, and  
103 need not lie reasonably flat when opened.

104 (d) ELECTRONICALLY FILED APPENDICES. An  
105 appendix filed electronically must comply with subdivision  
106 (a)(2) and (4), except for the paper requirement of (a)(4).

107 (e) OTHER DOCUMENTS.

108 (1) *Motion*. Rule 8013(f) governs the form of a  
109 motion, response, or reply.

110                   (2) *Paper Copies of Other Documents.* A paper  
111                   copy of any other document, other than a submission  
112                   under Rule 8014(f), must comply with subdivision (a),  
113                   with the following exceptions:

114                   (A) A cover is not necessary if the caption  
115                   and signature page together contain the  
116                   information required by subdivision (a)(2).

117                   (B) Subdivision (a)(7) does not apply.

118                   (3) *Other Documents Filed Electronically.* Any  
119                   other document filed electronically, other than a  
120                   submission under Rule 8014(f), must comply with the  
121                   appearance requirements of paragraph (2).

122                   (f) LOCAL VARIATION. A district court or BAP  
123                   must accept documents that comply with the applicable  
124                   requirements of this rule. By local rule, a district court or

125 BAP may accept documents that do not meet all of the  
126 requirements of this rule.

#### **Committee Note**

This rule is derived primarily from F.R.App.P. 32. Former Rule 8010(c) prescribed page limits for principal briefs and reply briefs. Those limits are now addressed by subdivision (a)(7) of this rule. In addition, the rule incorporates most of the detail of F.R.App.P. 32 regarding the appearance and format of briefs, appendices, and other documents, along with new provisions that apply when those documents are filed electronically.

Subdivision (a) prescribes the form requirements for briefs that are filed in paper form. It incorporates F.R.App.P. 32(a), except it does not include color requirements for brief covers, it requires the cover of a brief to include counsel's e-mail address, and cross-references to the appropriate bankruptcy rules are substituted for references to the Federal Rules of Appellate Procedure.

Subdivision (a)(7) decreases the length of briefs, as measured by the number of pages, that was permitted by former Rule 8010(c). Page limits are reduced from 50 to 30 pages for a principal brief and from 25 to 15 for a reply brief in order to achieve consistency with F.R.App.P. 32(a)(7). But as permitted by the appellate rule, subdivision (a)(7) also permits the limits on the length of a brief to be measured by a word or line count, as an alternative to a page limit. Basing the calculation of brief length on either of the type-volume

methods specified in subdivision (a)(7)(B) will result in briefs that may exceed the designated page limits in (a)(7)(A) and that may be approximately as long as allowed by the prior page limits.

Subdivision (b) adapts for briefs that are electronically filed subdivision (a)'s form requirements. With the use of electronic filing, the method of reproduction, method of binding, and use of paper become irrelevant. But information required on the cover, formatting requirements, and limits on brief length remain the same.

Subdivisions (c) and (d) prescribe the form requirements for appendices. Subdivision (c), applicable to paper appendices, is derived from F.R.App.P. 32(b), and subdivision (d) adapts those requirements for electronically filed appendices.

Subdivision (e), which is based on F.R.App.P. 32(c), addresses the form required for documents—in paper form or electronically filed—that these rules do not otherwise cover.

Subdivision (f), like F.R.App.P. 32(e), provides assurance to lawyers and parties that compliance with this rule's form requirements will allow a brief or other document to be accepted by any district court or BAP. A court may, however, by local rule or, under Rule 8028 by order in a particular case, choose to accept briefs and documents that do not comply with all of this rule's requirements. The decision whether to accept a brief that appears not to be in compliance with the rules must be made by the court. Under Rule 8011(a)(3), the clerk may not refuse to accept a

document for filing solely because it is not presented in proper form as required by these rules or any local rule or practice.

Under Rule 8011(e), the party filing the document or, if represented, its counsel must sign all briefs and other submissions. If the document is filed electronically, an electronic signature must be provided in accordance with Rule 8011(e).

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#### **Changes Made After Publication and Comment**

In subdivision (f), “or order in a particular case” was deleted as unnecessary. The discussion in the Committee Note about brief lengths was revised, and the discussion of subdivision (f) was expanded.

1       **Rule 8016. Cross-Appeals**

2           (a) APPLICABILITY. This rule applies to a case in  
3       which a cross-appeal is filed. Rules 8014(a)-(c),  
4       8015(a)(7)(A)-(B), and 8018(a)(1)-(3) do not apply to such a  
5       case, except as otherwise provided in this rule.

6           (b) DESIGNATION OF APPELLANT. The party who  
7       files a notice of appeal first is the appellant for purposes of  
8       this rule and Rule 8018(a)(4) and (b) and Rule 8019. If  
9       notices are filed on the same day, the plaintiff, petitioner,  
10      applicant, or movant in the proceeding below is the appellant.  
11      These designations may be modified by the parties' agreement  
12      or by court order.

13          (c) BRIEFS. In a case involving a cross-appeal:

14              (1) *Appellant's Principal Brief*. The appellant  
15      must file a principal brief in the appeal. That brief must  
16      comply with Rule 8014(a).



33 (B) the statement of the issues and the  
34 applicable standard of appellate review; and

35 (C) the statement of the case.

36 (4) *Appellee's Reply Brief*. The appellee may file  
37 a brief in reply to the response in the cross-appeal. That  
38 brief must comply with Rule 8014(a)(2)-(3) and (10)  
39 and must be limited to the issues presented by the cross-  
40 appeal.

41 (d) LENGTH.

42 (1) *Page Limitation*. Unless it complies with  
43 paragraphs (2) and (3), the appellant's principal brief  
44 must not exceed 30 pages; the appellee's principal and  
45 response brief, 35 pages; the appellant's response and  
46 reply brief, 30 pages; and the appellee's reply brief, 15  
47 pages.

48 (2) *Type-Volume Limitation*.

49 (A) The appellant's principal brief or the  
50 appellant's response and reply brief is acceptable  
51 if:

52 (i) it contains no more than 14,000  
53 words; or

54 (ii) it uses a monospaced face and  
55 contains no more than 1,300 lines of text.

56 (B) The appellee's principal and response  
57 brief is acceptable if:

58 (i) it contains no more than 16,500  
59 words; or

60 (ii) it uses a monospaced face and  
61 contains no more than 1,500 lines of text.

62 (C) The appellee's reply brief is acceptable  
63 if it contains no more than half of the type volume  
64 specified in subparagraph (A).

65 (D) Headings, footnotes, and quotations  
66 count toward the word and line limitations. The  
67 corporate disclosure statement, table of contents,  
68 table of citations, statement with respect to oral  
69 argument, any addendum containing statutes, rules,  
70 or regulations, and any certificates of counsel do  
71 not count toward the limitation.

72 (3) *Certificate of Compliance.* A brief submitted  
73 either electronically or in paper form under paragraph  
74 (2) must comply with Rule 8015(a)(7)(C).

75 (e) TIME TO SERVE AND FILE A BRIEF. Briefs  
76 must be served and filed as follows, unless the district court  
77 or BAP by order in a particular case excuses the filing of  
78 briefs or specifies different time limits:

79                   (1) the appellant’s principal brief, within 30 days  
80                   after the docketing of notice that the record has been  
81                   transmitted or is available electronically;

82                   (2) the appellee’s principal and response brief,  
83                   within 30 days after the appellant’s principal brief is  
84                   served;

85                   (3) the appellant’s response and reply brief,  
86                   within 30 days after the appellee’s principal and  
87                   response brief is served; and

88                   (4) the appellee’s reply brief, within 14 days after  
89                   the appellant’s response and reply brief is served, but at  
90                   least 7 days before scheduled argument unless the  
91                   district court or BAP, for good cause, allows a later  
92                   filing.

### **Committee Note**

This rule is derived from F.R.App.P. 28.1. It governs the timing, content, length, filing, and service of briefs in bankruptcy appeals in which there is a cross-appeal. The former Part VIII rules did not separately address the topic of cross-appeals.

Subdivision (b) prescribes which party is designated the appellant when there is a cross-appeal. Generally, the first to file a notice of appeal will be the appellant.

Subdivision (c) specifies the briefs that the appellant and the appellee may file. Because of the dual role of the parties to the appeal and cross-appeal, each party is permitted to file a principal brief and a response to the opposing party's brief, as well as a reply brief. For the appellee, the principal brief in the cross-appeal and the response in the appeal are combined into a single brief. The appellant, on the other hand, initially files a principal brief in the appeal and later files a response to the appellee's principal brief in the cross-appeal, along with a reply brief in the appeal. The final brief that may be filed is the appellee's reply brief in the cross-appeal.

Subdivision (d), which prescribes page limits for briefs, is adopted from F.R.App.P. 28.1(e). It applies to briefs that are filed electronically, as well as to those filed in paper form. Like Rule 8015(a)(7), it imposes limits measured by either the number of pages or the number of words or lines of text.

Subdivision (e) governs the time for filing briefs in cases in which there is a cross-appeal. It adapts the provisions of F.R.App.P. 28.1(f).

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### **Changes Made After Publication and Comment**

Subdivision (d)(2)(D) was added, and subdivision (f) was deleted. In subdivision (a), the statement that Rule 8018(a) does not apply was changed to refer to Rule 8018(a)(1)-(3). In subdivision (b), Rule 8018(a)(4) was added to the list of rules. Conforming changes were made to the Committee Note.

1 **Rule 8017. Brief of an Amicus Curiae**

2 (a) WHEN PERMITTED. The United States or its  
3 officer or agency or a state may file an amicus-curiae brief  
4 without the consent of the parties or leave of court. Any other  
5 amicus curiae may file a brief only by leave of court or if the  
6 brief states that all parties have consented to its filing. On its  
7 own motion, and with notice to all parties to an appeal, the  
8 district court or BAP may request a brief by an amicus curiae.

9 (b) MOTION FOR LEAVE TO FILE. The motion  
10 must be accompanied by the proposed brief and state:

11 (1) the movant's interest; and

12 (2) the reason why an amicus brief is desirable  
13 and why the matters asserted are relevant to the  
14 disposition of the appeal.

15 (c) CONTENTS AND FORM. An amicus brief must  
16 comply with Rule 8015. In addition to the requirements of

17 Rule 8015, the cover must identify the party or parties  
18 supported and indicate whether the brief supports affirmance  
19 or reversal. If an amicus curiae is a corporation, the brief  
20 must include a disclosure statement like that required of  
21 parties by Rule 8012. An amicus brief need not comply with  
22 Rule 8014, but must include the following:

- 23 (1) a table of contents, with page references;
- 24 (2) a table of authorities—cases (alphabetically  
25 arranged), statutes, and other authorities—with  
26 references to the pages of the brief where they are cited;
- 27 (3) a concise statement of the identity of the  
28 amicus curiae, its interest in the case, and the source of  
29 its authority to file;
- 30 (4) unless the amicus curiae is one listed in the  
31 first sentence of subdivision (a), a statement that  
32 indicates whether:

33 (A) a party's counsel authored the brief in  
34 whole or in part;

35 (B) a party or a party's counsel contributed  
36 money that was intended to fund preparing or  
37 submitting the brief; and

38 (C) a person—other than the amicus curiae,  
39 its members, or its counsel—contributed money  
40 that was intended to fund preparing or submitting  
41 the brief and, if so, identifies each such person;

42 (5) an argument, which may be preceded by a  
43 summary and need not include a statement of the  
44 applicable standard of review; and

45 (6) a certificate of compliance, if required by  
46 Rule 8015(a)(7)(C) or 8015(b).

47 (d) LENGTH. Except by the district court's or BAP's  
48 permission, an amicus brief must be no more than one-half

49 the maximum length authorized by these rules for a party's  
50 principal brief. If the court grants a party permission to file a  
51 longer brief, that extension does not affect the length of an  
52 amicus brief.

53 (e) TIME FOR FILING. An amicus curiae must file  
54 its brief, accompanied by a motion for filing when necessary,  
55 no later than 7 days after the principal brief of the party being  
56 supported is filed. An amicus curiae that does not support  
57 either party must file its brief no later than 7 days after the  
58 appellant's principal brief is filed. The district court or BAP  
59 may grant leave for later filing, specifying the time within  
60 which an opposing party may answer.

61 (f) REPLY BRIEF. Except by the district court's or  
62 BAP's permission, an amicus curiae may not file a reply brief.

63           (g) ORAL ARGUMENT. An amicus curiae may  
64 participate in oral argument only with the district court's or  
65 BAP's permission.

**Committee Note**

This rule is derived from F.R.App.P. 29. The former Part VIII rules did not address the participation by an amicus curiae in a bankruptcy appeal.

Subdivision (a) adopts the provisions of F.R.App.P. 29(a). In addition, it authorizes the district court or BAP on its own motion—with notice to the parties—to request the filing of a brief by an amicus curiae.

Subdivisions (b)-(g) adopt F.R.App.P. 29(b)-(g).

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**Changes Made After Publication and Comment**

No changes were made after publication and comment.

1 **Rule 8018. Serving and Filing Briefs; Appendices**

2 (a) TIME TO SERVE AND FILE A BRIEF. The  
3 following rules apply unless the district court or BAP by order  
4 in a particular case excuses the filing of briefs or specifies  
5 different time limits:

6 (1) The appellant must serve and file a brief  
7 within 30 days after the docketing of notice that the  
8 record has been transmitted or is available electronically.

9 (2) The appellee must serve and file a brief  
10 within 30 days after service of the appellant's brief.

11 (3) The appellant may serve and file a reply brief  
12 within 14 days after service of the appellee's brief, but  
13 a reply brief must be filed at least 7 days before  
14 scheduled argument unless the district court or BAP, for  
15 good cause, allows a later filing.

16                   (4) If an appellant fails to file a brief on time or  
17                   within an extended time authorized by the district court  
18                   or BAP, an appellee may move to dismiss the  
19                   appeal—or the district court or BAP, after notice, may  
20                   dismiss the appeal on its own motion. An appellee who  
21                   fails to file a brief will not be heard at oral argument  
22                   unless the district court or BAP grants permission.

23                   (b) DUTY TO SERVE AND FILE AN APPENDIX  
24                   TO THE BRIEF.

25                   (1) *Appellant.* Subject to subdivision (e) and  
26                   Rule 8009(d), the appellant must serve and file with its  
27                   principal brief excerpts of the record as an appendix. It  
28                   must contain the following:

29                                   (A) the relevant entries in the bankruptcy  
30                   docket;

31 (B) the complaint and answer, or other  
32 equivalent filings;

33 (C) the judgment, order, or decree from  
34 which the appeal is taken;

35 (D) any other orders, pleadings, jury  
36 instructions, findings, conclusions, or opinions  
37 relevant to the appeal;

38 (E) the notice of appeal; and

39 (F) any relevant transcript or portion of it.

40 (2) *Appellee*. The appellee may also serve and  
41 file with its brief an appendix that contains material  
42 required to be included by the appellant or relevant to  
43 the appeal or cross-appeal, but omitted by the appellant.

44 (3) *Cross-Appellee*. The appellant as cross-  
45 appellee may also serve and file with its response an  
46 appendix that contains material relevant to matters

47           raised initially by the principal brief in the cross-appeal,  
48           but omitted by the cross-appellant.

49           (c)   FORMAT OF THE APPENDIX. The appendix  
50           must begin with a table of contents identifying the page at  
51           which each part begins. The relevant docket entries must  
52           follow the table of contents. Other parts of the record must  
53           follow chronologically. When pages from the transcript of  
54           proceedings are placed in the appendix, the transcript page  
55           numbers must be shown in brackets immediately before the  
56           included pages. Omissions in the text of documents or of the  
57           transcript must be indicated by asterisks. Immaterial formal  
58           matters (captions, subscriptions, acknowledgments, and the  
59           like) should be omitted.

60           (d)   EXHIBITS. Exhibits designated for inclusion in  
61           the appendix may be reproduced in a separate volume or  
62           volumes, suitably indexed.

63           (e) APPEAL ON THE ORIGINAL RECORD  
64 WITHOUT AN APPENDIX. The district court or BAP may,  
65 either by rule for all cases or classes of cases or by order in a  
66 particular case, dispense with the appendix and permit an  
67 appeal to proceed on the original record, with the submission  
68 of any relevant parts of the record that the district court or  
69 BAP orders the parties to file.

**Committee Note**

This rule is derived from former Rule 8009 and F.R.App.P. 30 and 31. Like former Rule 8009, it addresses the timing of serving and filing briefs and appendices, as well as the content and format of appendices. Rule 8011 governs the methods of filing and serving briefs and appendices.

The rule retains the bankruptcy practice of permitting the appellee to file its own appendix, rather than requiring the appellant to include in its appendix matters designated by the appellee. Rule 8016 governs the timing of serving and filing briefs when a cross-appeal is taken. This rule's provisions about appendices apply to all appeals, including cross-appeals.

Subdivision (a) retains former Rule 8009's provision that allows the district court or BAP to dispense with briefing

or to provide different time periods than this rule specifies. It increases some of the time periods for filing briefs from the periods prescribed by the former rule, while still retaining shorter time periods than some provided by F.R.App.P. 31(a). The time for filing the appellant's brief is increased from 14 to 30 days after the docketing of the notice of the transmission of the record or notice of the availability of the record. That triggering event is equivalent to docketing the appeal under former Rule 8007. Appellate Rule 31(a)(1), by contrast, provides the appellant 40 days after the record is filed to file its brief. The shorter time period for bankruptcy appeals reflects the frequent need for greater expedition in the resolution of bankruptcy appeals, while still providing the appellant more time to prepare its brief than the former rule provided.

Subdivision (a)(2) similarly expands the time period for filing the appellee's brief from 14 to 30 days after the service of the appellant's brief. This period is the same as F.R.App.P. 31(a)(1) provides.

Subdivision (a)(3) retains the 14-day time period for filing a reply brief that the former rule prescribed, but it qualifies that period to ensure that the final brief is filed at least 7 days before oral argument.

If a district court or BAP has a mediation procedure for bankruptcy appeals, that procedure could affect when briefs must be filed. *See* Rule 8027.

Subdivision (a)(4) is new. Based on F.R.App.P. 31(c), it provides for actions that may be taken—dismissal of the

appeal or denial of participation in oral argument—if the appellant or appellee fails to file its brief.

Subdivisions (b) and (c) govern the content and format of the appendix to a brief. Subdivision (b) is similar to former Rule 8009(b), and subdivision (c) is derived from F.R.App.P. 30(d).

Subdivision (d), which addresses the inclusion of exhibits in the appendix, is derived from F.R.App.P. 30(e).

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### **Changes Made After Publication and Comment**

Subdivision (a)(4) was revised to provide more detail about the procedure for dismissing an appeal due to appellant's failure to timely file a brief.

1 **Rule 8019. Oral Argument**

2 (a) PARTY’S STATEMENT. Any party may file, or  
3 a district court or BAP may require, a statement explaining  
4 why oral argument should, or need not, be permitted.

5 (b) PRESUMPTION OF ORAL ARGUMENT AND  
6 EXCEPTIONS. Oral argument must be allowed in every case  
7 unless the district judge—or all the BAP judges assigned to  
8 hear the appeal—examine the briefs and record and determine  
9 that oral argument is unnecessary because

10 (1) the appeal is frivolous;

11 (2) the dispositive issue or issues have been  
12 authoritatively decided; or

13 (3) the facts and legal arguments are adequately  
14 presented in the briefs and record, and the decisional  
15 process would not be significantly aided by oral  
16 argument.

17 (c) NOTICE OF ARGUMENT; POSTPONEMENT.

18 The district court or BAP must advise all parties of the date,  
19 time, and place for oral argument, and the time allowed for  
20 each side. A motion to postpone the argument or to allow  
21 longer argument must be filed reasonably in advance of the  
22 hearing date.

23 (d) ORDER AND CONTENTS OF ARGUMENT.

24 The appellant opens and concludes the argument. Counsel  
25 must not read at length from briefs, the record, or authorities.

26 (e) CROSS-APPEALS AND SEPARATE APPEALS.

27 If there is a cross-appeal, Rule 8016(b) determines which  
28 party is the appellant and which is the appellee for the  
29 purposes of oral argument. Unless the district court or BAP  
30 directs otherwise, a cross-appeal or separate appeal must be  
31 argued when the initial appeal is argued. Separate parties  
32 should avoid duplicative argument.

33 (f) NONAPPEARANCE OF A PARTY. If the  
34 appellee fails to appear for argument, the district court or  
35 BAP may hear the appellant's argument. If the appellant fails  
36 to appear for argument, the district court or BAP may hear the  
37 appellee's argument. If neither party appears, the case will be  
38 decided on the briefs unless the district court or BAP orders  
39 otherwise.

40 (g) SUBMISSION ON BRIEFS. The parties may  
41 agree to submit a case for decision on the briefs, but the  
42 district court or BAP may direct that the case be argued.

43 (h) USE OF PHYSICAL EXHIBITS AT  
44 ARGUMENT; REMOVAL. Counsel intending to use  
45 physical exhibits other than documents at the argument must  
46 arrange to place them in the courtroom on the day of the  
47 argument before the court convenes. After the argument,  
48 counsel must remove the exhibits from the courtroom unless

49 the district court or BAP directs otherwise. The clerk may  
50 destroy or dispose of the exhibits if counsel does not reclaim  
51 them within a reasonable time after the clerk gives notice to  
52 remove them.

#### **Committee Note**

This rule generally retains the provisions of former Rule 8012 and adds much of the additional detail of F.R.App.P. 34. By incorporating the more detailed provisions of the appellate rule, Rule 8019 promotes national uniformity regarding oral argument in bankruptcy appeals.

Subdivision (a), like F.R.App.P. 34(a)(1), now allows a party to submit a statement explaining why oral argument is or is not needed. It also authorizes a court to require this statement. Former Rule 8012 only authorized statements explaining why oral argument should be allowed.

Subdivision (b) retains the reasons set forth in former Rule 8012 for the district court or BAP to conclude that oral argument is not needed.

The remainder of this rule adopts the provisions of F.R.App.P. 34(b)-(g), with one exception. Rather than requiring the district court or BAP to hear appellant's argument if the appellee does not appear, subdivision (f) authorizes the district court or BAP to go forward with the argument in the appellee's absence. Should the court decide,

however, to postpone the oral argument in that situation, it would be authorized to do so.

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**Changes Made After Publication and Comment**

No changes were made after publication and comment.

1 **Rule 8020. Frivolous Appeal and Other Misconduct**

2 (a) FRIVOLOUS APPEAL—DAMAGES AND  
3 COSTS. If the district court or BAP determines that an  
4 appeal is frivolous, it may, after a separately filed motion or  
5 notice from the court and reasonable opportunity to respond,  
6 award just damages and single or double costs to the appellee.

7 (b) OTHER MISCONDUCT. The district court or  
8 BAP may discipline or sanction an attorney or party appearing  
9 before it for other misconduct, including failure to comply  
10 with any court order. First, however, the court must afford  
11 the attorney or party reasonable notice, an opportunity to  
12 show cause to the contrary, and, if requested, a hearing.

**Committee Note**

This rule is derived from former Rule 8020 and F.R.App.P. 38 and 46(c). Subdivision (a) permits an award of damages and costs to an appellee for a frivolous appeal. Subdivision (b) permits the district court or BAP to impose on parties as well as their counsel sanctions for misconduct other than taking a frivolous appeal. Failure to comply with

a court order, for which sanctions may be imposed, may include a failure to comply with a local court rule.

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**Changes Made After Publication and Comment**

No changes were made after publication and comment.

1 **Rule 8021. Costs**

2 (a) AGAINST WHOM ASSESSED. The following  
3 rules apply unless the law provides or the district court or  
4 BAP orders otherwise:

5 (1) if an appeal is dismissed, costs are taxed  
6 against the appellant, unless the parties agree otherwise;

7 (2) if a judgment, order, or decree is affirmed,  
8 costs are taxed against the appellant;

9 (3) if a judgment, order, or decree is reversed,  
10 costs are taxed against the appellee;

11 (4) if a judgment, order, or decree is affirmed or  
12 reversed in part, modified, or vacated, costs are taxed  
13 only as the district court or BAP orders.

14 (b) COSTS FOR AND AGAINST THE UNITED  
15 STATES. Costs for or against the United States, its agency,

16 or its officer may be assessed under subdivision (a) only if  
17 authorized by law.

18 (c) COSTS ON APPEAL TAXABLE IN THE  
19 BANKRUPTCY COURT. The following costs on appeal are  
20 taxable in the bankruptcy court for the benefit of the party  
21 entitled to costs under this rule:

22 (1) the production of any required copies of a  
23 brief, appendix, exhibit, or the record;

24 (2) the preparation and transmission of the  
25 record;

26 (3) the reporter's transcript, if needed to  
27 determine the appeal;

28 (4) premiums paid for a supersedeas bond or  
29 other bonds to preserve rights pending appeal; and

30 (5) the fee for filing the notice of appeal.

31 (d) BILL OF COSTS; OBJECTIONS. A party who  
32 wants costs taxed must, within 14 days after entry of  
33 judgment on appeal, file with the bankruptcy clerk, with proof  
34 of service, an itemized and verified bill of costs. Objections  
35 must be filed within 14 days after service of the bill of costs,  
36 unless the bankruptcy court extends the time.

#### **Committee Note**

This rule is derived from former Rule 8014 and F.R.App.P. 39. It retains the former rule's authorization for taxing appellate costs against the losing party and its specification of the costs that may be taxed. The rule also incorporates some of the additional details regarding the taxing of costs contained in F.R.App.P. 39. Consistent with former Rule 8014, the bankruptcy clerk has the responsibility for taxing all costs. Subdivision (b), derived from F.R.App.P. 39(b), clarifies that additional authority is required for the taxation of costs by or against federal governmental parties.

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#### **Changes Made After Publication and Comment**

No changes were made after publication and comment.

1 **Rule 8022. Motion for Rehearing**

2 (a) TIME TO FILE; CONTENTS; RESPONSE;  
3 ACTION BY THE DISTRICT COURT OR BAP IF  
4 GRANTED.

5 (1) *Time.* Unless the time is shortened or  
6 extended by order or local rule, any motion for rehearing  
7 by the district court or BAP must be filed within 14 days  
8 after entry of judgment on appeal.

9 (2) *Contents.* The motion must state with  
10 particularity each point of law or fact that the movant  
11 believes the district court or BAP has overlooked or  
12 misapprehended and must argue in support of the  
13 motion. Oral argument is not permitted.

14 (3) *Response.* Unless the district court or BAP  
15 requests, no response to a motion for rehearing is

16 permitted. But ordinarily, rehearing will not be granted  
17 in the absence of such a request.

18 (4) *Action by the District Court or BAP.* If a  
19 motion for rehearing is granted, the district court or BAP  
20 may do any of the following:

21 (A) make a final disposition of the appeal  
22 without reargument;

23 (B) restore the case to the calendar for  
24 reargument or resubmission; or

25 (C) issue any other appropriate order.

26 (b) FORM OF THE MOTION; LENGTH. The motion  
27 must comply in form with Rule 8013(f)(1) and (2). Copies  
28 must be served and filed as provided by Rule 8011. Unless  
29 the district court or BAP orders otherwise, a motion for  
30 rehearing must not exceed 15 pages.

**Committee Note**

This rule is derived from former Rule 8015 and F.R.App.P. 40. It deletes the provision of former Rule 8015 regarding the time for appeal to the court of appeals because the matter is addressed by F.R.App.P. 6(b)(2)(A).

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**Changes Made After Publication and Comment**

In subdivision (b), the reference to local rule was deleted as unnecessary.

1 **Rule 8023. Voluntary Dismissal**

2           The clerk of the district court or BAP must dismiss an  
3 appeal if the parties file a signed dismissal agreement  
4 specifying how costs are to be paid and pay any fees that are  
5 due. An appeal may be dismissed on the appellant’s motion  
6 on terms agreed to by the parties or fixed by the district court  
7 or BAP.

**Committee Note**

This rule is derived from former Rule 8001(c) and F.R.App.P. 42. The provision of the former rule regarding dismissal of appeals in the bankruptcy court prior to docketing of the appeal has been deleted. Now that docketing occurs promptly after a notice of appeal is filed, *see* Rules 8003(d) and 8004(c), an appeal likely will not be voluntarily dismissed before docketing.

The rule retains the provision of the former rule that the district or BAP clerk must dismiss an appeal upon the parties’ agreement. District courts and BAPs continue to have discretion to dismiss an appeal on an appellant’s motion. Nothing in the rule prohibits a district court or BAP from dismissing an appeal for other reasons authorized by law, such as the failure to prosecute an appeal.

**Changes Made After Publication and Comment**

No changes were made after publication and comment.

1 **Rule 8024. Clerk's Duties on Disposition of the Appeal**

2 (a) JUDGMENT ON APPEAL. The district or BAP  
3 clerk must prepare, sign, and enter the judgment after  
4 receiving the court's opinion or, if there is no opinion, as the  
5 court instructs. Noting the judgment on the docket constitutes  
6 entry of judgment.

7 (b) NOTICE OF A JUDGMENT. Immediately upon  
8 the entry of a judgment, the district or BAP clerk must:

9 (1) transmit a notice of the entry to each party to  
10 the appeal, to the United States trustee, and to the  
11 bankruptcy clerk, together with a copy of any opinion;  
12 and

13 (2) note the date of the transmission on the  
14 docket.

15           (c) RETURNING PHYSICAL ITEMS. If any physical  
16 items were transmitted as the record on appeal, they must be  
17 returned to the bankruptcy clerk on disposition of the appeal.

**Committee Note**

This rule is derived from former Rule 8016, which was adapted from F.R.App.P. 36 and 45(c) and (d). The rule is reworded to reflect that only items in the record that are physically, as opposed to electronically, transmitted to the district court or BAP need to be returned to the bankruptcy clerk. Other changes to the former rule are stylistic.

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**Changes Made After Publication and Comment**

Stylistic changes were made to subdivision (c) and the Committee Note.

1 **Rule 8025. Stay of a District Court or BAP Judgment**

2 (a) AUTOMATIC STAY OF JUDGMENT ON  
3 APPEAL. Unless the district court or BAP orders otherwise,  
4 its judgment is stayed for 14 days after entry.

5 (b) STAY PENDING APPEAL TO THE COURT OF  
6 APPEALS.

7 (1) *In General.* On a party's motion and notice  
8 to all other parties to the appeal, the district court or  
9 BAP may stay its judgment pending an appeal to the  
10 court of appeals.

11 (2) *Time Limit.* The stay must not exceed 30 days  
12 after the judgment is entered, except for cause shown.

13 (3) *Stay Continued.* If, before a stay expires, the  
14 party who obtained the stay appeals to the court of  
15 appeals, the stay continues until final disposition by the  
16 court of appeals.

17                   (4) *Bond or Other Security.* A bond or other  
18                   security may be required as a condition for granting or  
19                   continuing a stay of the judgment. A bond or other  
20                   security may be required if a trustee obtains a stay, but  
21                   not if a stay is obtained by the United States or its officer  
22                   or agency or at the direction of any department of the  
23                   United States government.

24                   (c) AUTOMATIC STAY OF AN ORDER,  
25                   JUDGMENT, OR DECREE OF A BANKRUPTCY COURT.  
26                   If the district court or BAP enters a judgment affirming an  
27                   order, judgment, or decree of the bankruptcy court, a stay of  
28                   the district court's or BAP's judgment automatically stays the  
29                   bankruptcy court's order, judgment, or decree for the duration  
30                   of the appellate stay.

- 31 (d) POWER OF A COURT OF APPEALS NOT  
32 LIMITED. This rule does not limit the power of a court of  
33 appeals or any of its judges to do the following:
- 34 (1) stay a judgment pending appeal;
  - 35 (2) stay proceedings while an appeal is pending;
  - 36 (3) suspend, modify, restore, vacate, or grant a  
37 stay or an injunction while an appeal is pending; or
  - 38 (4) issue any order appropriate to preserve the  
39 status quo or the effectiveness of any judgment to be  
40 entered.

#### **Committee Note**

This rule is derived from former Rule 8017. Most of the changes to the former rule are stylistic. Subdivision (c) is new. It provides that if a district court or BAP affirms the bankruptcy court ruling and the appellate judgment is stayed, the bankruptcy court's order, judgment, or decree that is affirmed on appeal is automatically stayed to the same extent as the stay of the appellate judgment.

**Changes Made After Publication and Comment**

No changes were made after publication and comment.

1 **Rule 8026. Rules by Circuit Councils and District Courts;**  
2 **Procedure When There is No Controlling**  
3 **Law**

4 (a) LOCAL RULES BY CIRCUIT COUNCILS AND  
5 DISTRICT COURTS.

6 (1) *Adopting Local Rules.* A circuit council that  
7 has authorized a BAP under 28 U.S.C. § 158(b) may  
8 make and amend rules governing the practice and  
9 procedure on appeal from a judgment, order, or decree  
10 of a bankruptcy court to the BAP. A district court may  
11 make and amend rules governing the practice and  
12 procedure on appeal from a judgment, order, or decree  
13 of a bankruptcy court to the district court. Local rules  
14 must be consistent with, but not duplicative of, Acts of  
15 Congress and these Part VIII rules. Rule 83 F.R.Civ.P.  
16 governs the procedure for making and amending rules to  
17 govern appeals.

18                   (2) *Numbering.* Local rules must conform to any  
19                   uniform numbering system prescribed by the Judicial  
20                   Conference of the United States.

21                   (3) *Limitation on Imposing Requirements of*  
22                   *Form.* A local rule imposing a requirement of form  
23                   must not be enforced in a way that causes a party to lose  
24                   any right because of a nonwillful failure to comply.

25                   (b) PROCEDURE WHEN THERE IS NO  
26                   CONTROLLING LAW.

27                   (1) *In General.* A district court or BAP may  
28                   regulate practice in any manner consistent with federal  
29                   law, applicable federal rules, the Official Forms, and  
30                   local rules.

31                   (2) *Limitation on Sanctions.* No sanction or other  
32                   disadvantage may be imposed for noncompliance with  
33                   any requirement not in federal law, applicable federal

34 rules, the Official Forms, or local rules unless the  
35 alleged violator has been furnished in the particular case  
36 with actual notice of the requirement.

**Committee Note**

This rule is derived from former Rule 8018. The changes to the former rule are stylistic.

---

**Changes Made After Publication and Comment**

No changes were made after publication and comment.

1       **Rule 8027. Notice of a Mediation Procedure**

2               If the district court or BAP has a mediation procedure  
3       applicable to bankruptcy appeals, the clerk must notify the  
4       parties promptly after docketing the appeal of:

- 5               (a) the requirements of the mediation procedure; and  
6               (b) any effect the mediation procedure has on the time  
7       to file briefs.

**Committee Note**

This rule is new. It requires the district or BAP clerk to advise the parties promptly after an appeal is docketed of any court mediation procedure that is applicable to bankruptcy appeals. The notice must state what the mediation requirements are and how the procedure affects the time for filing briefs.

---

**Changes Made After Publication and Comment**

No changes were made after publication and comment.

1 **Rule 8028. Suspension of Rules in Part VIII**

2 In the interest of expediting decision or for other cause  
3 in a particular case, the district court or BAP, or where  
4 appropriate the court of appeals, may suspend the  
5 requirements or provisions of the rules in Part VIII, except  
6 Rules 8001, 8002, 8003, 8004, 8005, 8006, 8007, 8012, 8020,  
7 8024, 8025, 8026, and 8028.

**Committee Note**

This rule is derived from former Rule 8019 and F.R.App.P. 2. To promote uniformity of practice and compliance with statutory authority, the rule includes a more extensive list of requirements that may not be suspended than either the former rule or the Federal Rules of Appellate Procedure provide. Rules governing the following matters may not be suspended:

- scope of the rules; definition of “BAP”; method of transmission;
- time for filing a notice of appeal;
- taking an appeal as of right;
- taking an appeal by leave;
- election to have an appeal heard by a district court instead of a BAP;
- certification of direct appeal to a court of appeals;

- stay pending appeal;
- corporate disclosure statement;
- sanctions for frivolous appeals and other misconduct;
- clerk's duties on disposition of an appeal;
- stay of a district court's or BAP's judgment;
- local rules; and
- suspension of the Part VIII rules.

---

**Changes Made After Publication and Comment**

No changes were made after publication and comment.

Supreme Court of the United States  
Washington, D. C. 20543

CHAMBERS OF  
THE CHIEF JUSTICE

April 25, 2014

Honorable John A. Boehner  
Speaker of the House of Representatives  
Washington, D.C. 20515

Dear Mr. Speaker:

I have the honor to submit to the Congress the amendment to the Federal Rules of Civil Procedure that has been adopted by the Supreme Court of the United States pursuant to Section 2072 of Title 28, United States Code.

Accompanying this rule are excerpts from the Report of the Committee on Rules of Practice and Procedure to the Judicial Conference of the United States containing the Committee Notes submitted to the Court for its consideration pursuant to Section 331 of Title 28, United States Code.

Sincerely,

/s/ John G. Roberts

Supreme Court of the United States  
Washington, D. C. 20543

CHAMBERS OF  
THE CHIEF JUSTICE

April 25, 2014

Honorable Joseph R. Biden, Jr.  
President, United States Senate  
Washington, D.C. 20510

Dear Mr. President:

I have the honor to submit to the Congress the amendment to the Federal Rules of Civil Procedure that has been adopted by the Supreme Court of the United States pursuant to Section 2072 of Title 28, United States Code.

Accompanying this rule are excerpts from the Report of the Committee on Rules of Practice and Procedure to the Judicial Conference of the United States containing the Committee Notes submitted to the Court for its consideration pursuant to Section 331 of Title 28, United States Code.

Sincerely,

/s/ John G. Roberts

April 25, 2014

SUPREME COURT OF THE UNITED STATES

ORDERED:

1. That the Federal Rules of Civil Procedure be, and they hereby are, amended by including therein an amendment to Civil Rule 77.

[See infra., pp. \_\_ \_\_ \_\_.]

2. That the foregoing amendment to the Federal Rules of Civil Procedure shall take effect on December 1, 2014, and shall govern in all proceedings in civil cases thereafter commenced and, insofar as just and practicable, all proceedings then pending.

3. That THE CHIEF JUSTICE be, and hereby is, authorized to transmit to the Congress the foregoing amendment to the Federal Rules of Civil Procedure in accordance with the provisions of Section 2072 of Title 28, United States Code.

**PROPOSED AMENDMENT TO THE FEDERAL  
RULES OF CIVIL PROCEDURE**

**Rule 77. Conducting Business; Clerk's Authority;  
Notice of an Order or Judgment**

\* \* \* \* \*

**(c) Clerk's Office Hours; Clerk's Orders.**

- (1) *Hours.* The clerk's office — with a clerk or deputy on duty — must be open during business hours every day except Saturdays, Sundays, and legal holidays. But a court may, by local rule or order, require that the office be open for specified hours on Saturday or a particular legal holiday other than one listed in Rule 6(a)(6)(A).

\* \* \* \* \*



# JUDICIAL CONFERENCE OF THE UNITED STATES

WASHINGTON, D.C. 20544

THE CHIEF JUSTICE  
OF THE UNITED STATES  
*Presiding*

HONORABLE JOHN D. BATES  
*Secretary*

November 6, 2013

## MEMORANDUM

To: The Chief Justice of the United States and  
Associate Justices of the Supreme Court

From: Judge John D. Bates 

RE: TRANSMITTAL OF PROPOSED AMENDMENT TO THE FEDERAL RULES OF CIVIL  
PROCEDURE

By direction of the Judicial Conference of the United States, pursuant to the authority conferred by 28 U.S.C. § 331, I transmit herewith for consideration of the Court a proposed amendment to Rule 77 of the Federal Rules of Civil Procedure, which was approved by the Judicial Conference at its March 2013 session. The Judicial Conference recommends that the amendment be approved by the Court and transmitted to the Congress pursuant to law.

For your assistance in considering the proposed amendment, I am transmitting: (i) a redline version of the amendment; (ii) an excerpt from the Report of the Committee on Rules of Practice and Procedure to the Judicial Conference; and (iii) an excerpt from the Report of the Advisory Committee on the Federal Rules of Civil Procedure.

Attachments

**EXCERPT OF THE  
REPORT OF THE JUDICIAL CONFERENCE**

**COMMITTEE ON RULES OF PRACTICE AND PROCEDURE**

**TO THE CHIEF JUSTICE OF THE UNITED STATES AND MEMBERS OF THE  
JUDICIAL CONFERENCE OF THE UNITED STATES:**

\* \* \* \* \*

**FEDERAL RULES OF CIVIL PROCEDURE**

*Rules Recommended for Approval and Transmission*

The Advisory Committee on Civil Rules submitted a proposed amendment to Rule 77(c)(1), with a recommendation that it be approved and transmitted to the Judicial Conference. Because the amendment is technical, prior publication for public comment is unnecessary.

The proposed amendment corrects a cross-reference to Rule 6(a) that should have been changed when Rule 6(a) was amended in 2009. Before those amendments, Rule 6(a)(4)(A) defined “legal holiday” to include 10 days set aside by statute, and Rule 77(c)(1) incorporated this definition by cross-reference.

After enactment of the 2009 amendment, the statute-based definition of legal holidays remained unchanged, but became Rule 6(a)(6)(A). Revising the cross-reference to refer to Rule 6(a)(6)(A) will correct the problem.

The Committee concurred with the advisory committee’s recommendations.

**Recommendation:** That the Judicial Conference approve the proposed amendment to Civil Rule 77(c)(1), and transmit it to the Supreme Court for consideration with a recommendation that it be adopted by the Court and transmitted to Congress in accordance with the law.

\* \* \* \* \*

Respectfully submitted,

A handwritten signature in blue ink that reads "Jeffrey S. Sutton". The signature is written in a cursive style with a large initial "J" and "S".

Jeffrey S. Sutton, Chair

James. M. Cole  
Dean C. Colson  
Roy T. Englert, Jr.  
Gregory G. Garre  
Neil M. Gorsuch  
Marilyn L. Huff

Wallace B. Jefferson  
David F. Levi  
Patrick J. Schiltz  
Larry A. Thompson  
Richard C. Wesley  
Diane P. Wood

COMMITTEE ON RULES OF PRACTICE AND PROCEDURE  
OF THE  
JUDICIAL CONFERENCE OF THE UNITED STATES  
WASHINGTON, D.C. 20544

JEFFREY S. SUTTON  
CHAIR

JONATHAN C. ROSE  
SECRETARY

CHAIRS OF ADVISORY COMMITTEES

STEVEN M. COLLOTON  
APPELLATE RULES

EUGENE R. WEDOFF  
BANKRUPTCY RULES

DAVID G. CAMPBELL  
CIVIL RULES

REENA RAGGI  
CRIMINAL RULES

SIDNEY A. FITZWATER  
EVIDENCE RULES

**MEMORANDUM**

**To:** Honorable Jeffrey S. Sutton, Chair,  
Standing Committee on Rules of Practice and Procedure

**From:** Honorable David G. Campbell, Chair,  
Advisory Committee on Federal Rules of Civil Procedure

**Date:** December 5, 2012

**Re:** Report of the Civil Rules Advisory Committee

**Introduction**

The Civil Rules Advisory Committee met at the Administrative Office of the United States Courts in Washington, D.C., on November 2, 2012. The meeting had been scheduled for November 1 and 2, but in anticipation of travel disruptions following Super Storm Sandy it was rescheduled to enable most participants to attend by video conference, webcast, or other remote means. Several participants gathered at the Administrative Office. Draft Minutes of this meeting are attached. This report has been prepared by Professor Cooper, Committee Reporter, with Professor Marcus, Associate Reporter, and various subcommittee chairs.

\* \* \* \* \*

Three other items are presented for action. One seeks approval to publish an amendment of Rule 6(d) to correct an inadvertent oversight in conforming former rule text to style conventions. The second seeks approval to publish a modest revision of Rule 55(c) to clarify a latent ambiguity that has caused some confusion. Both of these proposals seek approval for publication when they can be included in a package with more substantial rule proposals. The third seeks a recommendation to adopt without publication an inadvertent failure to correct a cross-reference in Rule 77(c) (1) when Rule 6 was revised in the Time Computation Project.

\* \* \* \* \*

**PART I: ACTION ITEMS**

\* \* \* \* \*

**I.D. ACTION TO RECOMMEND PUBLICATION: CROSS-REFERENCE**

**ACTION ITEM: RULE 77(c) (1)**

The Committee recommends adoption without publication of the following technical amendment of Rule 77(c) (1) to correct a cross-reference to Rule 6(a) that should have been amended when Rule 6(a) was amended in the Time Project amendments of 2009:

**RULE 77. CONDUCTING BUSINESS; CLERK'S AUTHORITY; NOTICE OF AN ORDER OR JUDGMENT**

\* \* \* \* \*

(c) CLERK'S OFFICE HOURS; CLERK'S ORDERS.

- (1) *Hours.* The clerk's office – with a clerk or deputy on duty – must be open during business hours every day except Saturdays, Sundays, and legal holidays. But a court may, by local rule or order, require that the office be open for specified hours on Saturday or a particular legal holiday other than one listed in Rule 6(a) (~~46~~) (A).

Before the Time Computation Project amendments, Rule 6(a)(4)(A) defined "legal holiday" to include ten days set aside by statute. Rule 77(c)(1) incorporated this definition by cross-reference. The Time Project amended Rule 6(a) in many ways. The definition of statute-designated legal holidays remained unchanged, but became Rule 6(a)(6)(A). Present Rule 6(a)(4)(A) defines the end of the "last day" for computing a time period for electronic filing. The cross-reference in Rule 77(c)(1) no longer makes sense. It is easily corrected by revising it to refer to Rule 6(a)(6)(A).

No arguable issue of policy is involved. This amendment is a clear example of a technical or conforming amendment that can be recommended for adoption without publication. See §440.20.40(d) of the Procedures for the Conduct of Business.

\* \* \* \* \*

**PROPOSED AMENDMENT TO THE FEDERAL  
RULES OF CIVIL PROCEDURE\***

1 **Rule 77. Conducting Business; Clerk’s Authority;**  
2 **Notice of an Order or Judgment**

3 \* \* \* \* \*

4 **(c) Clerk’s Office Hours; Clerk’s Orders.**

5 (1) *Hours.* The clerk’s office — with a clerk or  
6 deputy on duty — must be open during business  
7 hours every day except Saturdays, Sundays, and  
8 legal holidays. But a court may, by local rule or  
9 order, require that the office be open for  
10 specified hours on Saturday or a particular legal  
11 holiday other than one listed in Rule 6(a)(~~4~~6)(A).

12 \* \* \* \* \*

**Committee Note**

The amendment corrects an inadvertent failure to revise the cross-reference to Rule 6(a) when what was Rule 6(a)(4)(A) became Rule 6(a)(6)(A).

---

\* New material is underlined; matter to be omitted is lined through.

Supreme Court of the United States  
Washington, D. C. 20543

CHAMBERS OF  
THE CHIEF JUSTICE

April 25, 2014

Honorable John A. Boehner  
Speaker of the House of Representatives  
Washington, D.C. 20515

Dear Mr. Speaker:

I have the honor to submit to the Congress the amendments to the Federal Rules of Criminal Procedure that have been adopted by the Supreme Court of the United States pursuant to Section 2072 of Title 28, United States Code.

Accompanying these rules are excerpts from the Reports of the Committee on Rules of Practice and Procedure to the Judicial Conference of the United States containing the Committee Notes submitted to the Court for its consideration pursuant to Section 331 of Title 28, United States Code.

Sincerely,

/s/ John G. Roberts

Supreme Court of the United States  
Washington, D. C. 20543

CHAMBERS OF  
THE CHIEF JUSTICE

April 25, 2014

Honorable Joseph R. Biden, Jr.  
President, United States Senate  
Washington, D.C. 20510

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Accompanying these rules are excerpts from the Reports of the Committee on Rules of Practice and Procedure to the Judicial Conference of the United States containing the Committee Notes submitted to the Court for its consideration pursuant to Section 331 of Title 28, United States Code.

Sincerely,

/s/ John G. Roberts

April 25, 2014

SUPREME COURT OF THE UNITED STATES

ORDERED:

1. That the Federal Rules of Criminal Procedure be, and they hereby are, amended by including therein amendments to Criminal Rules 5, 6, 12, 34, and 58.

[See infra., pp. — — —.]

2. That the foregoing amendments to the Federal Rules of Criminal Procedure shall take effect on December 1, 2014, and shall govern in all proceedings in criminal cases thereafter commenced and, insofar as just and practicable, all proceedings then pending.

3. That THE CHIEF JUSTICE be, and hereby is, authorized to transmit to the Congress the foregoing amendments to the Federal Rules of Criminal Procedure in accordance with the provisions of Section 2072 of Title 28, United States Code.

**PROPOSED AMENDMENTS TO THE FEDERAL  
RULES OF CRIMINAL PROCEDURE**

**Rule 5. Initial Appearance**

\* \* \* \* \*

**(d) Procedure in a Felony Case.**

(1) *Advice.* If the defendant is charged with a felony, the judge must inform the defendant of the following:

\* \* \* \* \*

- (D) any right to a preliminary hearing;
- (E) the defendant's right not to make a statement, and that any statement made may be used against the defendant; and
- (F) that a defendant who is not a United States citizen may request that an attorney for the government or a federal law enforcement official notify a consular officer from the

2 FEDERAL RULES OF CRIMINAL PROCEDURE

defendant's country of nationality that the defendant has been arrested — but that even without the defendant's request, a treaty or other international agreement may require consular notification.

\* \* \* \* \*

**Rule 6. The Grand Jury**

\* \* \* \* \*

**(e) Recording and Disclosing the Proceedings.**

\* \* \* \* \*

**(3) *Exceptions.***

\* \* \* \* \*

(D) An attorney for the government may disclose any grand-jury matter involving foreign intelligence, counterintelligence (as defined in 50 U.S.C. § 3003), or foreign intelligence information (as defined in Rule 6(e)(3)(D)(iii)) to any federal law enforcement, intelligence, protective, immigration, national defense, or national security official to assist the official receiving the information in the performance of that official's duties. An

4 FEDERAL RULES OF CRIMINAL PROCEDURE

attorney for the government may also disclose any grand-jury matter involving, within the United States or elsewhere, a threat of attack or other grave hostile acts of a foreign power or its agent, a threat of domestic or international sabotage or terrorism, or clandestine intelligence gathering activities by an intelligence service or network of a foreign power or by its agent, to any appropriate federal, state, state subdivision, Indian tribal, or foreign government official, for the purpose of preventing or responding to such threat or activities.

\* \* \* \* \*

**Rule 12. Pleadings and Pretrial Motions**

\* \* \* \* \*

**(b) Pretrial Motions.**

- (1) *In General.* A party may raise by pretrial motion any defense, objection, or request that the court can determine without a trial on the merits. Rule 47 applies to a pretrial motion.
- (2) *Motions That May Be Made at Any Time.* A motion that the court lacks jurisdiction may be made at any time while the case is pending.
- (3) *Motions That Must Be Made Before Trial.* The following defenses, objections, and requests must be raised by pretrial motion if the basis for the motion is then reasonably available and the motion can be determined without a trial on the merits:

6 FEDERAL RULES OF CRIMINAL PROCEDURE

(A) a defect in instituting the prosecution,  
including:

- (i) improper venue;
- (ii) preindictment delay;
- (iii) a violation of the constitutional right to  
a speedy trial;
- (iv) selective or vindictive prosecution; and
- (v) an error in the grand-jury proceeding  
or preliminary hearing;

(B) a defect in the indictment or information,  
including:

- (i) joining two or more offenses in the  
same count (duplicity);
- (ii) charging the same offense in more than  
one count (multiplicity);
- (iii) lack of specificity;
- (iv) improper joinder; and

- (v) failure to state an offense;
- (C) suppression of evidence;
- (D) severance of charges or defendants under Rule 14; and
- (E) discovery under Rule 16.

**(4) *Notice of the Government's Intent to Use Evidence.***

(A) *At the Government's Discretion.* At the arraignment or as soon afterward as practicable, the government may notify the defendant of its intent to use specified evidence at trial in order to afford the defendant an opportunity to object before trial under Rule 12(b)(3)(C).

(B) *At the Defendant's Request.* At the arraignment or as soon afterward as practicable, the defendant may, in order to

8 FEDERAL RULES OF CRIMINAL PROCEDURE

have an opportunity to move to suppress evidence under Rule 12(b)(3)(C), request notice of the government's intent to use (in its evidence-in-chief at trial) any evidence that the defendant may be entitled to discover under Rule 16.

**(c) Deadline for a Pretrial Motion; Consequences of Not Making a Timely Motion.**

(1) *Setting the Deadline.* The court may, at the arraignment or as soon afterward as practicable, set a deadline for the parties to make pretrial motions and may also schedule a motion hearing. If the court does not set one, the deadline is the start of trial.

(2) *Extending or Resetting the Deadline.* At any time before trial, the court may extend or reset the deadline for pretrial motions.

**(3) *Consequences of Not Making a Timely Motion***

*Under Rule 12(b)(3).* If a party does not meet the deadline for making a Rule 12(b)(3) motion, the motion is untimely. But a court may consider the defense, objection, or request if the party shows good cause.

**(d) Ruling on a Motion.** The court must decide every pretrial motion before trial unless it finds good cause to defer a ruling. The court must not defer ruling on a pretrial motion if the deferral will adversely affect a party's right to appeal. When factual issues are involved in deciding a motion, the court must state its essential findings on the record.

**(e) [Reserved]**

\* \* \* \* \*

**Rule 34. Arresting Judgment**

(a) **In General.** Upon the defendant's motion or on its own, the court must arrest judgment if the court does not have jurisdiction of the charged offense.

\* \* \* \* \*

**Rule 58. Petty Offenses and Other Misdemeanors**

\* \* \* \* \*

**(b) Pretrial Procedure.**

\* \* \* \* \*

**(2) *Initial Appearance.*** At the defendant's initial appearance on a petty offense or other misdemeanor charge, the magistrate judge must inform the defendant of the following:

\* \* \* \* \*

- (F) the right to a jury trial before either a magistrate judge or a district judge – unless the charge is a petty offense;
- (G) any right to a preliminary hearing under Rule 5.1, and the general circumstances, if any, under which the defendant may secure pretrial release; and

12 FEDERAL RULES OF CRIMINAL PROCEDURE

(H) that a defendant who is not a United States citizen may request that an attorney for the government or a federal law enforcement official notify a consular officer from the defendant's country of nationality that the defendant has been arrested — but that even without the defendant's request, a treaty or other international agreement may require consular notification.

\* \* \* \* \*



# JUDICIAL CONFERENCE OF THE UNITED STATES

WASHINGTON, D.C. 20544

THE CHIEF JUSTICE  
OF THE UNITED STATES  
*Presiding*

HONORABLE JOHN D. BATES  
*Secretary*

November 6, 2013  
**(REVISED April 2014)**

## MEMORANDUM

To: The Chief Justice of the United States and  
Associate Justices of the Supreme Court

From: Judge John D. Bates 

RE: TRANSMITTAL OF PROPOSED AMENDMENTS TO THE FEDERAL RULES OF  
CRIMINAL PROCEDURE

By direction of the Judicial Conference of the United States, pursuant to the authority conferred by 28 U.S.C. § 331, I transmit herewith for consideration of the Court proposed amendments to Rules 5, 6, 12, 34, and 58 of the Federal Rules of Criminal Procedure, which were approved by the Judicial Conference at its September 2013 and March 2014 sessions. The Judicial Conference recommends that the amendments be approved by the Court and transmitted to the Congress pursuant to law.

For your assistance in considering these proposed amendments, I am transmitting: (i) a redline version of the amendments; (ii) an excerpt from the September 2013 Report of the Committee on Rules of Practice and Procedure to the Judicial Conference; (iii) an excerpt from the Addendum to the March 2014 Report of the Committee on Rules of Practice and Procedure to the Judicial Conference; and (iv) an excerpt from the Report of the Advisory Committee on the Federal Rules of Criminal Procedure.

Attachments

**EXCERPT FROM THE SEPTEMBER 2013  
REPORT OF THE JUDICIAL CONFERENCE**

**COMMITTEE ON RULES OF PRACTICE AND PROCEDURE**

**TO THE CHIEF JUSTICE OF THE UNITED STATES AND MEMBERS OF THE  
JUDICIAL CONFERENCE OF THE UNITED STATES:**

\* \* \* \* \*

**FEDERAL RULES OF CRIMINAL PROCEDURE**

*Rules Recommended for Approval and Transmission*

The Advisory Committee on Criminal Rules submitted proposed amendments to Rules 5, 6, 12, 34, and 58, with a recommendation that they be approved and transmitted to the Judicial Conference.

Rules 12 and 34

Rule 12(b)(3) lists motions that must be made before trial. In 2006, the Department of Justice asked the advisory committee to consider amending Rule 12(b)(3)(B) to require defendants to raise before trial any objection that the indictment failed to state an offense. The current rule allows a motion raising failure to state an offense at any time, in part because such a failure was thought to be jurisdictional. The Supreme Court's decision in *United States v. Cotton*, 535 U.S. 625, 629-31 (2002), which held that "failure to state an offense" is not a jurisdictional defect, undercuts this rationale.

The proposal evolved substantially between 2006 and publication in 2011. In particular, the advisory committee decided to address other features of Rule 12's treatment of pretrial motions in general, as well as what standard courts should apply when a defendant fails to raise a "failure to state an offense" claim before trial. The advisory committee's undertaking to amend Rule 12 sparked extensive discussion, within both the advisory committee and the Committee.

The advisory committee submitted three separate amendment proposals to the Committee, and the last proposal was published in 2011.

The advisory committee received 47 pages of public comments. As a result of those comments, as well as its own further review, the advisory committee made revisions, none of which requires republication. The revised proposed amendments to Rule 12 would effect the original request by the Justice Department, clarify other aspects of the rule, and take into account public comments. A conforming amendment to Rule 34 would omit language requiring a court to arrest judgment if “the indictment or information does not charge an offense.”

#### Rules 5 and 58

In 2010, the Department of Justice, at the urging of the State Department, proposed amendments to Rules 5 and 58, the rules specifying procedures for initial proceedings in felony and misdemeanor cases respectively, to provide for notice to defendants of consular notification obligations arising under Article 36 of the multilateral Vienna Convention on Consular Relations as well as various bilateral treaties.

The proposed amendments were circulated to the bench, bar, and public for comment in August 2010. Following publication, the proposed amendments were approved by the Committee and the Judicial Conference in 2011, and subsequently transmitted to the Supreme Court.

The amendments submitted to the Court in 2011 included not only a change to Rule 5(d) and Rule 58 providing for consular notice, but also a change to Rule 5(c) to clarify where an initial appearance should take place for persons who have been surrendered to the United States pursuant to an extradition treaty. In April 2012, the Court approved and transmitted to Congress

only the proposed amendment to Rule 5(c). It then recommitted the remainder of the proposed amendments to the advisory committee for further consideration.

The advisory committee subsequently identified two possible concerns with the returned proposal: (1) perceived intrusion on executive discretion in conducting foreign affairs, both generally and specifically, as it pertains to deciding how, or even if, to carry out treaty obligations; and (2) perceived conferral on persons other than the sovereign signatories to treaties—specifically, criminal defendants—of the right to demand compliance with treaty provisions.

The amendments were redrafted to respond to these concerns. The redrafted amendments were carefully worded to provide notice without any suggestion of individual rights or remedies. The revised Committee Note emphasizes that the proposed rules do not themselves create any such rights or remedies. The revised proposals were published in August 2012.

Upon review of the comments it received as well as its own further consideration, the advisory committee made slight changes to the proposed amendments, none of which requires further publication. First, the introductory phrase of Rules 5(d)(1) and 58(b)(2) would provide for the specified advice to be given to *all* defendants. As published, the rule provided for consular notification to be given “if the defendant is held in custody and is not a United States citizen.” The change was made in response to comments that suggested that the language as published could be construed to require the arraigning judicial officer to ascertain a defendant’s citizenship, an inquiry that could involve self-incrimination. Providing consular notice to all defendants without such an inquiry would parallel an amendment to Rule 11(b)(1)(O) currently pending before Congress, which provides for all defendants to be given notice at sentencing of

possible immigration consequences without specific inquiry into their nationality or status in the United States.

In addition, those who provided comments disagreed as to when a defendant was “in custody” or “detained.” Providing notice to all defendants at their initial appearance would not only avoid the need to resolve this question, but also avoid the need to consider a further notice requirement when defendants initially admitted to bail are subsequently remanded. While the advisory committee is mindful of the need to avoid adding unnecessary notice requirements, it concluded, as now stated in the proposed Committee Note, that “the most effective and efficient method of conveying this [consular notification] information is to provide it to every defendant, without attempting to determine the defendant’s citizenship.”

Second, at the suggestion of the Committee’s reporter, the advisory committee removed from the published Committee Note a reference to the Code of Federal Regulations, which might become outdated if the regulation were revised.

#### Rule 6

As of May 20, 2013, chapter 15 of title 50, United States Code, was reorganized into four new chapters. As a result, the statutory reference in Criminal Rule 6(e)(3)(D) to the section of the Code defining counterintelligence—50 U.S.C. § 401a—is no longer correct because section 401a is recodified as 50 U.S.C. § 3003. The proposed amendment to Rule 6 would correct the citation. Because the amendment is technical, publication for public comment is unnecessary.

The Committee concurred with the advisory committee's recommendations.

**Recommendation:** That the Judicial Conference approve the proposed amendments to Criminal Rules 5, 6, 12, 34, and 58, and transmit them to the Supreme Court for consideration with a recommendation that they be adopted by the Court and transmitted to Congress in accordance with the law.

\* \* \* \* \*

Respectfully submitted,

A handwritten signature in blue ink that reads "Jeffrey S. Sutton". The signature is written in a cursive style with a large initial "J".

Jeffrey S. Sutton, Chair

James M. Cole  
Dean C. Colson  
Roy T. Englert, Jr.  
Gregory G. Garre  
Neil M. Gorsuch  
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Jack Zouhary

**EXCERPT FROM THE MARCH 2014  
ADDENDUM TO THE REPORT OF THE JUDICIAL CONFERENCE**

**COMMITTEE ON RULES OF PRACTICE AND PROCEDURE**

**TO THE CHIEF JUSTICE OF THE UNITED STATES AND MEMBERS OF THE  
JUDICIAL CONFERENCE OF THE UNITED STATES:**

**FEDERAL RULES OF CRIMINAL PROCEDURE**

*Rules Recommended for Approval and Transmission*

The Committee on Rules of Practice and Procedure asks the Judicial Conference to modify the rules package that it approved on September 17, 2013, specifically the amendment to Criminal Rule 12(c).

In 2006, the Department of Justice requested that the Advisory Committee on Criminal Rules consider amending Rule 12(b)(3)(B) to require defendants to raise before trial any objection that the indictment failed to state an offense. The rule currently in effect allows a motion raising failure to state an offense at any time, in part because such a failure was thought to be jurisdictional. The Supreme Court's decision in *United States v. Cotton*, 535 U.S. 625, 629-31 (2002), which held that "failure to state an offense" is not a jurisdictional defect, undercuts this rationale.

The proposal evolved substantially between 2006 and publication in 2011, with the advisory committee ultimately deciding to address other features of Rule 12's treatment of pretrial motions in general. The proposed amendments were published for public comment in 2011.

The advisory committee received 47 pages of public comments. As a result of those comments, as well as its own further review, the advisory committee made revisions, none of which required republication. In the end, the revised proposed amendments to Rule 12 presented

to the Judicial Conference and approved on September 17, 2013, effected the original request by the Justice Department, clarified other aspects of the rule, and took into account public comments received.

In September 2013, the proposed amendments to Rule 12 were transmitted to the Supreme Court as part of a larger rules package. In December, the Court identified four concerns with respect to the Criminal Rule 12 proposal, one related to the committee note, three related to subdivision (c)(3).

With regard to the committee note, the second sentence of the committee note for Rule 12(b)(3) says “reasonably available” rather than “then reasonably available,” as the text of the rule says. The advisory committee unanimously agreed to change this part of the committee note to say “then reasonably available.” The standing committee unanimously approved this change.

The Court asked three questions with respect to subdivision 12(c)(3): (1) to whom is prejudice relevant – the government, the defendant, both?; (2) how does one show prejudice pre-trial?; and (3) why use good cause alone as the test in subdivision (c)(3)(A) and prejudice alone as the test in subdivision (c)(3)(B), and does this anomaly create unintended consequences?

The advisory committee has answers to the first two questions: the prejudice is to the defendant, and lack of notice and failure of the grand jury to charge the defendant properly all could apply before a criminal trial.

With regard to the third question, the advisory committee agrees that the anomaly of mentioning cause in subdivision (c)(3)(A) and prejudice in subdivision (c)(3)(B) does indeed create an unintended implication. The absence of prejudice in (c)(3)(A) suggests it does not apply there, and the absence of good cause in (c)(3)(B) suggests it does not apply there. The

advisory committee did not intend the first negative implication, but did intend the second. As a result, the advisory committee unanimously agreed to change the proposed amendment to subdivision (c)(3) to apply a good cause standard to *all* late-filed non-jurisdictional motions. The standing committee unanimously approved this change.

**Recommendation:** That the Judicial Conference approve the proposed amendments to Criminal Rule 12, and transmit them to the Supreme Court for consideration with a recommendation that they be adopted by the Court and transmitted to Congress in accordance with the law.

\* \* \* \* \*

Respectfully submitted,

A handwritten signature in blue ink that reads "Jeffrey S. Sutton". The signature is written in a cursive style with a large initial "J".

Jeffrey S. Sutton, Chair

COMMITTEE ON RULES OF PRACTICE AND PROCEDURE  
OF THE  
JUDICIAL CONFERENCE OF THE UNITED STATES  
WASHINGTON, D.C. 20544

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CIVIL RULES

REENA RAGGI  
CRIMINAL RULES

SIDNEY A. FITZWATER  
EVIDENCE RULES

**MEMORANDUM**

**To:** Honorable Jeffrey S. Sutton, Chair  
Standing Committee on Rules of Practice and Procedure

**From:** Honorable Reena Raggi, Chair  
Advisory Committee on Federal Rules of Criminal Procedure

**Date:** May 8, 2013 (revised June 2013)

**Re:** Report of the Advisory Committee on Criminal Rules

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**I. Introduction**

The Advisory Committee on the Federal Rules of Criminal Procedure (“the Advisory Committee”) met on April 25, 2013, in Durham, North Carolina, and took action on a number of proposals. The Draft Minutes are attached. (Tab D).

This report presents three action items for Standing Committee consideration:

- (1) approval to transmit to the Judicial Conference a proposed amendment to Rule 12 (pretrial motions), and a conforming amendment to Rule 34;
- (2) approval to transmit to the Judicial Conference proposed amendments to Rules 5 and 58 (adding consular notification); and
- (3) approval to transmit to the Judicial Conference a technical and conforming amendment to Rule 6.<sup>1</sup>

## II. Action Items — Recommendations to Transmit Amendments to the Judicial Conference

### 1. ACTION ITEM — Rules 12 and 34

The Advisory Committee recommends approval of amendments to Rules 12 and 34. To facilitate consideration of this proposal, the following materials are attached:

- Tab B.1 – 2013 Submitted Rule 12 Amendment
- Tab B.2 – Blackline comparison of Current and Submitted Rule 12
- Tab B.3 – Blackline comparison of Current and Submitted Rule 34
- Tab B.4 – Reporters’ 2013 Memorandum to Advisory Committee on Development of Rule 12 Amendment
- Tab B.5 – 2011 Published Amendment Proposal

The proposed amendments originate in a 2006 request from the Department of Justice that “failure to state an offense” be deleted from current Rule 12(b)(3) as a defect that can be raised “at any time,” in light of the Supreme Court’s decision in *United States v. Cotton*, 535 U.S. 625, 629-31 (2002), holding that “failure to state an offense” is not a jurisdictional defect.

The Advisory Committee’s efforts to effect such an amendment sparked extensive discussion within the Advisory Committee and between the Advisory and Standing Committees regarding various aspects of Rule 12. This resulted in three separate amendment proposals being presented to the Standing Committee, the third of which was approved for publication in August 2011. See Tab B.5. In response to the thoughtful public comments received and upon its own further review, the Advisory Committee has revised its third proposal for amendment further. These revisions will not require republication. A detailed chronology of the amendment’s evolution, including the public comments received and changes made following publication, is contained in the Reporters’ 2013 Memorandum to the Advisory Committee, a copy of which is attached. See Tab B.4 <sup>2</sup>

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<sup>1</sup>In response to legislative action that occurred after its April meeting, the Advisory Committee approved this amendment by email vote.

<sup>2</sup>After publication, the Advisory Committee made the following six changes to the published amendment of Rule 12:

The Advisory Committee now presents to the Standing Committee proposed amendments to Rules 12 and 34 that effect the original deletion requested by the Justice Department, clarify other aspects of the rules, and take into account public comments. See Tab B.1, B.2. The submitted proposals have the unanimous approval of the Advisory Committee.

The substantive features of the submitted amendment to Rule 12 (which also restyle these rules) can be summarized as follows:

- (1) By contrast to current Rule 12(b)(1), which starts with an unexplained cross-reference to Rule 47 (discussing form, content, and timing of motions), submitted Rule 12(b)(1) achieves greater clarity by stating the rule’s general purpose—the filing of pretrial motions (relocated from current rule 12(b))—before cross-referencing Rule 47.
- (2) Submitted Rule 12(b)(2) identifies motions that may be made at any time separately from Rule 12(b)(3), which identifies motions that must be made before trial. This provides greater clarity—visually as well as textually—than current Rule 12(b)(3), which identifies motions that may be made at any time only in an ellipsis exception to otherwise mandatory motions alleging defects in the indictment or information.
- (3) Submitted Rule 12(b)(2) recognizes lack of jurisdiction as the only motion that may be made “at any time while the case is pending,” thus effecting the Justice Department’s request not to accord that status to failure to state an offense.

- 
- (1) restored language that had been removed from 12(b)(2) as to purpose of rule, and relocated it to (b)(1);
  - (2) deleted double jeopardy claims from the proposed list of 12(b)(3) claims that must be raised before trial;
  - (3) deleted statute of limitations from the proposed list of 12(b)(3) claims that must be raised before trial;
  - (4) added 12(c)(2) making explicit district courts’ authority to extend or reset deadline for pretrial motions;
  - (5) deleted language referencing Rule 52; and
  - (6) deleted proposed new language requiring showing of “cause and prejudice” and restored current “good cause” as standard for hearing late filed motions.

The third and sixth changes, made by the Advisory Committee at its April meeting, are not covered in the Reporter’s March 2013 memo, but are explained in the draft minutes of the April meeting.

The Advisory Committee also made several changes to the published Committee Note. The revised Note reflects the changes to the rule’s text and states explicitly that the rule does not change statutory deadlines under provisions such as the Jury Selection and Service Act. See Tab B.1, B.2. Finally, in response to the suggestion of a member of the Standing Committee made after the April meeting, the Advisory Committee approved by email vote an addition to the Committee Note stating expressly that the district court has broad discretion not only to extend and reset, but also to decline to extend or reset the deadline in 12(c)(2).

- (4) Submitted Rule 12(b)(3) provides clearer notice with respect to motions that must be made before trial.
- (a) At the start, it clarifies that its motion mandate is dependent on two conditions:
- i. the basis for the motion must be reasonably available before trial, and
  - ii. the motion must be capable of resolution before trial.

This ensures that motions are raised pretrial when warranted while safeguarding against a rigid filing requirement that could be unfair to defendants.

- (b) Submitted Rule 12(b)(3)(A)-(B) provides more specific notice of the motions that must be filed pretrial if the just referenced twin conditions are satisfied. While the general categories of “defect[s] in instituting the prosecution” (current Rule 12(b)(3)(A)) and “defect[s] in the indictment or information” (current Rule 12(b)(3)(B)) are retained, they are now clarified with illustrative non-exhaustive lists.

Submitted Rule 12(b)(3)(A) thus lists as defects in instituting the prosecution that must be raised before trial:

- i. improper venue,
- ii. preindictment delay,
- iii. violation of the constitutional right to a speedy trial,
- iv. selective or vindictive prosecution, and
- v. error in grand jury or preliminary hearing proceedings.

Submitted Rule 12(b)(3)(B) lists as defects in the indictment or information that must be raised before trial the following:

- i. duplicity,
- ii. multiplicity,
- iii. lack of specificity,
- iv. improper joinder, and
- v. failure to state an offense.

The noted inclusion of failure to state an offense in Rule 12(b)(3)(B) completes the amendment originally sought by the Department of Justice.

The submitted rule does not include double jeopardy or statute of limitations challenges among required pretrial motions in light of concerns raised in public comments. The Advisory Committee is of

the view that subjecting such motions to a rule mandate is premature, requiring further consideration as to the appropriate standards for review for untimely filings.

- (c) Submitted Rule 12(b)(3)(C)-(E) duplicates the current rule in continuing to require that motions to suppress evidence, to sever charges or defendants, and to seek Rule 16 discovery must be made before trial.
- (5) Submitted Rule 12(c) identifies both the deadlines for filing motions and the consequences of missing those deadlines. Grouping these two subjects together in one section is a visual improvement over the current rule, which discusses deadlines in (c) and consequences in later provision (e). More specifically,
- (a) Submitted Rule 12(c)(1) tracks the current rule’s language in recognizing the discretion afforded district courts to set motion deadlines. Nevertheless, it now adds a default deadline—the start of trial—if the district court fails to set a motion deadline. This affords defendants the maximum time to make mandatory pretrial motions, but it forecloses an argument that, because the district court did not set a motion deadline, a defendant need not comply with the rule’s mandate to file certain motions before trial.
  - (b) Submitted Rule 12(c)(2) explicitly acknowledges district court discretion to extend or reset motion deadlines at any time before trial. This discretion, which is implicit in the current rule, permits district courts to entertain late-filed motions at any time before jeopardy attaches as warranted. It also allows district courts to avoid subsequent claims that defense counsel was constitutionally ineffective for failing to meet a filing deadline.
  - (c) \* \* \* \* \*
- The amended rule, like the current one, continues to make no reference to Rule 52 (providing for plain error review of defaulted claims), thereby permitting the Courts of Appeals to decide if and how to apply Rules 12 and 52 when arguments that should have been the subject of required Rule 12(b)(3) motions are raised for the first time on appeal.
- (d) Insofar as the submitted amendment, at Rule 12(b)(3)(B), would now require a defendant to raise a claim of failure to state an offense before trial, submitted Rule 12(c)(3)(B) provides that the standard of review when such a claim is untimely is not “good cause” (i.e., cause and prejudice) but simply “prejudice.” The Advisory Committee thinks this standard provides a sufficient incentive for a defendant to raise such a claim before trial, while also recognizing the fundamental nature of this particular claim and closely

approximating current law, which permits review without a showing of “cause.”

A conforming amendment to Rule 34 that omits language requiring a court to arrest judgment if “the indictment or information does not charge an offense,” is also presented for approval.

***Recommendation: The Advisory Committee recommends that amendments to Rules 12 and 34 be transmitted to the Judicial Conference as amended following publication.***

## **2. ACTION ITEM — Rules 5 and 58**

The Advisory Committee recommends approval of its second proposal to amend Rules 5 and 58 to provide for advice concerning consular notification, as amended following publication. To facilitate review of this proposal, the following materials are attached:

- Tab C.1 – 2013 Submitted Rules 5 and 58
- Tab C.2 – Blackline comparison of Current and Submitted Rules 5 and 58
- Tab C.3 – 2012 Published Rules 5 and 58
- Tab C.4 – Amendment Proposal Returned from Supreme Court

In 2010, the Justice Department, at the urging of the State Department, proposed amendments to Rules 5 and 58 (the rules specifying procedures for initial proceedings in felony and misdemeanor cases respectively) to provide notice to defendants of consular notification obligations arising under Article 36 of the multilateral Vienna Convention on Consular Relations (“Vienna Convention”), as well as various bilateral treaties.

The first proposed amendments responding to this request were published for public comment and subsequently approved by the Advisory Committee, the Standing Committee, and the Judicial Conference. In April 2012, however, the Supreme Court returned the amendments to the Advisory Committee for further consideration. See Tab C.4.

At its April 2012 meeting, the Advisory Committee identified two possible concerns with the returned proposal: (1) perceived intrusion on executive discretion in conducting foreign affairs, both generally and specifically as it pertains to deciding how, or even if, to carry out treaty obligations; and (2) perceived conferral on persons other than the sovereign signatories to treaties—specifically, criminal defendants—of rights to demand compliance with treaty provisions.<sup>3</sup>

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<sup>3</sup>Insofar as Article 36 of the Vienna Convention provides for signatory nations to advise detained foreign nationals of other signatory nations of an opportunity to contact their home country’s consulate, litigation has not yet resolved whether such a provision gives rise to any individual rights or remedies. *See Sanchez-Llamas v. Oregon*, 548 U.S. 331 (2006) (holding that suppression of evidence was not appropriate remedy for failure to advise foreign national of ability to have consulate notified of arrest and detention regardless of whether Vienna Convention conferred any individual rights). Thus, the Advisory Committee concluded that the remand of the amendment proposal from the Supreme Court could be understood to suggest that the rule may have gotten ahead of settled law

The amendments were redrafted to respond to these concerns. The redrafted amendments were carefully worded to provide notice without any attending suggestion of individual rights or remedies. Indeed, the Committee Note emphasizes that the proposed rules do not themselves create any such rights or remedies. The Standing Committee approved publication of the redrafted amendments in June 2012. See Tab C.3.

Upon review of received public comments, as well as its own further consideration, the Advisory Committee has made the following changes to the proposed amendments, none of which requires further publication. See Tab C.1-C.2.

(1) The introductory phrase of Submitted Rules 5(d)(1) and 58(b)(2), now provides for the specified advice to be given to all defendants, by contrast to the published rule, which had provided for consular notification to be given “if the defendant is held in custody and is not a United States citizen.” See Tab C.3.

The change was made at the suggestion of the Federal Magistrate Judges Association (“FMJA”) and the National Association of Criminal Defense Attorneys. The FMJA, in particular, observed that the quoted language could be construed to require the arrainging judicial officer to ascertain a defendant’s citizenship, an inquiry that could involve self-incrimination. Providing consular notice to all defendants without such an inquiry parallels Rule 11(b)(1)(O) (which the Supreme Court has now transmitted to Congress), which provides for all defendants to be given notice at sentencing of possible immigration consequences without specific inquiry into their nationality or status in the United States.

As for the “in custody” requirement, interested parties disagreed as to when a defendant was “in custody” or “detained.” Providing notice to all defendants at their initial appearance not only avoids the need to resolve this question, it avoids the need to consider a further notice requirement when defendants initially admitted to bail are subsequently remanded. Thus, while the Advisory Committee is mindful of the need to avoid adding unnecessary notice requirements to rules governing initial appearances, sentences, etc., it concludes, as now stated in the proposed Committee Note, that “the most effective and efficient method of conveying this [consular notification] information is to provide it to every defendant, without attempting to determine the defendant’s citizenship.”

(2) At Professor Coquillette’s recommendation, the published Committee Note deletes a reference to the Code of Federal Regulations, which might become outdated if the regulation were revised.

***Recommendation: The Advisory Committee recommends that the amendments to Rules 5 and 58 be transmitted to the Judicial Conference as amended following publication.***

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on this matter.

### **3. ACTION ITEM — Rule 6**

The recent reorganization of Chapter 15 of title 50 of the United States Code (effective May 20, 2013) requires a conforming change in Rule 6. The statutory reference in Rule 6(e)(3)(D) to “50 U.S.C. § 401a” as the Code section defining counterintelligence is no longer correct. Section 401a has been reclassified as 50 U.S.C. § 3003. The Advisory Committee recommends that Rule 6 be amended to reflect the correct citation. This technical and conforming amendment does not require publication.

***Recommendation: The Advisory Committee recommends that the technical and conforming amendment to Rule 6 be transmitted to the Judicial Conference.***

\* \* \* \* \*

**PROPOSED AMENDMENTS TO THE FEDERAL  
RULES OF CRIMINAL PROCEDURE\***

1 **Rule 5. Initial Appearance**

2 \* \* \* \* \*

3 **(d) Procedure in a Felony Case.**

4 (1) *Advice.* If the defendant is charged with a felony,  
5 the judge must inform the defendant of the  
6 following:

7 \* \* \* \* \*

8 (D) any right to a preliminary hearing; ~~and~~

9 (E) the defendant's right not to make a statement,  
10 and that any statement made may be used  
11 against the defendant; and

12 (F) that a defendant who is not a United States  
13 citizen may request that an attorney for the

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\* New material is underlined; matter to be omitted is lined through.

2 FEDERAL RULES OF CRIMINAL PROCEDURE

14 government or a federal law enforcement  
15 official notify a consular officer from the  
16 defendant's country of nationality that the  
17 defendant has been arrested — but that even  
18 without the defendant's request, a treaty or  
19 other international agreement may require  
20 consular notification.

21 \* \* \* \* \*

**Committee Note**

**Rule 5(d)(1)(F).** Article 36 of the Vienna Convention on Consular Relations provides that detained foreign nationals shall be advised that they may have the consulate of their home country notified of their arrest and detention, and bilateral agreements with numerous countries require consular notification whether or not the detained foreign national requests it. Article 36 requires consular notification advice to be given “without delay,” and arresting officers are primarily responsible for providing this advice.

Providing this advice at the initial appearance is designed, not to relieve law enforcement officers of that responsibility, but to provide additional assurance that U.S.

treaty obligations are fulfilled, and to create a judicial record of that action. The Committee concluded that the most effective and efficient method of conveying this information is to provide it to every defendant, without attempting to determine the defendant's citizenship.

At the time of this amendment, many questions remain unresolved by the courts concerning Article 36, including whether it creates individual rights that may be invoked in a judicial proceeding and what, if any, remedy may exist for a violation of Article 36. *Sanchez-Llamas v. Oregon*, 548 U.S. 331 (2006). This amendment does not address those questions. More particularly, it does not create any such rights or remedies.

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### **Changes Made After Publication and Comment**

In response to public comments the amendment was rephrased to state that the information regarding consular notification should be provided to all defendants who are arraigned. Although it is anticipated that ordinarily only defendants who are held in custody will ask the government to notify a consular official of their arrest, it is appropriate to provide this information to all defendants at their initial appearance. The new phrasing also makes it clear that the advice should be provided to every defendant, without any attempt to determine the defendant's citizenship. A conforming change was made to the Committee Note.

1 **Rule 6. The Grand Jury**

2 \* \* \* \* \*

3 **(e) Recording and Disclosing the Proceedings.**

4 \* \* \* \* \*

5 **(3) Exceptions.**

6 \* \* \* \* \*

7 (D) An attorney for the government may  
8 disclose any grand-jury matter involving  
9 foreign intelligence, counterintelligence (as  
10 defined in 50 U.S.C. § ~~401a~~3003), or  
11 foreign intelligence information (as defined  
12 in Rule 6(e)(3)(D)(iii)) to any federal law  
13 enforcement, intelligence, protective,  
14 immigration, national defense, or national  
15 security official to assist the official  
16 receiving the information in the

17 performance of that official's duties. An  
18 attorney for the government may also  
19 disclose any grand-jury matter involving,  
20 within the United States or elsewhere, a  
21 threat of attack or other grave hostile acts of  
22 a foreign power or its agent, a threat of  
23 domestic or international sabotage or  
24 terrorism, or clandestine intelligence  
25 gathering activities by an intelligence  
26 service or network of a foreign power or by  
27 its agent, to any appropriate federal, state,  
28 state subdivision, Indian tribal, or foreign  
29 government official, for the purpose of  
30 preventing or responding to such threat or  
31 activities.

32 \* \* \* \* \*

**Committee Note**

**Rule 6(e)(3)(D).** This technical and conforming amendment updates a citation affected by the editorial reclassification of chapter 15 of title 50, United States Code. The amendment replaces the citation to 50 U.S.C. § 401a with a citation to 50 U.S.C. § 3003. No substantive change is intended.

1 **Rule 12. Pleadings and Pretrial Motions**

2 \* \* \* \* \*

3 **(b) Pretrial Motions.**

4 (1) ***In General.*** A party may raise by pretrial motion  
5 any defense, objection, or request that the court  
6 can determine without a trial on the  
7 merits. Rule 47 applies to a pretrial motion.

8 (2) ~~***Motions That May Be Made Before Trial.***~~ A  
9 party may raise by pretrial motion any defense,  
10 objection, or request that the court can determine  
11 without a trial of the general issue. ***Motions That***  
12 ***May Be Made at Any Time.*** A motion that the  
13 court lacks jurisdiction may be made at any time  
14 while the case is pending.

15 (3) ***Motions That Must Be Made Before Trial.*** The  
16 following defenses, objections, and requests must

8 FEDERAL RULES OF CRIMINAL PROCEDURE

17 be raised by pretrial motion ~~before trial~~if the  
18 basis for the motion is then reasonably available  
19 and the motion can be determined without a trial  
20 on the merits:

21 (A) ~~a motion alleging~~ a defect in instituting the  
22 prosecution, including:

23 (i) improper venue;

24 (ii) preindictment delay;

25 (iii) a violation of the constitutional right to  
26 a speedy trial;

27 (iv) selective or vindictive prosecution; and

28 (v) an error in the grand-jury proceeding  
29 or preliminary hearing;

30 (B) ~~a motion alleging~~ a defect in the indictment  
31 or information, including:

- 32                    (i) joining two or more offenses in the  
33                    same count (duplicity);
- 34                    (ii) charging the same offense in more than  
35                    one count (multiplicity);
- 36                    (iii) lack of specificity;
- 37                    (iv) improper joinder; and
- 38                    (v) failure to state an offense;
- 39                    ~~—but at any time while the case is pending,~~  
40                    ~~the court may hear a claim that the~~  
41                    ~~indictment or information fails to invoke the~~  
42                    ~~court’s jurisdiction or to state an offense;~~
- 43                    (C) ~~a motion to suppression of~~ evidence;
- 44                    (D) ~~a Rule 14 motion to sever~~ severance  
45                    of charges or defendants under Rule 14;  
46                    and

47 (E) ~~a Rule 16 motion for discovery under~~  
48 Rule 16.

49 **(4) *Notice of the Government's Intent to Use***  
50 ***Evidence.***

51 (A) *At the Government's Discretion.* At the  
52 arraignment or as soon afterward as  
53 practicable, the government may notify the  
54 defendant of its intent to use specified  
55 evidence at trial in order to afford the  
56 defendant an opportunity to object before  
57 trial under Rule 12(b)(3)(C).

58 (B) *At the Defendant's Request.* At the  
59 arraignment or as soon afterward as  
60 practicable, the defendant may, in order to  
61 have an opportunity to move to suppress  
62 evidence under Rule 12(b)(3)(C), request

63 notice of the government’s intent to use (in  
64 its evidence-in-chief at trial) any evidence  
65 that the defendant may be entitled to  
66 discover under Rule 16.

67 (c) ~~Motion Deadline.~~ **Deadline for a Pretrial Motion;**  
68 **Consequences of Not Making a Timely Motion.**

69 **(1) Setting the Deadline.** The court may, at the  
70 arraignment or as soon afterward as practicable,  
71 set a deadline for the parties to make pretrial  
72 motions and may also schedule a motion  
73 hearing. If the court does not set one, the  
74 deadline is the start of trial.

75 **(2) Extending or Resetting the Deadline.** At any  
76 time before trial, the court may extend or reset  
77 the deadline for pretrial motions.

78 **(3) Consequences of Not Making a Timely Motion**

79 **Under Rule 12(b)(3).** If a party does not meet  
80 the deadline for making a Rule 12(b)(3) motion,  
81 the motion is untimely. But a court may consider  
82 the defense, objection, or request if the party  
83 shows good cause.

84 **(d) Ruling on a Motion.** The court must decide every  
85 pretrial motion before trial unless it finds good cause  
86 to defer a ruling. The court must not defer ruling on a  
87 pretrial motion if the deferral will adversely affect a  
88 party's right to appeal. When factual issues are  
89 involved in deciding a motion, the court must state its  
90 essential findings on the record.

91 **~~(e) [Reserved] Waiver of a Defense, Objection, or~~**  
92 **~~Request.~~** A party waives any Rule 12(b)(3) defense,  
93 ~~objection, or request not raised by the deadline the~~

94 ~~court sets under Rule 12(e) or by any extension the~~  
95 ~~court provides. For good cause, the court may grant~~  
96 ~~relief from the waiver.~~

97 \* \* \* \* \*

### Committee Note

**Rule 12(b)(1).** The language formerly in (b)(2), which provided that “any defense, objection, or request that the court can determine without trial of the general issue” may be raised by motion before trial, has been relocated here. The more modern phrase “trial on the merits” is substituted for the more archaic phrase “trial of the general issue.” No change in meaning is intended.

**Rule 12(b)(2).** As revised, subdivision (b)(2) states that lack of jurisdiction may be raised at any time the case is pending. This provision was relocated from its previous placement at the end of subsection (b)(3)(B) and restyled. No change in meaning is intended.

**Rule 12(b)(3).** The amendment clarifies which motions must be raised before trial.

The introductory language includes two important limitations. The basis for the motion must be one that is “then reasonably available” and the motion must be one that the court can determine “without trial on the merits.” The types of claims subject to Rule 12(b)(3) generally will

be available before trial and they can – and should – be resolved then. The Committee recognized, however, that in some cases, a party may not have access to the information needed to raise particular claims that fall within the general categories subject to Rule 12(b)(3) prior to trial. The “then reasonably available” language is intended to ensure that a claim a party could not have raised on time is not subject to the limitation on review imposed by Rule 12(c)(3). Additionally, only those issues that can be determined “without a trial on the merits” need be raised by motion before trial. Just as in (b)(1), the more modern phrase “trial on the merits” is substituted for the more archaic phrase “trial of the general issue.” No change in meaning is intended.

The rule’s command that motions alleging “a defect in instituting the prosecution” and “errors in the indictment or information” must be made before trial is unchanged. The amendment adds a nonexclusive list of commonly raised claims under each category to help ensure that such claims are not overlooked. The Rule is not intended to and does not affect or supersede statutory provisions that establish the time to make specific motions, such as motions under the Jury Selection and Service Act, 18 U.S.C. § 1867(a).

Rule 12(b)(3)(B) has also been amended to remove language that allowed the court at any time while the case is pending to hear a claim that the “indictment or information fails . . . to state an offense.” This specific charging error was previously considered fatal whenever raised and was excluded from the general requirement that charging deficiencies be raised prior to trial. The Supreme

Court abandoned any jurisdictional justification for the exception in *United States v. Cotton*, 535 U.S. 625, 629-31 (2002) (overruling *Ex parte Bain*, 121 U.S. 1 (1887), “[i]nsofar as it held that a defective indictment deprives a court of jurisdiction”).

**Rule 12(c).** As revised, subdivision (c) governs both the deadline for making pretrial motions and the consequences of failing to meet the deadline for motions that must be made before trial under Rule 12(b)(3).

As amended, subdivision (c) contains three paragraphs. Paragraph (c)(1) retains the existing provisions for establishing the time when pretrial motions must be made, and adds a sentence stating that unless the court sets a deadline, the deadline for pretrial motions is the start of trial, so that motions may be ruled upon before jeopardy attaches. Subdivision (e) of the present rule contains the language “or by any extension the court provides,” which anticipates that a district court has broad discretion to extend, reset, or decline to extend or reset, the deadline for pretrial motions. New paragraph (c)(2) recognizes this discretion explicitly and relocates the Rule’s mention of it to a more logical place – after the provision concerning setting the deadline and before the provision concerning the consequences of not meeting the deadline. No change in meaning is intended.

New paragraph (c)(3) governs the review of untimely claims, previously addressed in Rule 12(e). Rule 12(e) provided that a party “waives” a defense not raised within the time set under Rule 12(c). Although the term waiver in

the context of a criminal case ordinarily refers to the intentional relinquishment of a known right, Rule 12(e) has never required any determination that a party who failed to make a timely motion intended to relinquish a defense, objection, or request that was not raised in a timely fashion. Accordingly, to avoid possible confusion the Committee decided not to employ the term “waiver” in new paragraph (c)(3).

New paragraph 12(c)(3) retains the existing standard for untimely claims. The party seeking relief must show “good cause” for failure to raise a claim by the deadline, a flexible standard that requires consideration of all interests in the particular case.

**Rule 12(e).** The effect of failure to raise issues by a pretrial motion has been relocated from (e) to (c)(3).

---

### **Changes Made After Publication and Comment**

Language that had been deleted from Rule 12(b)(2) as unnecessary was restored and relocated in (b)(1). The change begins the Rule’s treatment of pretrial motions with an appropriate general statement and responds to concerns that the deletion might have been perceived as unintentionally restricting the district courts’ authority to rule on pretrial motions. The references to “double jeopardy” and “statute of limitations” were dropped from the nonexclusive list in (b)(3)(A) to permit further debate over the treatment of such claims. New paragraph (c)(2)

was added to state explicitly the district court's authority to extend or reset the deadline for pretrial motions; this authority had been recognized implicitly in language being deleted from Rule 12(e). In subdivision (c), the cross reference to Rule 52 was omitted as unnecessarily controversial. In subparagraph (c)(3), the current language "good cause" was retained for all claims and subparagraph (c)(3)(B) was omitted. Finally, the Committee Note was amended to reflect these post-publication changes and to state explicitly that the rule is not intended to change or supersede statutory deadlines under provisions such as the Jury Selection and Service Act.

1 **Rule 34. Arresting Judgment**

2 **(a) In General.** Upon the defendant's motion or on its  
3 own, the court must arrest judgment if the court does  
4 not have jurisdiction of the charged offense.~~if:~~

5 ~~(1) the indictment or information does not charge an~~  
6 ~~offense; or~~

7 ~~(2) the court does not have jurisdiction of the~~  
8 ~~charged offense.~~

9 \* \* \* \* \*

**Committee Note**

**Rule 34(a).** This amendment conforms Rule 34 to Rule 12(b) which has been amended to remove language that the court at any time while the case is pending may hear a claim that the “indictment or information fails . . . to state an offense.” The amended Rule 12 instead requires that such a defect be raised before trial.

---

**Changes Made After Publication and Comment**

No changes were made after publication and comment.

1 **Rule 58. Petty Offenses and Other Misdemeanors**

2 \* \* \* \* \*

3 **(b) Pretrial Procedure.**

4 \* \* \* \* \*

5 **(2) *Initial Appearance.*** At the defendant's initial  
6 appearance on a petty offense or other  
7 misdemeanor charge, the magistrate judge must  
8 inform the defendant of the following:

9 \* \* \* \* \*

10 (F) the right to a jury trial before either a  
11 magistrate judge or a district judge – unless  
12 the charge is a petty offense; ~~and~~

13 (G) any right to a preliminary hearing under  
14 Rule 5.1, and the general circumstances, if  
15 any, under which the defendant may secure  
16 pretrial release; and

17           (H) that a defendant who is not a United States  
18                   citizen may request that an attorney for the  
19                   government or a federal law enforcement  
20                   official notify a consular officer from the  
21                   defendant’s country of nationality that the  
22                   defendant has been arrested — but that even  
23                   without the defendant’s request, a treaty or  
24                   other international agreement may require  
25                   consular notification.

26                                   \* \* \* \* \*

**Committee Note**

**Rule 58(b)(2)(H).** Article 36 of the Vienna Convention on Consular Relations provides that detained foreign nationals shall be advised that they may have the consulate of their home country notified of their arrest and detention, and bilateral agreements with numerous countries require consular notification whether or not the detained foreign national requests it. Article 36 requires consular notification advice to be given “without delay,” and arresting officers are primarily responsible for providing this advice.

Providing this advice at the initial appearance is designed, not to relieve law enforcement officers of that responsibility, but to provide additional assurance that U.S. treaty obligations are fulfilled, and to create a judicial record of that action. The Committee concluded that the most effective and efficient method of conveying this information is to provide it to every defendant, without attempting to determine the defendant's citizenship.

At the time of this amendment, many questions remain unresolved by the courts concerning Article 36, including whether it creates individual rights that may be invoked in a judicial proceeding and what, if any, remedy may exist for a violation of Article 36. *Sanchez-Llamas v. Oregon*, 548 U.S. 331 (2006). This amendment does not address those questions. More particularly, it does not create any such rights or remedies.

---

### **Changes Made After Publication and Comment**

In response to public comments the amendment was rephrased to state that the information regarding consular notification should be provided to all defendants who are arraigned. Although it is anticipated that ordinarily only defendants who are held in custody will ask the government to notify a consular official of their arrest, it is appropriate to provide this information to all defendants at the initial appearance. The new phrasing also makes it clear that the advice should be provided to every defendant, without any attempt to determine the defendant's

citizenship. A conforming change was made to the Committee Note.

Supreme Court of the United States  
Washington, D. C. 20543

CHAMBERS OF  
THE CHIEF JUSTICE

April 25, 2014

Honorable Joseph R. Biden, Jr.  
President, United States Senate  
Washington, D.C. 20510

Dear Mr. President:

I have the honor to submit to the Congress the amendments to the Federal Rules of Evidence that have been adopted by the Supreme Court of the United States pursuant to Section 2072 of Title 28, United States Code.

Accompanying these rules are excerpts from the Report of the Committee on Rules of Practice and Procedure to the Judicial Conference of the United States containing the Committee Notes submitted to the Court for its consideration pursuant to Section 331 of Title 28, United States Code.

Sincerely,

/s/ John G. Roberts

Supreme Court of the United States  
Washington, D. C. 20543

CHAMBERS OF  
THE CHIEF JUSTICE

April 25, 2014

Honorable John A. Boehner  
Speaker of the House of Representatives  
Washington, D.C. 20515

Dear Mr. Speaker:

I have the honor to submit to the Congress the amendments to the Federal Rules of Evidence that have been adopted by the Supreme Court of the United States pursuant to Section 2072 of Title 28, United States Code.

Accompanying these rules are excerpts from the Report of the Committee on Rules of Practice and Procedure to the Judicial Conference of the United States containing the Committee Notes submitted to the Court for its consideration pursuant to Section 331 of Title 28, United States Code.

Sincerely,

/s/ John G. Roberts

April 25, 2014

SUPREME COURT OF THE UNITED STATES

ORDERED:

1. That the Federal Rules of Evidence be, and they hereby are, amended by including therein amendments to Evidence Rules 801(d)(1)(B) and 803(6)–(8).

[See infra., pp. — — —.]

2. That the foregoing amendments to the Federal Rules of Evidence shall take effect on December 1, 2014, and shall govern in all proceedings thereafter commenced and, insofar as just and practicable, all proceedings then pending.

3. That the CHIEF JUSTICE be, and hereby is, authorized to transmit to the Congress the foregoing amendments to the Federal Rules of Evidence in accordance with the provisions of Section 2072 of Title 28, United States Code.

**PROPOSED AMENDMENTS TO THE FEDERAL  
RULES OF EVIDENCE**

**Rule 801. Definitions That Apply to This Article;  
Exclusions from Hearsay**

\* \* \* \* \*

**(d) Statements That Are Not Hearsay.** A statement that meets the following conditions is not hearsay:

**(1) A *Declarant-Witness's Prior Statement.*** The declarant testifies and is subject to cross-examination about a prior statement, and the statement:

\* \* \* \* \*

**(B)** is consistent with the declarant's testimony and is offered:

**(i)** to rebut an express or implied charge that the declarant recently fabricated it or acted from a recent improper influence or motive in so testifying; or

(ii) to rehabilitate the declarant's  
credibility as a witness when attacked  
on another ground; or

\* \* \* \* \*

**Rule 803. Exceptions to the Rule Against Hearsay —  
Regardless of Whether the Declarant Is  
Available as a Witness**

The following are not excluded by the rule against hearsay, regardless of whether the declarant is available as a witness:

\* \* \* \* \*

- (6) *Records of a Regularly Conducted Activity.* A record of an act, event, condition, opinion, or diagnosis if:
- (A) the record was made at or near the time by — or from information transmitted by — someone with knowledge;
  - (B) the record was kept in the course of a regularly conducted activity of a business, organization, occupation, or calling, whether or not for profit;

(C) making the record was a regular practice of that activity;

(D) all these conditions are shown by the testimony of the custodian or another qualified witness, or by a certification that complies with Rule 902(11) or (12) or with a statute permitting certification; and

(E) the opponent does not show that the source of information or the method or circumstances of preparation indicate a lack of trustworthiness.

(7) ***Absence of a Record of a Regularly Conducted Activity.*** Evidence that a matter is not included in a record described in paragraph (6) if:

(A) the evidence is admitted to prove that the matter did not occur or exist;

(B) a record was regularly kept for a matter of that kind; and

(C) the opponent does not show that the possible source of the information or other circumstances indicate a lack of trustworthiness.

(8) ***Public Records.*** A record or statement of a public office if:

(A) it sets out:

(i) the office's activities;

(ii) a matter observed while under a legal duty to report, but not including, in a criminal case, a matter observed by law-enforcement personnel; or

(iii) in a civil case or against the government in a criminal case, factual

findings from a legally authorized  
investigation; and

- (B)** the opponent does not show that the source  
of information or other circumstances  
indicate a lack of trustworthiness.

\* \* \* \* \*



# JUDICIAL CONFERENCE OF THE UNITED STATES

WASHINGTON, D.C. 20544

THE CHIEF JUSTICE  
OF THE UNITED STATES  
*Presiding*

HONORABLE JOHN D. BATES  
*Secretary*

November 6, 2013

## MEMORANDUM

To: The Chief Justice of the United States and  
Associate Justices of the Supreme Court

From: Judge John D. Bates 

RE: TRANSMITTAL OF PROPOSED AMENDMENTS TO THE FEDERAL RULES OF  
EVIDENCE

By direction of the Judicial Conference of the United States, pursuant to the authority conferred by 28 U.S.C. § 331, I transmit herewith for consideration of the Court proposed amendments to Rules 801(d)(1)(B) and 803(6) - (8) of the Federal Rules of Evidence, which were approved by the Judicial Conference at its September 2013 session. The Judicial Conference recommends that the amendments be approved by the Court and transmitted to the Congress pursuant to law.

For your assistance in considering the proposed amendments, I am transmitting: (i) a redline version of the amendments; (ii) an excerpt from the Report of the Committee on Rules of Practice and Procedure to the Judicial Conference; and (iii) an excerpt from the Report of the Advisory Committee on the Federal Rules of Evidence.

Attachments

**EXCERPT OF THE  
REPORT OF THE JUDICIAL CONFERENCE**

**COMMITTEE ON RULES OF PRACTICE AND PROCEDURE**

**TO THE CHIEF JUSTICE OF THE UNITED STATES AND MEMBERS OF THE  
JUDICIAL CONFERENCE OF THE UNITED STATES:**

\* \* \* \* \*

**FEDERAL RULES OF EVIDENCE**

*Rules Recommended for Approval and Transmission*

The Advisory Committee on Evidence Rules submitted proposed amendments to Rules 801(d)(1)(B) and 803(6)–(8), with a recommendation that they be approved and transmitted to the Judicial Conference. The proposed amendments were circulated to the bench, bar, and public for comment in August 2012.

Rule 801(d)(1)(B)

Rule 801(d)(1)(B) is the hearsay exemption for certain prior consistent statements. It would be amended to provide that prior consistent statements are admissible under the hearsay exemption whenever they are admissible to 1) rebut an express or implied charge that the witness recently fabricated testimony or acted from a recent improper influence or motive in so testifying; and 2) rehabilitate the declarant's credibility when attacked on another ground. Under the current rule, some prior consistent statements offered to rehabilitate a witness's credibility—specifically, those that rebut a charge of recent fabrication or improper influence or motive—are also admissible substantively under the hearsay exemption. In contrast, other rehabilitative statements—such as those that explain a prior inconsistency or rebut a charge of faulty recollection—are admissible only for rehabilitation but not substantively. There are two basic practical problems in distinguishing between substantive and credibility use as applied to

prior consistent statements. First, the necessary jury instruction is almost impossible for jurors to follow. The prior consistent statement is of little or no use for credibility unless the jury believes it to be true. Second, and for similar reasons, the distinction between substantive and impeachment use of prior consistent statements has little, if any, practical effect. The proponent has already presented the witness's trial testimony, so the prior consistent statement ordinarily adds no real substantive effect to the proponent's case.

In reviewing the comments received after publication, the advisory committee found two concerns that merited revisions. First, there was a concern that the phrase "otherwise rehabilitates the declarant's credibility as a witness" is vague and could lead courts to admit prior consistent statements that heretofore have been excluded for any purpose. Second, there was a more specific concern that the language could lead courts to admit prior consistent statements to rebut a charge that the witness had a motive to falsify, even though the statement was made *after* the motive to falsify arose, thereby undermining the Supreme Court's ruling in *Tome v. United States*, 513 U.S. 150 (1995).

In response to these concerns, the advisory committee voted, with one member dissenting, to approve proposed Rule 801(d)(1)(B) with a slight modification that the advisory committee believes would preserve the *Tome* pre-motive rule as to consistent statements offered to rebut a charge of bad motive, while properly expanding substantive admissibility to statements offered to rehabilitate on other grounds (such as to explain an inconsistency or to rebut a charge of bad memory). The proposed Committee Note has also been slightly modified to account for the modification to the proposed amendment to the rule.

## Rules 803(6)–(8)

The recent restyling project uncovered an ambiguity in Rules 803(6)–(8)—the hearsay exceptions for business records, absence of business records, and public records. The exceptions originally set out admissibility requirements and then provided that a record that met these requirements, although hearsay, was admissible “unless the source of information or the method or circumstances of preparation indicate lack of trustworthiness.” The rules did not specifically state which party had the burden of showing trustworthiness or untrustworthiness.

The restyling project initially sought to clarify this ambiguity by providing that a record that fit the other admissibility requirements would satisfy the exception if “the opponent does not show that” the source of information or the method or circumstances of preparation indicate a lack of trustworthiness. But the proposal did not go forward as part of restyling because research into the case law indicated that the change would be substantive. Most courts impose the burden of proving untrustworthiness on the opponent, but a few require the proponent to prove that a record is trustworthy. Because the proposal would have changed the law in at least one court, it was deemed substantive and therefore outside the scope of the restyling project.

When the Committee approved the restyled Evidence Rules, several members suggested that the advisory committee consider making a minor substantive change to clarify that the opponent has the burden of showing untrustworthiness. The proposed amendments do just that. They would clarify that the *opponent* has the burden of showing that the proffered record is untrustworthy.

The advisory committee received two comments on the published proposals. Both approved of the text, but one comment argued that the proposed Committee Notes use language

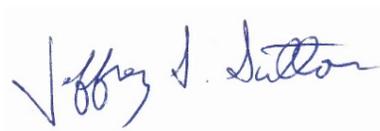
that fails to track the text of the rules. Slight changes have been made to each of the three Committee Notes to address this concern.

The Committee concurred with the advisory committee's recommendations.

**Recommendation:** That the Judicial Conference approve the proposed amendments to Evidence Rules 801(d)(1)(B) and 803(6)–(8), and transmit them to the Supreme Court for consideration with a recommendation that they be adopted by the Court and transmitted to Congress in accordance with the law.

\* \* \* \* \*

Respectfully submitted,

A handwritten signature in blue ink that reads "Jeffrey S. Sutton". The signature is written in a cursive style with a large initial "J" and "S".

Jeffrey S. Sutton, Chair

James M. Cole  
Dean C. Colson  
Roy T. Englert, Jr.  
Gregory G. Garre  
Neil M. Gorsuch  
Marilyn L. Huff  
Wallace B. Jefferson

David F. Levi  
Patrick J. Schiltz  
Larry A. Thompson  
Richard C. Wesley  
Diane P. Wood  
Jack Zouhary

COMMITTEE ON RULES OF PRACTICE AND PROCEDURE  
OF THE  
JUDICIAL CONFERENCE OF THE UNITED STATES  
WASHINGTON, D.C. 20544

JEFFREY S. SUTTON  
CHAIR

JONATHAN C. ROSE  
SECRETARY

CHAIRS OF ADVISORY COMMITTEES

STEVEN M. COLLTON  
APPELLATE RULES

EUGENE R. WEDOFF  
BANKRUPTCY RULES

DAVID G. CAMPBELL  
CIVIL RULES

REENA RAGGI  
CRIMINAL RULES

SIDNEY A. FITZWATER  
EVIDENCE RULES

MEMORANDUM

**TO:** Honorable Jeffrey S. Sutton, Chair  
Standing Committee on Rules of Practice and Procedure

**FROM:** Honorable Sidney A. Fitzwater, Chair  
Advisory Committee on Evidence Rules

**DATE:** May 7, 2013

**RE:** Report of the Advisory Committee on Evidence Rules

---

**I. Introduction**

The Advisory Committee on Evidence Rules (the “Committee”) met on May 3, 2013 at the University of Miami School of Law, Coral Gables, Florida.

The Committee seeks final Standing Committee approval and transmittal to the Judicial Conference of the United States four proposals: an amendment to Rule 801(d)(1)(B)—the hearsay exemption for certain prior consistent statements—to provide that prior consistent statements are

admissible under the hearsay exemption whenever they would otherwise be admissible to rehabilitate the witness's credibility, and amendments to Rules 803(6)-(8)—the hearsay exceptions for business records, absence of business records, and public records—to eliminate an ambiguity uncovered during the restyling project and clarify that the opponent has the burden of showing that the proffered record is untrustworthy.

## **II. Action Items**

### **A. Proposed Amendment to Evidence Rule 801(d)(1)(B)**

The Committee proposes that Rule 801(d)(1)(B) be amended to provide that prior consistent statements are admissible under the hearsay exemption whenever they would otherwise be admissible to rehabilitate the witness's credibility. The Standing Committee approved proposed amended Rule 801(d)(1)(B) for publication at its June 2012 meeting. The proposed rule and committee note now presented for final Standing Committee approval are attached as an appendix to this report. They have been modified slightly from the versions issued for publication to address certain concerns raised by public comment.

The proposal to amend Rule 801(d)(1)(B) originated with Judge Frank W. Bullock, Jr., when he was a member of the Standing Committee. Judge Bullock proposed that Rule 801(d)(1)(B) be amended to provide that prior consistent statements are admissible under the hearsay exemption whenever they would be admissible to rehabilitate the witness's credibility. Under the current Rule, some prior consistent statements offered to rehabilitate a witness's credibility—specifically, those that rebut a charge of recent fabrication or improper influence or motive—are also admissible substantively. But other rehabilitative statements—such as those that explain a prior inconsistency or rebut a charge of faulty recollection—are not admissible under the hearsay exemption, but only for rehabilitation. There are two basic practical problems in distinguishing between substantive and credibility use as applied to prior consistent statements. First, the necessary jury instruction is almost impossible for jurors to follow. The prior consistent statement is of little or no use for credibility unless the jury believes it to be true. Second, and for similar reasons, the distinction between substantive and impeachment use of prior consistent statements has little, if any, practical effect. The proponent has already presented the witness's trial testimony, so the prior consistent statement ordinarily adds no real substantive effect to the proponent's case.

The public comment on the proposed amendment is summarized in the appendix to this report. Although largely negative, it is sparse. The Committee found two concerns expressed in the public comment to merit revisions to the proposed rule and committee note. First, there was a concern that the phrase "otherwise rehabilitates the declarant's credibility as a witness" is vague and could lead courts to admit prior consistent statements that heretofore have been excluded for any purpose. Second, there was a more specific concern that the language could lead courts to admit prior consistent statements to rebut a charge that the witness had a motive to falsify, even though the statement was made *after* the motive to falsify arose, thereby undermining the Supreme Court's ruling in *Tome v. United States*, 513 U.S. 150 (1995).

In response to these concerns, the Committee voted, with one member dissenting, to approve proposed Rule 801(d)(1)(B) with the slight modification to (ii) shown on the following blacklined version. The Committee concluded that the proposal preserves the *Tome* pre-motive rule as to consistent statements offered to rebut a charge of bad motive, while properly expanding substantive admissibility to statements offered to rehabilitate on other grounds—such as to explain an inconsistency or to rebut a charge of bad memory. And the proposal does so without resorting to the potentially vague “otherwise rehabilitates” language.

**(d) Statements That Are Not Hearsay.** A statement that meets the following conditions is not hearsay:

**(1) *A Declarant-Witness's Prior Statement.*** The declarant testifies and is subject to cross-examination about a prior statement, and the statement:

\* \* \*

**(B)** is consistent with the declarant's testimony and is offered:  
(i) to rebut an express or implied charge that the declarant recently fabricated it or acted from a recent improper influence or motive in so testifying; or  
(ii) to rehabilitate the declarant's credibility as a witness when attacked on another ground; \* \* \*

The committee note has also been slightly modified to account for the proposed changes to the Rule.

**Recommendation: The Committee recommends that the proposed amendment to Evidence Rule 801(d)(1)(B) be approved and transmitted to the Judicial Conference of the United States.**

## **B. Proposed Amendments to Evidence Rules 803(6)-(8)**

The Committee proposes that Evidence Rules 803(6)-(8) be amended to address an ambiguity uncovered during restyling, but left unaddressed at that time because the changes required to clarify the ambiguity were viewed as substantive. The Standing Committee approved proposed amended Rules 803(6)-(8) for publication at its June 2012 meeting. The proposed rules and committee notes now presented for final Standing Committee approval are attached as appendixes to this report. The committee notes have been modified slightly from the versions issued for publication to address the concern, raised by public comment, that the notes use language that fails to track the text of the Rules. No changes have been made to the proposed rules as published.

The restyling project uncovered an ambiguity in Rules 803(6)-(8)—the hearsay exceptions for business records, absence of business records, and public records. These exceptions originally set out admissibility requirements and then provided that a record that met these requirements, although hearsay, was admissible “unless the source of information or the method or circumstances of preparation indicate lack of trustworthiness.” The Rules did not specifically state which party had the burden of showing trustworthiness or untrustworthiness.

The restyling project initially sought to clarify this ambiguity by providing that a record that fit the other admissibility requirements would satisfy the exception if “the opponent does not show that” the source of information or the method or circumstances of preparation indicate lack of trustworthiness. But this proposal did not go forward as part of restyling because research into the case law indicated that the change would be substantive. While most courts impose the burden of proving untrustworthiness on the opponent, a few courts require the proponent to prove that the record is trustworthy. Because the proposal would have changed the law in at least one court, it was deemed substantive and therefore outside the scope of the restyling project. When the Standing Committee approved the Restyled Rules, several members suggested that this Committee consider making the minor substantive change to clarify that the opponent has the burden of showing untrustworthiness.

Initially, the Committee did not think it necessary to propose clarifying amendments to these Rules. At its spring 2012 meeting, however, the Reporter noted that the Texas restyling committee had unanimously concluded that restyled Rules 803(6) and (8) could be interpreted as making substantive changes by placing the burden on the *proponent* of the evidence to show trustworthiness. The Committee then revisited the matter. The proposed amendments clarify that the *opponent* has the burden of showing that the proffered record is untrustworthy. The reasons espoused by the Committee for the amendments are: first, to resolve a conflict in the case law by providing uniform rules; second, to clarify a possible ambiguity in the Rules as originally adopted and as restyled; and third, to provide a result that makes the most sense, as imposing a burden of proving trustworthiness on the proponent is unjustified given that the proponent must establish that all the other admissibility requirements of these Rules are met—requirements that tend to guarantee trustworthiness in the first place.

There were only two public comments on the proposed amendments. Both approved of the text, but one comment suggested that the committee notes use language that fails to track the text of the Rules. Slight changes have been made to each of the three committee notes to address this concern.

**Recommendation: The Committee recommends that the proposed amendment to Evidence Rules 803(6)-(8) be approved and transmitted to the Judicial Conference of the United States.**

\* \* \* \* \*

**PROPOSED AMENDMENTS TO THE FEDERAL  
RULES OF EVIDENCE\***

1 **Rule 801. Definitions That Apply to This Article;**  
2 **Exclusions from Hearsay**

3 \* \* \* \* \*

4 **(d) Statements That Are Not Hearsay.** A statement that  
5 meets the following conditions is not hearsay:

6 **(1) A Declarant-Witness's Prior Statement.** The  
7 declarant testifies and is subject to cross-  
8 examination about a prior statement, and the  
9 statement:

10 \* \* \* \* \*

11 **(B)** is consistent with the declarant's testimony  
12 and is offered:

13 (i) to rebut an express or implied charge  
14 that the declarant recently fabricated it

---

\* New material is underlined; matter to be omitted is lined through.

15                                   or acted from a recent improper  
16                                   influence or motive in so testifying; or  
17                                   (ii) to rehabilitate the declarant's  
18                                   credibility as a witness when attacked  
19                                   on another ground; or  
20                                   \* \* \* \* \*

#### **Committee Note**

Rule 801(d)(1)(B), as originally adopted, provided for substantive use of certain prior consistent statements of a witness subject to cross-examination. As the Advisory Committee noted, “[t]he prior statement is consistent with the testimony given on the stand, and, if the opposite party wishes to open the door for its admission in evidence, no sound reason is apparent why it should not be received generally.”

Though the original Rule 801(d)(1)(B) provided for substantive use of certain prior consistent statements, the scope of that Rule was limited. The Rule covered only those consistent statements that were offered to rebut charges of recent fabrication or improper motive or influence. The Rule did not, for example, provide for substantive admissibility of consistent statements that are probative to explain what otherwise appears to be an inconsistency in the witness’s testimony. Nor did it cover consistent statements that would be probative to rebut a

charge of faulty memory. Thus, the Rule left many prior consistent statements potentially admissible only for the limited purpose of rehabilitating a witness's credibility. The original Rule also led to some conflict in the cases; some courts distinguished between substantive and rehabilitative use for prior consistent statements, while others appeared to hold that prior consistent statements must be admissible under Rule 801(d)(1)(B) or not at all.

The amendment retains the requirement set forth in *Tome v. United States*, 513 U.S. 150 (1995): that under Rule 801(d)(1)(B), a consistent statement offered to rebut a charge of recent fabrication or improper influence or motive must have been made before the alleged fabrication or improper influence or motive arose. The intent of the amendment is to extend substantive effect to consistent statements that rebut other attacks on a witness — such as the charges of inconsistency or faulty memory.

The amendment does not change the traditional and well-accepted limits on bringing prior consistent statements before the factfinder for credibility purposes. It does not allow impermissible bolstering of a witness. As before, prior consistent statements under the amendment may be brought before the factfinder only if they properly rehabilitate a witness whose credibility has been attacked. As before, to be admissible for rehabilitation, a prior consistent statement must satisfy the strictures of Rule 403. As before, the trial court has ample discretion to exclude prior consistent statements that are cumulative accounts of an event. The amendment does not make any consistent statement admissible that was not admissible previously — the only difference is that prior consistent statements

otherwise admissible for rehabilitation are now admissible substantively as well.

---

### **Changes Made After Publication and Comment**

The text of the proposed amendment was changed to clarify that the traditional limits on using prior consistent statements to rebut a charge of recent fabrication or improper influence or motive are retained. The Committee Note was modified to accord with the change in text.

1 **Rule 803. Exceptions to the Rule Against Hearsay —**  
2 **Regardless of Whether the Declarant Is**  
3 **Available as a Witness**

4 The following are not excluded by the rule against hearsay,  
5 regardless of whether the declarant is available as a  
6 witness:

7 \* \* \* \* \*

8 **(6) *Records of a Regularly Conducted Activity.*** A  
9 record of an act, event, condition, opinion, or  
10 diagnosis if:

11 **(A)** the record was made at or near the time by  
12 — or from information transmitted by —  
13 someone with knowledge;

14 **(B)** the record was kept in the course of a  
15 regularly conducted activity of a business,  
16 organization, occupation, or calling,  
17 whether or not for profit;

18 (C) making the record was a regular practice of  
19 that activity;

20 (D) all these conditions are shown by the  
21 testimony of the custodian or another  
22 qualified witness, or by a certification that  
23 complies with Rule 902(11) or (12) or with  
24 a statute permitting certification; and

25 (E) ~~neither the~~ opponent does not show that the  
26 source of information ~~nor~~ or the method or  
27 circumstances of preparation indicate a lack  
28 of trustworthiness.

29 \* \* \* \* \*

#### Committee Note

**Subdivision (6)(E).** The Rule has been amended to clarify that if the proponent has established the stated requirements of the exception — regular business with regularly kept record, source with personal knowledge, record made timely, and foundation testimony or certification — then the burden is on the opponent to show that the source of information or the method or

circumstances of preparation indicate a lack of trustworthiness. While most courts have imposed that burden on the opponent, some have not. It is appropriate to impose this burden on the opponent, as the basic admissibility requirements are sufficient to establish a presumption that the record is reliable.

The opponent, in meeting its burden, is not necessarily required to introduce affirmative evidence of untrustworthiness. For example, the opponent might argue that a record was prepared in anticipation of litigation and is favorable to the preparing party without needing to introduce evidence on the point. A determination of untrustworthiness necessarily depends on the circumstances.

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### **Changes Made After Publication and Comment**

In accordance with a public comment, a slight change was made to the Committee Note to better track the language of the rule.

1 **Rule 803. Exceptions to the Rule Against Hearsay —**  
2 **Regardless of Whether the Declarant Is**  
3 **Available as a Witness**

4 The following are not excluded by the rule against hearsay,  
5 regardless of whether the declarant is available as a  
6 witness:

7 \* \* \* \* \*

8 (7) *Absence of a Record of a Regularly Conducted*  
9 *Activity.* Evidence that a matter is not included  
10 in a record described in paragraph (6) if:

11 (A) the evidence is admitted to prove that the  
12 matter did not occur or exist;

13 (B) a record was regularly kept for a matter of  
14 that kind; and

15 (C) ~~neither the~~ opponent does not show that the  
16 possible source of the information ~~nor~~  
17 other circumstances indicate a lack of  
18 trustworthiness.

\* \* \* \* \*

### Committee Note

**Subdivision (7)(C).** The Rule has been amended to clarify that if the proponent has established the stated requirements of the exception — set forth in Rule 803(6) — then the burden is on the opponent to show that the possible source of the information or other circumstances indicate a lack of trustworthiness. The amendment maintains consistency with the proposed amendment to the trustworthiness clause of Rule 803(6).

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### Changes Made After Publication and Comment

In accordance with a public comment, a slight change was made to the Committee Note to better track the language of the rule.

1 **Rule 803. Exceptions to the Rule Against Hearsay —**  
2 **Regardless of Whether the Declarant Is**  
3 **Available as a Witness**

4 The following are not excluded by the rule against hearsay,  
5 regardless of whether the declarant is available as a  
6 witness:

7 \* \* \* \* \*

8 (8) **Public Records.** A record or statement of a  
9 public office if:

10 (A) it sets out:

11 (i) the office's activities;

12 (ii) a matter observed while under a legal  
13 duty to report, but not including, in a  
14 criminal case, a matter observed by  
15 law-enforcement personnel; or

16 (iii) in a civil case or against the  
17 government in a criminal case, factual

18 findings from a legally authorized  
19 investigation; and  
20 **(B)** ~~neither the~~ opponent does not show that the  
21 source of information ~~nor~~or other  
22 circumstances indicate a lack of  
23 trustworthiness.

24 \* \* \* \* \*

#### Committee Note

**Subdivision (8)(B).** The Rule has been amended to clarify that if the proponent has established that the record meets the stated requirements of the exception — prepared by a public office and setting out information as specified in the Rule — then the burden is on the opponent to show that the source of information or other circumstances indicate a lack of trustworthiness. While most courts have imposed that burden on the opponent, some have not. Public records have justifiably carried a presumption of reliability, and it should be up to the opponent to “demonstrate why a time-tested and carefully considered presumption is not appropriate.” *Ellis v. International Playtex, Inc.*, 745 F.2d 292, 301 (4th Cir. 1984). The amendment maintains consistency with the proposed amendment to the trustworthiness clause of Rule 803(6).

The opponent, in meeting its burden, is not necessarily

required to introduce affirmative evidence of untrustworthiness. For example, the opponent might argue that a record was prepared in anticipation of litigation and is favorable to the preparing party without needing to introduce evidence on the point. A determination of untrustworthiness necessarily depends on the circumstances.

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#### **Changes Made After Publication and Comment**

In accordance with a public comment, a slight change was made to the Committee Note to better track the language of the rule.