

Federal Judicial Center

Bankruptcy Petition NewSTATS Snapshots Database

BPNS Database

Codebook

November 2021

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Introduction

In 2008, the Administrative Office of the United States Courts (AOUSC) began implementing the NewSTATS (New Streamline Timely Access to Statistics) Project with respect to bankruptcy data. The project's goals were to modernize the system for collecting, processing, analyzing, and reporting statistics of the federal court system. Based on the records for bankruptcy cases in NewSTATS, we have created a database for internal use in the Research Division of the Federal Judicial Center. That database is the Bankruptcy Petition NewSTATS Snapshots [BPNS] Database.

The bankruptcy data sets comprising the BPNS Database include all petitions filed under the Bankruptcy Code on or after October 1, 2007 and any petitions filed before October 1, 2007 still pending on that date. Each data set corresponds to a "fiscal year snapshot" that includes one extract record for each unique case that was filed or terminated during that fiscal year, or was pending at the end of it. A fiscal year runs from October 1 of the prior calendar year to September 30 of the fiscal year (e.g., FY 2008 runs from October 1, 2007 to September 30, 2008).

Each record in each fiscal year snapshot data set contains both the filing and, if applicable, closing data for one unique case.

- For records filed during the period and pending at the end of the period, the record contains the filing data but the closing data are blank.
- For records filed prior to the current period and pending at the end of the period, the record contains the filing data but the closing data are blank.
- For records filed during the period and closed during the period, the record contains both the filing data and the closing data.
- For records filed prior to the current period and closed during the period, the record contains both the filing and the closing data.

The case record in the BPNS Database is the "current" record for a case in the AOUSC's NewSTATS database as of the end of the snapshot period. That is, it includes the most recent record for the case submitted to the AOUSC prior to the end of the snapshot period. The information contained in this record

may differ from the original record or other earlier records for the case transmitted from the court to the AOUSC, as well from records for the case subsequently transmitted to the AOUSC from the courts. Note that the current record for a case includes certain fields of information retained from the original record.

Comparison to Published Tables

The data records used in the BPNS Database are the records used by the Judiciary Data and Analysis Office (JDAO) of the AOUSC to prepare the detailed statistical tables presented in the appendix of the Annual Report of the Director for that year. The "F" tables in that appendix are based on bankruptcy petition data.

The published tables do not count intra-districts transfers as new filings or as terminations to avoid double-counting cases within a district; inter-district cases, in contrast, are counted in both districts. Therefore, to match to the published filing statistics, the user should select cases using the fields, FILING INDICATOR, PENDING INDICATOR, and CLOSING INDICATOR. These indicators have been predesigned to omit records where ORIGIN = 'i' (Intra-district transfer) and records where DEBTOR 1 FINAL DISPOSITION = 'M' OR DEBTOR 2 FINAL DISPOSITION = 'M' (Intra-district transfer). Unless the indicators are used, multiple filing and termination records for the same case may be included in the analyses because NewSTATS maintains the record for the case in both the transferor and transferee offices.

Case counts obtained with the BPNS data should match the published tables. Statistics based on the FY 2008 BPNS snapshot, however, may slightly differ from the published FY 2008 tables due to issues surrounding the implementation of NewSTATS; the BPNS statistics are more accurate than the published statistics. In addition, FJC processing of the records for the BPNS database may have altered values (for example, recoding out-of-range values into a separate "missing" category). Although such discrepancies are not expected to be substantial, researchers should be aware that they may exist.

Multi-Year Analyses

The BPNS data includes the record in existence at the time the snapshot for the published tables was created not

necessarily the most current record for the case.

It is also possible that the BPNS data does not include complete information for every case that is filed, although this problem is negligible (e.g., perhaps 100 cases a year). If the court fails to send a termination record for a case until after the data for the fiscal year of the termination have been processed for publication, the termination record will not appear in any snapshot. It will appear as if the case never terminated. Similarly, if a case is filed and terminated in one fiscal year, but the records are not sent until after the data for that fiscal year have been processed for publication, the records will not appear in any snapshot.

Code Changes Over Time

The researcher must be extremely careful to account for changes in values and interpretations when doing multi-year analyses.

The field descriptions in this codebook will help the researcher identify changes in the meaning of coded values for variables over time. However, it was impossible to identify all such changes or the exact timing of changes in values or interpretation. Thus, researchers conducting multiyear analyses should note the following:

- Documentation available to us, especially for early years (1987 to 1996), was very sparse. The documents we did have, however, made it clear that for some fields there is not a consistent correspondence between a coded value and a single interpretation over time. This means that the same coded value may represent different situations depending on when the information was recorded.
- Field values and their interpretation are generally dependent on the codes and interpretation in place at the time the filing or termination record was created.
- Field values and their interpretation may vary depending on the version of CM/ECF a court was using at the time a record was created. Courts were required to implement certain versions of CM/ECF by a set date, although courts were free to implement the version sooner. The courts could adopt other versions of CM/ECF on a timetable amenable to their particular circumstances. Each record includes a field indicating the CM/ECF version in use when the filing record was transmitted and a field indicating the CM/ECF

version in use when the closing record was transmitted. These fields should assist in interpreting codes and values, although neither field necessarily reflects the version of CM/ECF in place when the record was created.

- When a case is reopened, the statistical data on the record is not routinely updated. So the codes used are those in place as of the original filing date.
- Unless limitations are noted, we believe the listed correspondence between a coded value and its interpretation is consistent throughout the database time period. If there were interpretation changes, dates provided in the field descriptions identify which sets of codes were valid during which time periods. These dates are approximations based both on observation of patterns in the data, and on the release dates of new forms or other documentation that used the new codes. A value may have been valid prior to the listed date but we cannot confirm it. Conversely, the assumption is made that a value continues to have the same interpretation until a change is documented. Values that are supposedly no longer valid are sometimes found in the data because a record was created when an older set of codes and values were valid. They also may be found as a result of coding habit or the use of an outdated form.
- When processing records for the BPNS Database, values that were valid at any time are accepted; any attempts to reconcile valid values against the time period for which they are considered valid were not exhaustive.
- The Code Book most reliably documents changes in field values and interpretation since 2008.

Previous Transmissions of Bankruptcy Data to ICPSR

Bankruptcy data provided to the ICPSR prior to 2008 was provided in a different format, as described below.

In 1982 the Research Division of the Federal Judicial Center initiated the Integrated Database (IDB) project. The goals of the project were: (1) to document the information compiled by the Administrative Office of the United States Courts (AO) on cases filed in the federal court system, (2) to gather several years of data together into a single database to facilitate multiyear analyses, (3) to provide a common format for the data so that those analyses could be done without having to contend with physical record formats that changed from year to year, and (4) to provide a vehicle for linking cases from the district to the appellate level.

Originally the IDB included only civil and criminal cases filed in the U.S. District Courts and appeals filed in the regional U.S. Courts of Appeals. The database includes all district cases filed on or after July 1, 1969 and all cases filed before July 1, 1969 that were still pending on that date. It also includes all appeals filed on or after July 1, 1970 and all appeals filed before July 1, 1970 that were still pending on that date. The records are organized into several data sets defined both by category (e.g., district civil, district criminal) and statistical or fiscal year of termination. There is also a "pending" data set for each record category that contains cases still pending at the end of the most recent year included in the database.

We subsequently added bankruptcy records to the IDB as a separate category, following the structure used with the civil, criminal, and appeal records. The bankruptcy data sets included all petitions filed under the Bankruptcy Code on or after October 1, 1993 and any petitions filed before October 1, 1993 that were still pending on that date. The records were organized according to the fiscal year of termination (i.e., FY1994 to FY2008) with cases still pending at the end of the fiscal year included in a separate pending data set. A separate code book exists for those data sets.

2021 Revision of BPNS Data

In August 2021, the AOUSC made the FJC aware of data anomalies in the BPNS records submitted to the FJC. Some bankruptcy records were erroneously joined to the wrong party in the AOUSC's NewSTATS database. In these instances, debtor level information in a case was inadvertently tied to a debtor from another bankruptcy case, resulting in inaccurate debtor level information on a per record basis. The following debtor fields were impacted in each of the datasets from FY 2008 through June 30, 2021: debtor zip code (D1ZIP, D2ZIP); debtor county code (D1CNTY, D2CNTY); debtor pro se status (ORGD1FPRSE, D1FPRSE, D1CPRSE, ORGD2FPRSE, D2FPRSE); and debtor pro se date change (D1CHGDT, D2CHGDT). The largest number of impacted records were found in the FY 2015 dataset (approximately 87,000 records). Revisions to the data also impacted the fields case key (CASEKEY) and original filing chapter (ORGFLCHP) in the FY 2019 and 2020 datasets and the June 30, 2021 dataset. The FJC temporarily took down the IDB in August 2021 while working with AOUSC Judiciary Data and Analysis Office (AO-JDAO) to correct

these issues. The revised files were posted in November 2021. Any data downloaded prior to September 2021 should be redownloaded to account for these changes. For more details on the number of impacted records per dataset, please see [Appendix B](#).

IMPORTANT NOTE

FJC and Administrative Office staff have reviewed historical documents and have taken significant measures to ensure the accuracy of this Codebook. Users finding any unexplained data anomalies or interpretational problems are encouraged to notify the FJC at IDBonline@fjc.gov.

Record Format

FIELD NUMBER	FIELD NAME	SHORT FIELD NAME (for SAS)	DESCRIPTION	FORMAT
1	Snapshot Period	SNAPSHOT	Snapshot ending date. September 30 of the snapshot year	MM/DD/YYYY
2	Filing Indicator	SNAPFILE	Indicates whether the case was filed during the snapshot period	A1
3	Pending Indicator	SNAPPEND	Indicates whether the case was pending as of the last day of the snapshot period	A1
4	Closing Indicator	SNAPCLOS	Indicates whether the case was closed during the snapshot period	A1
5	Case Key	CASEKEY	Unique 16-character identifier for each case consisting of the prefix 'BK' followed by the Circuit code, District code, Office code, Docket Number, Generation, and Sequence.	A20
6	Circuit	CIRCUIT	Code of the federal judicial circuit in which the case is located	A2
7	District	DISTRICT	Code of the federal judicial district in which the case is located	A2
8	Office	OFFICE	Code of the district office in which the case is located	A1
9	Docket Number	DOCKET	Docket number assigned by the district to the case	A7
10	Generation	GEN	Indicates whether the case is an original or reopened case	A1
11	Sequence	SEQ	Code indicating whether the case is an original filing or a first or subsequent reopening	A1

12	Origin	ORIGIN	Code indicating whether the case originated from an inter-district or intra-district transfer or was split from another case	A1
13	Original Filing Date	ORGFLDT	Date on which the original case was filed for a case that has been split, transferred, or reopened	MM/DD/YYYY
14	Filing Date	FILEDATE	Date petition filed for an original case, or date of split, transfer, or reopen	MM/DD/YYYY
15	Filing Calendar Year	FILECY	Calendar year of the Filing Date	YYYY
16	Filing Fiscal Year	FILEFY	Fiscal year of the Filing Date	YYYY
17	Original Filing Chapter	ORGFLCHP	Chapter of the Bankruptcy Code as reported on the first record submitted to the AOUSC (i.e., the best representation of the chapter under which the case was originally filed)	A3
18	Current Chapter	CRNTCHP	Chapter of the Bankruptcy Code as reported on the most current record received by the AOUSC as of the end of the snapshot period (i.e., the best representation of the chapter under which the case is currently being administered)	A3
19	Original Nature of Debt	ORGNTRDBT	Distinguishes whether debtor's debts are primarily consumer or business debts as reported on the first record submitted to the AOUSC	A1
20	Nature of Debt	NTRDBT	Distinguishes whether debtor's debts are primarily consumer or	A1

			business debts as reported on the most current record received by the AOUSC as of the end of the snapshot period	
21	Joint Flag	JOINT	Flag indicating if this is an individual or joint petition	A1
22	Debtor1 Zip	D1ZIP	Zip code for street address of first listed debtor	A15
23	Debtor1 County	D1CNTY	The five digit FIPS code for the county of residence of the first listed debtor	A5
24	Original Debtor1 Filing Prose	ORGD1FPRSE	Code indicating whether the first listed debtor is currently represented by an attorney as reported on the first record submitted to the AOUSC	A1
25	Debtor1 Filing Prose	D1FPRSE	Code indicating whether the first listed debtor is currently represented by an attorney as reported on the most current record received by the AOUSC as of the end of the snapshot period	A1
26	Debtor1 Date Prose Change	D1CHGDT	Date of most recent change to filing prose status for first listed debtor	MM/DD/YYYY
27	Debtor2 Zip	D2ZIP	Zip code for street address of second listed debtor	A15
28	Debtor2 County	D2CNTY	The five digit FIPS code for the county of residence of the second listed debtor	A5
29	Original Debtor2 Filing Prose	ORGD2FPRSE	Code indicating whether the second listed debtor is currently represented by an attorney as reported on the first	A1

			record submitted to the AOUSC	
30	Debtor2 Filing Prose	D2FPRSE	Code indicating whether the second listed debtor is currently represented by an attorney as reported on the most current record received by the AOUSC as of the end of the snapshot period	A1
31	Debtor2 Date Prose Change	D2CHGDT	Date of most recent change to filing prose status for second listed debtor	MM/DD/YYYY
32	Original Fee Status	ORGFEESTS	Status of payment of the filing fee as reported on the first record submitted to the AOUSC	A1
33	Fee Status	FEESTS	Status of payment of the filing fee as reported on the most current record received by the AOUSC as of the end of the snapshot period	A1
34	Type Case	CASETYP	Distinguishes voluntary from involuntary petitions	A1
35	Original Type Debtor	ORGDBTRTYP	Legal form of the debtor as reported on the first record submitted to the AOUSC	A1
36	Type Debtor	DBTRTYP	Legal form of the debtor	A1
37	Nature of Business	NOB	Provided additional information on the nature of business for business bankruptcies (e.g., Stockbroker, Health Care Business, Non-Profit Organization)	A1
38	Prior Filing	PRFILE	Code indicating whether the debtor(s) filed a bankruptcy case at any time in the previous 8 years	A1

39	Original Estimated Assets	ORGEASST	Code providing an estimate in ranges of total assets at filing as reported on the first record submitted to the AOUSC	A1
40	Estimated Assets	EASST	Code providing an estimate in ranges of total assets at filing as reported on the most current record received by the AOUSC as of the end of the snapshot period	A1
41	Original Estimated Liabilities	ORGELBLTS	Code providing an estimate in ranges of total liabilities at filing as reported on the first record submitted to the AOUSC	A1
42	Estimated Liabilities	ELBLTS	Code providing an estimate in ranges of total liabilities at filing as reported on the most current record received by the AOUSC as of the end of the snapshot period	A1
43	Original Estimated Creditors	ORGECDTRS	Code providing an estimate in ranges of the number of creditors at filing as reported on the first record submitted to the AOUSC	A1
44	Estimated Creditors	ECRDTRS	Code providing an estimate in ranges of the number of creditors at filing as reported on the most current record received by the AOUSC as of the end of the snapshot period	A1
45	Original Asset Case	ORGASSTCASE	Code indicating whether there will be funds available for distribution to unsecured creditors as	A1

			reported on the first record submitted to the AOUSC	
46	Asset Case	ASSTCASE	Code indicating whether there will be funds available for distribution to unsecured creditors as reported on the most current record received by the AOUSC as of the end of the snapshot period	A1
47	Small Business Debtor	SMLLBUS	Identifies if the debtor is a small business debtor in Chapter 11 cases	A1
48	Prepackaged Case	PREPACK	Provides information regarding if a plan was filed with a petition in Chapter 11 cases	A1
49	Total Assets	TOTASSTS	Value reflects the amount of the debtor's total assets and is the sum of the debtor's real property from Schedule A and the debtor's personal property from Schedule B, as reported on Form B6 Summary of Schedules at filing	A8
50	Real Property	REALPROP	Value reflects the sum of the debtor's real property from Schedule A, as reported on Form B6 Summary of Schedules at filing	A8
51	Personal Property	PERSPROP	Value reflects the sum of the debtor's personal property from Schedule B, as reported on Form B6 Summary of Schedules at filing	A8
52	Total Liabilities	TOTLBLTS	Value reflects the amount of the debtor's total liabilities at filing; sum of the secured claims from Schedule	A8

			D, the unsecured priority claims from Schedule E, and the unsecured nonpriority claims from Schedule F, as reported on Form B6 Summary of Schedules	
53	Secured Claims	SECURED	Value reflects the sum of the secured claims from Schedule D, as reported on Form B6 Summary of Schedules at filing	A8
54	Unsecured Priority Claims	UNSECPR	Value reflects the sum of unsecured priority claims from Schedule E, as reported on Form B6 Summary of Schedules at filing	A8
55	Unsecured Nonpriority Claims	UNSECNPR	Value reflects the sum of the unsecured nonpriority claims from Schedule F. as reported on Form B6 Summary of Schedules at filing	A8
56	Total Debt Discharged	DSCHRGD	This is the amount of the total debt that presumptively will be discharged, and is calculated by subtracting "Non Dischargeable Debt" from the sum of "Secured Claims", "Unsecured Priority Claims", and "Unsecured NonPriority Claims"	A8
57	Non Dischargeable Debt	NDSCHRGD	This field reports debt from Schedules E and F that is predominantly non-dischargeable, and is the total of certain amounts reported on the Statistical Summary of Certain Liabilities and Related Data at filing; see full description	A8

58	Total Debt	TOTDBT	This is the sum of “Total Debt Discharged” and “Non Dischargeable Debt”	A8
59	Current Monthly Income	CNTMNTHI	Current monthly income is from Line 12 of form 22A for chapter 7 debtors, Line 11 of form 22B for chapter 11 debtors, and Line 20 of form 22C for chapter 13 debtors, as reported on the Statistical Summary of Certain Liabilities and Related Data at filing	A8
60	Average Monthly Income	AVGMNTHI	Average Monthly Income from Line 16 of Schedule I, as reported on the Statistical Summary of Certain Liabilities and Related Data at filing	A8
61	Average Monthly Expenses	AVGMNTHE	Average Monthly Income from Line 18 of Schedule J, as reported on the Statistical Summary of Certain Liabilities and Related Data at filing	A8
62	Source Case Number	SRCCASE	For transferred cases, the source case number on the case record in the transferee office/district contains unique identifying information about the case from which the transfer occurred; when a case has been split from its original case, the source case number on the case record for the resulting case contains unique identifying information about the case from which the split occurred	A20
63	Destination Case Number	DSTNCASE	When a case is transferred, the	A20

			destination case number on the case record in the transferor office/district contains unique identifying information about the case in the transferee district; when a case has been split from its original case, the destination case number on the original case record contains unique identifying information about the case that was split off	
64	Consolidated Lead Case Number	CNSLLEAD	For consolidated cases: reflects unique identifying information for the lead case	A20
65	Jointly Administered Case Number	JNTLEAD	For jointly administered cases: reflects unique identifying information for the lead case	A20
66	Filing CMECF Version	FLCMECFV	Version of CM/ECF the court was using at the time the case record containing the filing data was transmitted to AOUSC, which may or may not reflect the version of CM/ECF in place when the case was filed	A20
67	Closing Date	CLOSEDT	Date case was considered “closed” for statistical purposes	MM/DD/YYYY
68	Closing Calendar Year	CLOSECY	Calendar year case was considered “closed” for statistical purposes	YYYY
69	Closing Fiscal Year	CLOSEFY	Fiscal year case was considered “closed” for statistical purposes	YYYY
70	Closing Chapter	CLCHPT	Chapter of the Bankruptcy Code under which the case closed in the bankruptcy court	A3

71	Debtor1 Closing Prose	D1CPRSE	Code indicating whether the first listed debtor was represented by an attorney at the time case closed	A1
72	Debtor1 Final Disposition	D1FDSP	Code indicating the manner in which the case was disposed for the first listed debtor	A1
73	Debtor1 Final Disposition Date	D1FDSPDT	Date of the final disposition for the first listed debtor	MM/DD/YYYY
74	Debtor1 Final Disposition Calendar Year	D1FDSPCY	Calendar year of the final disposition for the first listed debtor	YYYY
75	Debtor1 Final Disposition Fiscal Year	D1FDSPFY	Fiscal year of the final disposition for the first listed debtor	YYYY
76	Debtor2 Closing Prose	D2CPRSE	Code indicating whether the second listed debtor was represented by an attorney at the time case closed	A1
77	Debtor2 Final Disposition	D2FDSP	Code indicating the manner in which the case was disposed for the second listed debtor	A1
78	Debtor2 Final Disposition Date	D2FDSPDT	Date of the final disposition for the second listed debtor	MM/DD/YYYY
79	Debtor2 Final Disposition Calendar Year	D2FDSPCY	Calendar year of the final disposition for the second listed debtor	YYYY
80	Debtor2 Final Disposition Fiscal Year	D2FDSPFY	Fiscal year of the final disposition for the second listed debtor	YYYY
81	Chapter 11 Percent Dividend	C11DVDND	Percent dividend to be paid under the plan for Chapter 11 cases	A3
82	Chapter 11 Future Payments	C11FTRPAY	Indicates future payments are expected but the percentage is not determinable for Chapter 11 cases only	A1
83	Closing CMECF Version	CLCMECFV	Version of CM/ECF the court was using at the	A20

			time the record containing the case closing data was transmitted to the AOUSC, which may or may not reflect the version of CM/ECF in place when the case was closed.	
84	Tax Exempt	TAXEXEMPT	Indicates whether a business is a tax exempt organization	A1

Detailed Field Descriptions

**SNAPSHOT PERIOD
(SNAPSHOT)**

Snapshot ending date.

Each Snapshot is a "fiscal year snapshot" that covers activity for the 12 months preceding the snapshot ending date. It includes one extract record for each case that was filed or terminated during that fiscal year, or was pending at the end of it. A fiscal year runs from October 1 of the prior calendar year to September 30 of the fiscal year (e.g., FY 2008 runs from October 1, 2007 to September 30, 2008).

**FILING INDICATOR
(SNAPFILE)**

Indicates whether the case was filed during the 12 months preceding the snapshot ending date; that is whether the case is counted as a new filing in the published statistics corresponding to the snapshot period.

Beginning in FY2009, this indicator was used to identify cases corresponding to the AOUSC published count of filed cases, by excluding cases where ORIGIN = 'i'. In FY2008 and earlier, cases with ORIGIN = 'i' were not excluded from the published statistics.

0 = Not filed during snapshot
1 = Filed during snapshot

**PENDING INDICATOR
(SNAPPEND)**

Indicates whether the case was pending at the end of the snapshot ending date; that is, whether the case is counted as a case pending at the end of the snapshot period in the corresponding published statistics.

0 = Not pending at end of snapshot
1 = Pending at end of snapshot

**CLOSING INDICATOR
(SNAPCLOS)**

Indicates whether the case was closed during the 12 months preceding the snapshot ending date; that is, whether the case is counted as a terminated case in the published statistics corresponding to the snapshot period.

Beginning in FY2009, this indicator was used to identify cases corresponding to the AOUSC published count of terminated cases, by excluding cases where DEBTOR1 FINAL DISPOSITION = 'M' or DEBTOR2 FINAL DISPOSITION = 'M'. In FY2008 and earlier, cases with disposition codes equal to 'M' were not excluded from the published statistics.

0 = Not closed during snapshot
1 = Closed during snapshot

**CASE KEY
(CASEKEY)**

Unique identifier consisting of 16 alphanumeric characters associated with case instance.

Beginning with FY 2019, the AOUSC no longer includes the 'BK' prefix in CASEKEY in the data sets it sends to the FJC. However, the FJC has decided to continue to affix 'BK' in the first two positions to maintain the consistency of this field across time and to enable easier identification of bankruptcy cases in cross-program research. The data posted for FY 2019 and FY 2020 prior to the November 2021 revision did not contain 'BK' while the updated data do.

Char. 1 and 2: identify the case as bankruptcy (i.e., BK)
Char. 3 and 4: identify the circuit
Char. 5 and 6: identify the district
Char. 7: identify the office
Char. 8, 9, 10, 11, 12, 13, 14: Docket Number (YYNNNNN)
Char. 15: Generation of case (see GENERATION)
Char. 16: Sequence of case (see SEQUENCE)

CIRCUIT
(CIRCUIT)

Code of the federal judicial circuit in which the case is located.

00 = DC Circuit	06 = Sixth Circuit
01 = First Circuit	07 = Seventh Circuit
02 = Second Circuit	08 = Eighth Circuit
03 = Third Circuit	09 = Ninth Circuit
04 = Fourth Circuit	10 = Tenth Circuit
05 = Fifth Circuit	11 = Eleventh Circuit

DISTRICT
(DISTRICT)

Code of the federal judicial district in which the case was filed. See Appendix A for a list of values.

OFFICE
(OFFICE)

Code indicating the district office in which the case is located.

DOCKET NUMBER
(DOCKET)

The case number as assigned by the Clerk of Court at the time of the original filing, transfer, or split of the case; consists of a two digit Docket Year (usually calendar year in which the case was filed) and a five digit sequence number.

GENERATION
(GEN)

Identifies whether the case is an original or reopened case. A case with GENERATION = '0' should always have SEQUENCE = '0'.

The 2008 extract includes 98 cases with invalid GEN values (i.e., '1', '7', 'R', 'S', 'T', '_'). The 2010-2016 extracts each include 1 case with an invalid GEN value (i.e., 'S'). Because the CaseKey used to identify unique

cases incorporates this value, subsequent records submitted for these cases may not be matched properly.

0 = Original
r = Reopen
-8 = missing

SEQUENCE (SEQ)

Identifies if the case is an original filing or a first or subsequent reopening of a case.

0 = Original
1 = First reopen
2 = Second reopen
3 = Third reopen
4 = Fourth reopen
5 = Fifth reopen
6 = Sixth reopen
7 = Seventh reopen
8 = Eighth reopen
9 = Ninth reopen

The 2008 extract includes 94 cases with an invalid SEQ value (i.e., '!') and 1 case where SEQ is missing. The 2010-2016 extracts each include 2 cases with an invalid SEQ value (i.e., '!'). Because the CaseKey used to identify unique cases incorporates this value, subsequent records submitted for these cases may not be matched properly.

ORIGIN (ORIGIN)

A single digit code indicating whether the case originated from an inter-district or intra-district transfer or by being split or deconsolidated from another case. Not applicable is used for all cases not in one of these three categories.

i = Intra-district transfer
s = Split or deconsolidation
t = Inter-district transfer
n = Not applicable

**ORIGINAL FILING DATE
(ORGFILDT)**

For cases split, transferred or reopened, the date on which the first instance of the case was filed in the bankruptcy court.

- if the case has been split from another case (ORIGIN = s), the *filing date* is the date of the bifurcation order and the *original filing date* is the date the consolidated case was originally filed.
- if the case is a reopened case (GENERATION = 'r'), the *filing date* is the date the reopening was filed and the *original filing date* is the date the case was initially filed.
- if the case originated by being transferred from another division or office within the district, (ORIGIN = 'i'), the *filing date* is the date the case was opened in the current office (the transferee office) and *original filing date* is the date the case was opened in the original office (the transferring office).
- if the case originated by being transferred from another district (ORIGIN = 't'), the *filing date* is the date the case was opened in the current district (the transferee district) and *original filing date* is the date the case was opened in the original district (the transferring district).

**FILING DATE
(FILEDATE)**

The date on which the case was filed in the bankruptcy court. Please also see the definition of ORIGINAL FILING DATE.

**FILING CALENDAR YEAR
(FILECY)**

Calendar year (January - December) in which the case was filed, as represented in FILING DATE, rather than ORIGINAL FILING DATE.

**FILING FISCAL YEAR
(FILEFY)**

Fiscal year (October - September) in which the case was filed, as represented in *FILING DATE*, rather than *ORIGINAL FILING DATE*.

**ORIGINAL FILING CHAPTER
(ORGFLCHP)**

The chapter of the Bankruptcy Code under which the case was filed in the bankruptcy court, as represented on the first record submitted by the court and loaded by the AOUSC for the case.

The values used for this field have changed over time.

Values for this variable predating 1991 include information about the type of business (e.g., broker, railroad, stock broker, commodity broker). In more recent years, this information is picked up in the TYPE DEBTOR and NATURE OF BUSINESS variables.

In the 2008-2014 data extracts, there is a 1984 case with ORGFLCHP = '12'; this is not a valid code for 1984 filings because Chapter 12 was not implemented until 1986. No termination record could be found for this case, but it is assumed that it was filed under another chapter and then converted to Chapter 12 once that chapter was available.

In November 2021, the FJC posted revised data sets for FY 2008 through June 30, 2021. The values for ORGFLCHP were updated for approximately 31,000 records in the FY 2019 data set and approximately 38,000 records in the FY 2020 data set to correct an error in the underlying AOUSC data where original filing chapter had been erroneously overwritten with current chapter.

Values for original cases filed on or after October 17, 2005

7 = Chapter 7
9 = Chapter 9
11 = Chapter 11
13 = Chapter 13
12 = Chapter 12

15a = Chapter 15 foreign main proceeding, or in the
alternative, foreign nonmain proceeding
15m = Chapter 15 foreign main proceeding
15n = Chapter 15 foreign nonmain proceeding
15x = Chapter 15 (unknown whether main or nonmain; used for
cases filed 10/17/05 through 10/16/2006)
Blank = Missing

Values for original cases filed in or after April 1991 but
before October 17, 2005

1 = Chapter 7
4 = Chapter 9
5 = Chapter 11
7 = Chapter 13
304 = Section 304 (these cases had earlier been coded as 8)
9 = Chapter 12
Blank = Missing

Values for original cases filed after July 1987 but before
April 1991

1 = Chapter 7
2 = Chapter 7 - Broker
4 = Chapter 9
5 = Chapter 11
6 = Chapter 11 - Railroad
7 = Chapter 13
304 = Section 304 (these cases had earlier been coded as 8)
9 = Chapter 12
Blank = Missing

Values for original cases filed before July 1987

1 = Chapter 7
2 = Chapter 7 - Stockbroker
3 = Chapter 7 - Commodity Broker
4 = Chapter 9
5 = Chapter 11
6 = Chapter 11 - Railroad
7 = Chapter 13
304 = Section 304 (these cases had earlier been coded as 8)
Blank = Missing

CURRENT CHAPTER (CRNTCHP)

The chapter of the case on the "current" filing record in the AOUSC's NewSTATS database as of the end of the snapshot period. The current record is the most recent filing record submitted to the AOUSC prior to the end of the snapshot period. If the case is closed, CURRENT CHAPTER and CLOSING CHAPTER should be the same.

The values used for this field have changed over time.

Values for this variable predating 1991 include information about the type of business (e.g., broker, railroad, stock broker, commodity broker). In more recent years, this information is picked up in the TYPE DEBTOR and NATURE OF BUSINESS variables.

In the 2008-2014 data extracts, there is a 1984 case with CRNTCHP = '12'; this is not a valid code for 1984 filings because Chapter 12 was not implemented until 1986. No termination record could be found for this case, but it is assumed that it was filed under another chapter and then converted to Chapter 12 once that chapter was available.

Values for original cases filed on or after October 17, 2005

7 = Chapter 7
9 = Chapter 9
11 = Chapter 11
13 = Chapter 13
12 = Chapter 12
15a = Chapter 15 foreign main proceeding, or in the alternative, foreign nonmain proceeding
15m = Chapter 15 foreign main proceeding
15n = Chapter 15 foreign nonmain proceeding
15x = Chapter 15 (unknown whether main or nonmain; used for cases filed 10/17/05 through 10/16/2006)
Blank = Missing

Values for original cases filed in or after April 1991 but before October 17, 2005

1 = Chapter 7
4 = Chapter 9

5 = Chapter 11
7 = Chapter 13
304 = Section 304 (these cases had earlier been coded as 8)
9 = Chapter 12
Blank = Missing

Values for original cases filed after July 1987 but before April 1991

1 = Chapter 7
2 = Chapter 7 - Broker
4 = Chapter 9
5 = Chapter 11
6 = Chapter 11 - Railroad
7 = Chapter 13
304 = Section 304 (these cases had earlier been coded as 8)
9 = Chapter 12
Blank = Missing

Values for original cases filed before July 1987

1 = Chapter 7
2 = Chapter 7 - Stockbroker
3 = Chapter 7 - Commodity Broker
4 = Chapter 9
5 = Chapter 11
6 = Chapter 11 - Railroad
7 = Chapter 13
304 = Section 304 (these cases had earlier been coded as 8)
Blank = Missing

**ORIGINAL NATURE OF DEBT
(ORGNTRDBT)**

See NATURE OF DEBT. This is the status as reported on the first record submitted to the AOUSC.

**NATURE OF DEBT
(NTRDBT)**

b = Business
c = Consumer
o = Other
Blank = Chapter 15 cases

Distinguishes whether the debtor(s)' debts are primarily consumer debts or primarily business debts, as indicated on the petition. This is the status as reported on the most current record received by the AOUSC as of the end of the snapshot period. The categories and instructions for capturing this information have changed over time.

Beginning December 1, 2015, chapter 15 cases no longer require a nature of debt. For those cases, this field will be blank and counted as missing.

Since October 17, 2006: A debtor, depending on the circumstances of the case, indicates on the petition whether debts are primarily consumer debts or primarily business debts. A consumer debt is defined in section 101(8) of the Bankruptcy Code as a debt incurred by an individual primarily for a personal, family, or household purpose. A business debt is one incurred to start or continue a business or profession. Even in a case filed by an individual or married couple, if debt related to the operation of a business predominates, the debtor should check the box marked "Business". A debtor that is a corporation or partnership should check the box marked "Business". It is unclear how individuals with "non-business debt other than consumer debt" categorize themselves under this formulation. Prior to 2006, such debtors were included in a "consumer/non-business" category. The "other" category represents debt considered to be neither business nor consumer.

Before the implementation of NewSTATS, this field was coded as '1' (Business) and '2' (Consumer/Non-Business). The AOUSC converted the values of '1' and '2' to 'b' and 'c,'

In the 2008 extract, there is one case with the invalid code of 'x'; this case had some claims activity in 2007, but was terminated in 1994 with no evidence of a reopening.

**JOINT FLAG
(JOINT)**

Flag indicating if this is an individual petition or a joint petition (by spouses). Per AOUSC direction, this flag is not generally updated in the original case when that case is split.

y = Yes
n = No

Before the implementation of NewSTATS, this field was coded as '0' (Individual) and '1' (Joint). The AOUSC converted any previously numeric values into alpha values upon loading the historical data into NewSTATS.

**DEBTOR1 ZIP
(D1ZIP)**

Zip code for street address of the first-listed debtor. ZIP code can be entered as ZIP (five digits) or ZIP+4 (nine digits). If the debtor has a residence outside the United States, the AOUSC will accept any combination of numbers, letters, and blanks in the ZIP Code field as long as the county code is 99999 (Outside U.S.).

Beginning with CM/ECF 3.1 (October 17, 2006), certain filing information for the second debtor in joint cases was documented separately [DEBTOR2 NAME, DEBTOR2 ZIP, DEBTOR2 COUNTY, DEBTOR2 FILING PRO SE, DEBTOR2 FILING PRO SE DESCRIPTION, DEBTOR2 DATE PROSE CHANGE, DEBTOR2 PRELIIMINARY DISPOSITION].

In November 2021, the FJC posted revised data sets for FY 2008 through June 30, 2021. The field D1ZIP was impacted in every data set. For details on the number of records updated per data set, please see [Appendix B](#).

**DEBTOR1 COUNTY
(D1CNTY)**

The county of residence of the first-listed debtor.

The FIPS county code is a five-digit Federal Information Processing Standard (FIPS) code which uniquely identifies counties and county equivalents in the United States. The

first two digits represent the state, and the last 3 digits represent the county.

The list of counties and historical code changes can be found here:

<https://www.census.gov/geo/reference/codes/cou.html>

88888 = Outside home state

99999 = Outside U.S.

Beginning with CM/ECF 3.1 (October 17, 2006), certain filing information for the second debtor in joint cases was documented separately [DEBTOR2 NAME, DEBTOR2 ZIP, DEBTOR2 COUNTY, DEBTOR2 FILING PRO SE, DEBTOR2 FILING PRO SE DESCRIPTION, DEBTOR2 DATE PROSE CHANGE, DEBTOR2 PRELIMINARY DISPOSITION].

In November 2021, the FJC posted revised data sets for FY 2008 through June 30, 2021. The field D1CNTY was impacted in every data set. For details on the number of records updated per data set, please see [Appendix B](#).

ORIGINAL DEBTOR1 FILING PROSE (ORGD1FPRSE)

See DEBTOR1 FILING PROSE. This is the status as reported on the first record submitted to the AOUSC.

In November 2021, the FJC posted revised data sets for FY 2008 through June 30, 2021. The field ORGD1FPRSE was impacted in every data set. For details on the number of records updated per data set, please see [Appendix B](#).

DEBTOR1 FILING PROSE (D1FPRSE)

Whether the first-listed debtor was represented by an attorney as of the most recent filing record transmitted to the AOUSC before creation of the snapshot.

n = Not pro se

y = Pro se

Prior to the collection of the pro se status separately for each joint debtor, the AOUSC collected a single pro se status for the entire case. A case was designated as pro se

if either debtor was pro se; the earlier values were '1' (At least one Debtor Pro Se) and '0' (Neither Debtor Pro Se). When loading the early data into NewSTATS, the AOUSC converted the '1' and '0' codes into 'y' and 'n' and read the information into the pro se field for Debtor 1.

Beginning with CM/ECF 3.1 (October 17, 2006), certain filing information for the second debtor in joint cases was documented separately [DEBTOR2 NAME, DEBTOR2 ZIP, DEBTOR2 COUNTY, DEBTOR2 FILING PRO SE, DEBTOR2 FILING PRO SE DESCRIPTION, DEBTOR2 DATE PROSE CHANGE, DEBTOR2 PRELIIMINARY DISPOSITION].

In November 2021, the FJC posted revised data sets for FY 2008 through June 30, 2021. The field D1FPRSE was impacted in every data set. For details on the number of records updated per data set, please see [Appendix B](#).

DEBTOR1 DATE PROSE CHANGE (D1CHGDT)

The date of the most *recent change* to filing prose status for the first-listed debtor. This field does not maintain a history of all changes.

Beginning with CM/ECF 3.1 (October 17, 2006), certain filing information for the second debtor in joint cases was documented separately [DEBTOR2 NAME, DEBTOR2 ZIP, DEBTOR2 COUNTY, DEBTOR2 FILING PRO SE, DEBTOR2 FILING PRO SE DESCRIPTION, DEBTOR2 DATE PROSE CHANGE, DEBTOR2 PRELIIMINARY DISPOSITION].

In November 2021, the FJC posted revised data sets for FY 2008 through June 30, 2021. The field D1CHGDT was impacted in every data set. For details on the number of records updated per data set, please see [Appendix B](#).

DEBTOR2 ZIP (D2ZIP)

Zip code for the street address of the second-listed debtor. ZIP code can be entered as ZIP (five digits) or ZIP+4 (nine digits). If the debtor has a residence outside the United States, the AOUSC will accept any combination of numbers, letters, and blanks in the ZIP Code field as long as the county code is 99999 (Outside U.S.).

Beginning with CM/ECF 3.1 (October 17, 2006), certain filing information for the second debtor in joint cases was documented separately [DEBTOR2 NAME, DEBTOR2 ZIP, DEBTOR2 COUNTY, DEBTOR2 FILING PRO SE, DEBTOR2 FILING PRO SE DESCRIPTION, DEBTOR2 DATE PROSE CHANGE, DEBTOR2 PRELIIMINARY DISPOSITION].

In November 2021, the FJC posted revised data sets for FY 2008 through June 30, 2021. The field D2ZIP was impacted in every data set. For details on the number of records updated per data set, please see [Appendix B](#).

DEBTOR2 COUNTY (D2CNTY)

The county of residence of the second-listed debtor.

The FIPS county code is a five-digit Federal Information Processing Standard (FIPS) code which uniquely identifies counties and county equivalents in the United States. The first two digits represent the state, and the last 3 digits represent the county.

The list of counties and historical code changes can be found here:

<https://www.census.gov/geo/reference/codes/cou.html>

88888 = Outside home state

99999 = Outside U.S.

Beginning with CM/ECF 3.1 (October 17, 2006), certain filing information for the second debtor in joint cases was documented separately [DEBTOR2 NAME, DEBTOR2 ZIP, DEBTOR2 COUNTY, DEBTOR2 FILING PRO SE, DEBTOR2 FILING PRO SE DESCRIPTION, DEBTOR2 DATE PROSE CHANGE, DEBTOR2 PRELIIMINARY DISPOSITION].

In November 2021, the FJC posted revised data sets for FY 2008 through June 30, 2021. The field D2CNTY was impacted in every data set. For details on the number of records updated per data set, please see [Appendix B](#).

ORIGINAL DEBTOR2 FILING PROSE (ORGD2FPRSE)

See DEBTOR2 FILING PROSE. This is the status as reported on the first record submitted to the AOUSC.

In November 2021, the FJC posted revised data sets for FY 2008 through June 30, 2021. The field ORGD2FPRSE was impacted in every data set. For details on the number of records updated per data set, please see [Appendix B](#).

DEBTOR2 FILING PROSE (D2FPRSE)

Whether the second-listed debtor was represented by an attorney as of the most recent filing record transmitted to the AOUSC before creation of the snapshot.

n = Not pro se
y = Pro se

Prior to the collection of the pro se status separately for each joint debtor, the AOUSC Statistics Division collected a single pro se status for the entire case. A case was designated as pro se if either debtor was pro se; the earlier values were '1' (At least one Debtor Pro Se) and '0' (Neither Debtor Pro Se). When loading the early data into NewSTATS, the AOUSC converted the '1' and '0' codes into 'y' and 'n' and read the information into the pro se field for Debtor1.

Beginning with CM/ECF 3.1 (October 17, 2006), certain filing information for the second debtor in joint cases was documented separately [DEBTOR2 NAME, DEBTOR2 ZIP, DEBTOR2 COUNTY, DEBTOR2 FILING PRO SE, DEBTOR2 FILING PRO SE DESCRIPTION, DEBTOR2 DATE PROSE CHANGE, DEBTOR2 PRELIMINARY DISPOSITION].

In November 2021, the FJC posted revised data sets for FY 2008 through June 30, 2021. The field D2FPRSE was impacted

in every data set. For details on the number of records updated per data set, please see [Appendix B](#).

**DEBTOR2 DATE PROSE CHANGE
(D2CHGDT)**

The date of the most recent change to the filing prose status for the second-listed debtor. This field does not maintain a history of all changes.

Beginning with CM/ECF 3.1 (October 17, 2006), certain filing information for the second debtor in joint cases was documented separately [DEBTOR2 NAME, DEBTOR2 ZIP, DEBTOR2 COUNTY, DEBTOR2 FILING PRO SE, DEBTOR2 FILING PRO SE DESCRIPTION, DEBTOR2 DATE PROSE CHANGE, DEBTOR2 PRELIIMINARY DISPOSITION].

In November 2021, the FJC posted revised data sets for FY 2008 through June 30, 2021. The field D2CHGDT was impacted in every data set. For details on the number of records updated per data set, please see [Appendix B](#).

**ORIGINAL FEE STATUS
(ORGFEESTS)**

See FEE STATUS. This is the status as reported on the first record submitted to the AOUSC.

**FEE STATUS
(FEESTS)**

Status of the payment of the filing fee. This field may be updated over the life of the case. This is the status as reported on the most current record received by the AOUSC as of the end of the snapshot period.

c = Installments completed
i = Paying in installments
n = Missing
p = Paid in full at the time of filing
u = Filing fee not paid
w = IFP, filing fee waived
Blank = Unknown

**TYPE CASE
(CASETYP)**

Distinguishes voluntary from involuntary petitions, as indicated on the petition.

i = Involuntary
v = Voluntary

Before the implementation of NewSTATS, this field was coded as '0' (Sec. 304 proceeding), '1' (Voluntary), and '2' (Involuntary). The AOUSC converted values of '1' and '2' to alpha values upon loading the historical data to NewSTATS; some values of '0' remain for early cases.

**ORIGINAL TYPE DEBTOR
(ORGBTRTYP)**

See TYPE DEBTOR. This is the status as reported on the first record submitted to the AOUSC.

**TYPE DEBTOR
(DBTRTYP)**

Legal form of the debtor, as indicated on the petition. This is the status as reported on the most current record received by the AOUSC as of the end of the snapshot period. The name and values for this variable have changed over time.

Values of '?' should be interpreted as missing.

Values for original cases filed since CM/ECF 3.1 (October 17, 2006):

i = Individual
p = Partnership
u = Corporation, Publicly/Closely Held; LLP, LLC
n = Other
! = Missing

Values for original cases filed June 1998 until October 17, 2006.

1 = Individual
2 = Corporation; Publicly Held or Closely Held
3 = Partnership
6 = Other

B = Clearing Bank
C = Commodity
H = Health Care (used as of 1/17/2005)
R = Single Asset Real Estate (used as of 1/17/2005)
X = Railroad
S = Stockbroker
0 = Non-business filing/No category checked
Blank = missing

Values for cases filed since April 1991 but before June 1998

1 = Individual
2 = Corporation Publicly Held
3 = Partnership
4 = Corporation Closely Held
5 = Municipality
6 = Other
0 = Non-Business Filing/No Category Checked
Blank = Missing

Values for cases filed before April 1991

1 = Individual
2 = Corporation Publicly Held
3 = Partnership
4 = Corporation Closely Held
0 = Non-Business Filing/No Category Checked
X = Data not collected in this format (some cases filed before July 1987)
Blank = Missing

Note that the value of '6' is not a valid code for cases filed prior to 1991, but a few such cases with this value were found in each extract.

Historical Note: In early data sets, this field was called Form of Organization. Note that the value of 'X' has two different meanings depending on the filing date of the petition ("Data not collected" for cases filed before 1991 and "Railroad" for cases filed between June 1998 and October 17, 2006). It thus can be used to help identify railroad cases, but is both under and over inclusive, and so should be used only as a flag for further inquiry. Prior to the implementation of the TYPE DEBTOR and NATURE OF BUSINESS fields, and at the time that the TYPE DEBTOR field

was labeled Form of Organization, some of the values that are now captured in the TYPE DEBTOR and NATURE OF BUSINESS fields were valid options captured in the Form of Organization field, even though the values for these three data fields are not mutually exclusive. For example, at that time, a case that was both a corporation and a railroad could only be designated as one or the other.

NATURE OF BUSINESS (NOB)

For business bankruptcies only: gives additional information about the nature of the business. As of October 17, 2006, the field was required for businesses.

Values for original cases filed beginning October 17, 2006 (most courts started using CM/ECF 3.1 of the case filing software on this date, but some courts went live up to 2 weeks before or after this date)

s = Stockbroker
c = Commodity Broker
b = Clearing Bank
x = Railroad
r = Single Asset Real Estate
h = Health Care Business
n = Non-profit Organization
o = Other
Blank = Consumer Debt

A field capturing whether a business is tax-exempt was added in CM/ECF 4.1 (January 2011). Before that time, the tax-exempt status was indicated by a value of 't' appended to the end of an otherwise valid NATURE OF BUSINESS code (e.g., 'ht' would be used to indicate a tax-exempt health care organization).

Values for original cases filed April 1991 through approximately October 17, 2006

1 = Farming
2 = Professional
3 = Retail/Wholesale
4 = Transportation
5 = Manufacturing/Mining
6 = Construction

7 = Real Estate
8 = Other Business
9 = Stockbroker or Commodity Broker
0 = Railroad/Non-Business Filing/No Category Checked
Z = Out of Range
Blank = Missing

Values for original cases filed before April 1991

1 = Farming
2 = Professional
3 = Retail/Wholesale
4 = Transportation
5 = Manufacturing/Mining
6 = Construction
7 = Real Estate
8 = Other Business
0 = Non-Business Filing/No Category Checked
X = Data not collected in this field (some cases filed before July 1987; see historical note)
Z = Out of Range
Blank = Missing

A few values of '!', '?', 'f', 'p', 'm', 't', 'u', 'unknown', 'w', and '0' are found for older cases in the extracts. FJC staff may be able to aid in their interpretation.

Historical Note. Prior to July 1987 this information was not collected separately (although different Chapter codes were used to distinguish "Stockbroker", "Commodity Broker", and "Railroad" cases). Some cases filed before July 1987 have had the more complete information entered later. For other cases an 'X' was used instead to indicate the information was not collected in a comparable manner. When the older Chapter codes stopped being used (sometime between 1987 and 1991) the "Stockbroker", "Commodity Broker", and "Railroad" designations were added to the other items in this category. The '0' value used to identify "Railroad" cases is problematic because '0' is also used as a default value for this field in nonbusiness cases (NATURE OF DEBT value = '2'). However, true railroad cases should also have a NATURE OF DEBT value = '1' (Business).

This field was not required between June 1998 and October

17, 2006. Note that in June 1998, the "Commodity Broker", "Stockbroker", and "Railroad" designations were transferred to the Form of Organization field.

**PRIOR FILING
(PRFILE)**

Whether the debtors filed a bankruptcy case at any time in the previous 8 years, as reported on the Bankruptcy Petition.

n = No
y = Yes

**ORIGINAL ESTIMATED ASSETS
(ORGEASST)**

See ESTIMATED ASSETS. This is the status as reported on the first record submitted to the AOUSC.

**ESTIMATED ASSETS
(EASST)**

The estimated total assets at the time of filing. This is the status as reported on the most current record received by the AOUSC as of the end of the snapshot period.

The values used for this field have changed over time. Prior to July 1987 a specific estimated value was entered into a numeric field. Starting in July 1987, codes describing ranges of values were used instead. Some cases that were filed before July 1987 had their asset estimates converted to the new code. For other cases an 'X' was used instead to indicate the information was not collected in a comparable manner.

This field carries three known sources of potential error for researchers. First, until the 1998 changes, the categories were described in thousands of dollars, not single dollars. This distinction was missed by some petitioners who would, for example, use category '6', to report assets of "\$10,000 to \$99,999" instead of assets between "\$10,000,000 and \$99,999,000" as intended.

Second, when values were reported in thousands of dollars, the petitioner was required to round the estimate of assets

before choosing the correct range. The categories implemented in 1998, however, define exact dollar amounts that clarify which category to choose but potentially treat differently cases that would have been subject to rounding (e.g., those with assets more than \$99,000 but less than \$100,000).

Third, when the asset categories were revised in 1991 and 1998 to make finer distinctions among large-asset cases, the revisions changed the meaning of existing categories (e.g., the interpretation of category '5' changed from "\$1,000K or more" to "\$1,000K - \$9,999K"). Similarly, category '6' (\$10,000K - \$99,999K) was replaced by both 'F' (\$10,000,001 - \$50 million) and 'G' (\$50,000,001 - \$100 million).

Researchers should use special care in interpreting data in this field.

Values for cases originally filed beginning December 01, 2007 with release of CMECF Version 3.1.6 case filing software

A = \$0 to \$50,000
B = \$50,001 to \$100,000
C = \$100,001 to \$500,000
D = \$500,001 to \$1 million
E = \$1,000,001 to \$10 million
F = \$10,000,001 to \$50 million
G = \$50,000,001 to \$100 million
H = \$100,000,001 to \$500 million
I = \$500,000,001 to \$1 billion
J = More than \$1 billion - not valid for cases filed after 11/30/2015
K = \$1,000,000,001-\$10 billion
L = \$10,000,000,001-\$50 billion
M = More than \$50 billion
0 = No category checked
Blank = Missing

Values for original cases filed after October 17, 2006 (most courts started using CM/ECF 3.1 of the case filing software on this date, but some courts went live up to 2 weeks before or after this date) until November 30, 2007.

A/P = \$0 to \$50,000

B/Q = \$50,000 to \$100,000
C/R = \$100,000 to \$1 million
D/S = \$1 million to \$100 million
E/T = more than \$100 million
0 = No category checked
Blank = Missing

During this time period, estimated asset code was not transmitted to the AOUSC. Instead the AOUSC was required to convert the actual dollar amount from the Total Assets field into the corresponding estimated asset category using the letters 'P' through 'T', which map directly to the Codes 'A' through 'E'. The letters 'P' through 'T' were used to distinguish between those cases where the code was generated from an actual dollar amount versus those cases that were transmitted to the AOUSC with a code of 'A' through 'E'.

Values for original cases filed June 1998 through approximately October 17, 2006

A = \$0 to \$50,000
B = \$50,001 to \$100,000
C = \$100,001 to \$500,000
D = \$500,001 to \$1 million
E = \$1,000,001 to \$10 million
F = \$10,000,001 to \$50 million
G = \$50,000,001 to \$100 million
H = More than \$100 million
0 = No category checked
Blank = Missing

For the time period prior to October 17, 2006 the above categories were also given these values

1 = \$0 to \$50,000
2 = \$50,001 to \$100,000
3 = \$100,001 to \$500,000
4 = \$500,001 to \$1 million
5 = \$1,000,001 to \$10 million
6 = \$10,000,001 to \$50 million
7 = \$50,000,001 to \$100 million
8 = More than \$100 million
0 = No category checked
Blank = Missing

Values for original cases filed after April 1991 but before June 1998

1 = Under \$50K
2 = \$50K - \$99K
3 = \$100K - \$499K
4 = \$500K - \$999K
5 = \$1,000K - \$9,999K
6 = \$10,000K - \$99,999K
7 = \$100,000K or more
0 = No category checked
Blank = Missing

Values for original cases filed before April 1991

1 = Under \$50K
2 = \$50K - \$99K
3 = \$100K - \$499K
4 = \$500K - \$999K
5 = \$1,000K or more
0 = No category checked
X = Data not collected in this format (some cases filed before July 1987)
Blank = Missing

Note that the value of '7' is not a valid code for cases filed prior to 1991 and the value of '8' is not a valid code for cases filed prior to 1998 but a few such cases with this value were found in each extract.

ORIGINAL ESTIMATED LIABILITIES (ORGE LBLTS)

See ESTIMATED LIABILITIES. This is the status as reported on the first record submitted to the AOUSC.

ESTIMATED LIABILITIES (ELBLTS)

The estimated total liabilities at the time of filing. This is the status as reported on the most current record received by the AOUSC as of the end of the snapshot period.

The values used for this field have changed over time. Prior to July 1987 an actual estimated value was entered into a numeric field. Starting in July 1987, codes

describing ranges of values were used instead. Some cases that were filed before July 1987 had their liability estimates converted to the new code. For other cases an 'X' was used instead to indicate the information was not collected in a comparable manner.

This field carries three known sources of potential error for researchers. First, until the 1998 changes, the categories were described in thousands of dollars, not single dollars. This distinction was missed by some petitioners who would, for example, use category '6', to report liabilities of "\$10,000 to \$99,999" instead of liabilities between "\$10,000,000 and \$99,999,000" as intended.

Second, when values were reported in thousands of dollars, the petitioner was required to round the estimate of liabilities before choosing the correct range. The categories implemented in 1998, however, define exact dollar amounts that clarify which category to choose but potentially treat differently cases that would have been subject to rounding (e.g., those with liabilities more than \$99,000 but less than \$100,000).

Third, when the liability categories were revised in 1991 and 1998 to make finer distinctions among large-liability cases, the revisions changed the meaning of existing categories (e.g., the interpretation of category '5' changed from "\$1,000K or more" to "\$1,000K - \$9,999K"). Similarly, category '6' (\$10,000K - \$99,999K) was replaced by both 'F' (\$10,000,001 - \$50 million) and 'G' (\$50,000,001 - \$100 million).

Researchers should use special care in interpreting data in this field.

Values for original cases filed beginning December 01, 2007 with release of Release 3.1.6 case filing software

A = \$0 to \$50,000
B = \$50,001 to \$100,000
C = \$100,001 to \$500,000
D = \$500,001 to \$1 million
E = \$1,000,001 to \$10 million
F = \$10,000,001 to \$50 million
G = \$50,000,001 to \$100 million

H = \$100,000,001 to \$500 million
I = \$500,000,001 to \$1 billion
J = More than \$1 billion - not valid for cases filed after 11/30/2015
K = \$1,000,000,001-\$10 billion
L = \$10,000,000,001-\$50 billion
M = More than \$50 billion
0 = No category checked
Blank = Missing

Values for original cases filed October 17, 2006 (most courts started using CM/ECF 3.1 of the case filing software on this date, but some courts went live up to 2 weeks before or after this date) until November 30, 2007.

A/P = \$0 to \$50,000
B/Q = \$50,000 to \$100,000
C/R = \$100,000 to \$1 million
D/S = \$1 million to \$100 million
E/T = more than \$100 million
0 = No category checked
Blank = Missing

During this time period, estimated liability code was not transmitted to the AOUSC. Instead the AOUSC was required to convert actual dollar amounts from the Total Liabilities field into the corresponding estimated liability category using the letters 'P' through 'T', which map directly to the Codes 'A' through 'E'. The letters 'P' through 'T' were used to distinguish between those cases where the code was generated from an actual dollar amount versus those cases that were transmitted to the AOUSC with a code of 'A' through 'E'.

Values for original cases filed June 1998 through approximately October 17, 2006

A = \$0 to \$50,000
B = \$50,001 to \$100,000
C = \$100,001 to \$500,000
D = \$500,001 to \$1 million
E = \$1,000,001 to \$10 million
F = \$10,000,001 to \$50 million
G = \$50,000,001 to \$100 million
H = More than \$100 million
0 = No category checked

Blank = Missing

For the time period prior to October 17, 2006 the above categories were also given these values:

1 = \$0 to \$50,000
2 = \$50,001 to \$100,000
3 = \$100,001 to \$500,000
4 = \$500,001 to \$1 million
5 = \$1,000,001 to \$10 million
6 = \$10,000,001 to \$50 million
7 = \$50,000,001 to \$100 million
8 = More than \$100 million
0 = No category checked
Blank = Missing

Values for original cases filed since April 1991 but before June 1998

1 = Under \$50K
2 = \$50K - \$99K
3 = \$100K - \$499K
4 = \$500K - \$999K
5 = \$1,000K - \$9,999K
6 = \$10,000K - \$99,999K
7 = \$100,000K or more
0 = No category checked
Blank = Missing

Values for original cases filed before April 1991

1 = Under \$50K
2 = \$50K - \$99K
3 = \$100K - \$499K
4 = \$500K - \$999K
5 = \$1,000K or more
0 = No category checked
X = Data not collected in this format (some cases filed before July 1987)
Blank = Missing

Note that the value of '7' is not a valid code for cases filed prior to 1991 and the value of '8' is not a valid code for cases filed prior to 1998 but a few such cases with this value were found in each extract.

**ORIGINAL ESTIMATED CREDITORS
(ORGECDTRS)**

See ESTIMATED CREDITORS. This is the status as reported on the first record submitted to the AOUSC.

**ESTIMATED CREDITORS
(ECDTRS)**

An estimate of the number of creditors at the time of filing. This is the status as reported on the most current record received by the AOUSC as of the end of the snapshot period.

The values used for this field have changed over time. Prior to 1987 an actual count taken from the schedules was entered into a numeric field. Starting in July 1987, petitioners instead were required to estimate the number using codes describing a range of values. Some cases that were filed before July 1987 had their counts converted to the new code. For other cases an 'X' was used instead to indicate the information was not collected in a comparable manner.

Values for original cases filed beginning October 17, 2006 (most courts starting using CM/ECF 3.1 of the case filing software on this date, but some courts went live up to 2 weeks before or after this date)

A = 1-49
B = 50-99
C = 100-199
D = 200-999
E = 1,000-5,000
F = 5,001- 10,000
G = 10,001 - 25,000
H = 25,001 - 50,000
I = 50,001 - 100,000
J = Over 100,000
0 = No category checked
Blank = Missing

Values for original cases filed April 1991 through approximately October 16, 2006

1 = 1-15

2 = 16-49
3 = 50-99
4 = 100-199
5 = 200-999
6 = 1,000-over
0 = No category checked
Blank = missing

The main distinction between this set of codes and the earlier one is that in 1991 the original category '4' was split into two categories changing the interpretation of categories '4' and '5'.

Values for original cases filed before April 1991

1 = 1-15
2 = 16-49
3 = 50-99
4 = 100-999
5 = 1,000-over
0 = No category checked
X = Data not collected in this format (some cases filed before July 1987)
Blank = missing

Note that the value of '6' is not a valid code for cases filed prior to 1991 but a few such cases with this value were found in the 2009 extract.

ORIGINAL ASSET CASE (ORGASSTCASE)

See ASSET CASE. This is the status as reported on the first record submitted to the AOUSC.

ASSET CASE (ASSTCASE)

Whether there will be funds available for distribution to unsecured creditors, after any exempt property is excluded and administrative expenses paid. This is the status as reported on the most current record received by the AOUSC as of the end of the snapshot period.

y = Yes
n = No

u = Unknown

**SMALL BUSINESS DEBTOR
(SMLLBUS)**

Whether a Chapter 11 debtor is a small business debtor under 11 U.S.C. 101(51D), as indicated on the Bankruptcy Petition. Data collection for this field started in 1995. It is valid for Chapter 11 cases only.

y = Yes

n = No

Blank = Missing

Before the implementation of NewSTATS, this field was coded as '0' (No/Not Applicable) and '1' (Yes). The AOUSC converted any previously numeric values to alpha values upon loading the historical data to NewSTATS. Note that the related check boxes on the Bankruptcy Petition changed in December 2005 and so interpretation of this field for cases filed before and after that time may vary accordingly.

**PREPACKAGED CASE
(PREPACK)**

This information is valid for Chapter 11 cases only and reflects whether the Bankruptcy Petition indicated a plan was being filed with the petition and whether acceptance of a plan was solicited prepetition.

P = acceptance of the plan was solicited prepetition

Y = plan was filed with petition

B = both P and Y

N = neither P nor Y

**TOTAL ASSETS
(TOTASSTS)**

This value reflects the amount of the debtor's total assets and is the sum of the debtor's real property from Schedule A and the debtor's personal property from Schedule B, as reported on Form B6 Summary of Schedules at filing. The information is provided by debtors and is not validated by the courts or the AOUSC. Mandated by BAPCPA, this field is required only for individual debtors who have predominately consumer debt.

This information reflects what is on the current record for the case at the time of the snapshot. It may differ from the information originally filed with the case if the debtor has filed amended schedules and/or an amended summary of schedules, and the clerk's office has updated the case record accordingly.

REAL PROPERTY
(REALPROP)

This value reflects the sum of the debtor's real property from Schedule A, as reported on Form B6 Summary of Schedules at filing. The information is provided by debtors and is not validated by the courts or the AOUSC. Mandated by BAPCPA, this field is required only for individual debtors who have predominately consumer debt.

This information reflects what is on the current record for the case at the time of the snapshot. It may differ from the information originally filed with the case if the debtor has filed amended schedules and/or an amended summary of schedules, and the clerk's office has updated the case record accordingly.

PERSONAL PROPERTY
(PERSPROP)

This value reflects the sum of the debtor's personal property from Schedule B, as reported on Form B6 Summary of Schedules at filing. The information is provided by debtors and is not validated by the courts or the AOUSC. Mandated by BAPCPA, this field is required only for individual debtors who have predominately consumer debt.

This information reflects what is on the current record for the case at the time of the snapshot. It may differ from the information originally filed with the case if the debtor has filed amended schedules and/or an amended summary of schedules, and the clerk's office has updated the case record accordingly.

TOTAL LIABILITIES
(TOTLBLTS)

This value reflects the amount of the debtor's total liabilities. It is the sum of the secured claims from Schedule D, the unsecured priority claims from Schedule E, and the unsecured nonpriority claims from Schedule F, as reported on Form B6 Summary of Schedules at filing. In this calculation, null values for secured claims, unsecured priority claims, and unsecured nonpriority claims are treated as zero. The information is provided by debtors and is not validated by the courts or the AOUSC. Mandated by BAPCPA, this field is required only for individual debtors who have predominately consumer debt.

The values for Total Liabilities and Total Debt may not match because null values for secured claims, priority unsecured, and nonpriority secured claims are differentially treated in the two calculations; the underlying calculation for Total Liabilities treats null values as zero whereas the calculation for Total Debt treats null values as missing, which prevents the calculation of Total Debt.

This information reflects what is on the current record for the case at the time of the snapshot. It may differ from the information originally filed with the case if the debtor has filed amended schedules and/or an amended summary of schedules, and the clerk's office has updated the case record accordingly.

SECURED CLAIMS (SECURED)

This value reflects the sum of the secured claims from Schedule D, as reported on Form B6 Summary of Schedules at filing. The information is provided by debtors and is not validated by the courts or the AOUSC. Mandated by BAPCPA, this field is required only for individual debtors who have predominately consumer debt.

This information reflects what is on the current record for the case at the time of the snapshot. It may differ from the information originally filed with the case if the debtor has filed amended schedules and/or an amended summary of schedules, and the clerk's office has updated the case record accordingly.

UNSECURED PRIORITY CLAIMS

(UNSECPR)

This value reflects the sum of unsecured priority claims from Schedule E, as reported on Form B6 Summary of Schedules at filing. The information is provided by debtors and is not validated by the courts or the AOUSC. Mandated by BAPCPA, this field is required only for individual debtors who have predominately consumer debt.

This information reflects what is on the current record for the case at the time of the snapshot. It may differ from the information originally filed with the case if the debtor has filed amended schedules and/or an amended summary of schedules, and the clerk's office has updated the case record accordingly.

**UNSECURED NONPRIORITY CLAIMS
(UNSECNPR)**

This value reflects the sum of the unsecured nonpriority claims from Schedule F, as reported on Form B6 Summary of Schedules at filing. The information is provided by debtors and is not validated by the courts or the AOUSC. Mandated by BAPCPA this field is required only for individual debtors who have predominately consumer debt.

This information reflects what is on the current record for the case at the time of the snapshot. It may differ from the information originally filed with the case if the debtor has filed amended schedules and/or an amended summary of schedules, and the clerk's office has updated the case record accordingly.

**TOTAL DEBT DISCHARGED
(DSCHRGD)**

This is the amount of the total debt that presumptively will be discharged, and is calculated by subtracting NON DISCHARGEABLE DEBT from the sum of SECURED CLAIMS, UNSECURED PRIORITY CLAIMS, and UNSECURED NONPRIORITY CLAIMS. In the calculation, null values of SECURED CLAIMS, UNSECURED PRIORITY CLAIMS, UNSECURED NONPRIORITY CLAIMS, and NON DISCHARGEABLE DEBT are treated as null rather than zero; the value therefore is not calculated when the value for any of these fields is unknown. Mandated by BAPCPA this field is required only for individual debtors who have

predominately consumer debt. It is based on assumptions about the type of debt presumptively discharged in bankruptcy cases, set forth in BAPCPA, and does not reflect the actual amount of debt discharged in any particular case.

This information reflects what is on the current record for the case at the time of the snapshot. It may differ from the information originally filed with the case if the debtor has filed Amended Schedules or an amended Statistical Summary of Certain Liabilities and Related Data, and the clerk's office has updated the case record accordingly. This information, as most of that required by 28 U.S.C. 159(c), is provided by the debtors and is not validated by the courts or the AOUSC.

**NON DISCHARGEABLE DEBT
(NDSCHRGD)**

This field reports debt from filing Schedules E and F that is predominantly non-dischargeable, and is the total of the following, as reported on the Statistical Summary of Certain Liabilities and Related Data at filing. Mandated by BAPCPA this field is required only for individual debtors who have predominately consumer debt.

- Domestic Support Obligations (from Schedule E)
- Taxes and Certain Other Debts Owed to Governmental Units (from Schedule E)
- Claims for Death or Personal Injury While Debtor Was Intoxicated (from Schedule E) (whether disputed or undisputed)
- Student Loan Obligations (from Schedule F)
- Domestic Support, Separation Agreement, and Divorce Decree Obligations Not Reported on Schedule E
- Obligations to Pension or Profit-Sharing, and Other Similar Obligations (from Schedule F)

This information reflects what is on the current record for the case at the time of the snapshot. It may differ from the information originally filed with the case if the debtor has filed Amended Schedules or an amended Statistical Summary of Certain Liabilities and Related Data, and the clerk's office has updated the case record accordingly. This information, as most of that required by

28 U.S.C. 159(c), is provided by the debtors and is not validated by the courts or the AOUSC.

TOTAL DEBT
(TOTDBT)

This is the sum of TOTAL DEBT DISCHARGED and NON DISCHARGEABLE DEBT. A null value in the NON DISCHARGEABLE DEBT field will cause the value of TOTAL DEBT to be null, but a null value in the TOTAL DEBT DISCHARGEABLE field will be treated as zero in calculating TOTAL DEBT. Mandated by BAPCPA this field is required only for individual debtors who have predominately consumer debt.

The values for TOTAL DEBT and TOTAL LIABILITIES may not match because null values for SECURED CLAIMS, UNSECURED PRIORITY CLAIMS, and UNSECURED NONPRIORITY CLAIMS are differentially treated in the two calculations; the underlying calculation for TOTAL DEBT treats null values as missing, which prevents the calculation of TOTAL DEBT, whereas the calculation for TOTAL LIABILITIES treats null values as zero.

This information reflects what is on the current record for the case at the time of the snapshot. It may differ from the information originally filed with the case if the debtor has filed Amended Schedules or an amended Statistical Summary of Certain Liabilities and Related Data, and the clerk's office has updated the case record accordingly. This information, as most of that required by 28 U.S.C. 159(c), is provided by the debtors and is not validated by the courts or the AOUSC.

CURRENT MONTHLY INCOME
(CNTMNTHI)

Current monthly income is from Line 12 of form 22A for chapter 7 debtors, Line 11 of form 22B for chapter 11 debtors, and Line 20 of form 22C for chapter 13 debtors, as reported on the Statistical Summary of Certain Liabilities and Related Data at filing. Mandated by BAPCPA, this field is required only for individual debtors who have predominately consumer debt.

This information reflects what is on the current record for the case at the time of the snapshot. It may differ from

the information originally filed with the case if the debtor has filed an amended Form 22A, B, or C and/or an amended Statistical Summary of Certain Liabilities and Related Data, and the clerk's office has updated the case record accordingly. This information, as most of that required by 28 U.S.C. 159(c), is provided by the debtors and is not validated by the courts or the AOUSC.

AVERAGE MONTHLY INCOME
(AVGMNTHI)

Average Monthly Income is from Line 12 (formerly Line 16) of Schedule I, as reported on the Statistical Summary of Certain Liabilities and Related Data at filing. Mandated by BAPCPA this field is required only for individual debtors who have predominately consumer debt.

This information reflects what is on the current record for the case at the time of the snapshot. It may differ from the information originally filed with the case if the debtor has filed an amended Schedule I and/or an amended Statistical Summary of Certain Liabilities and Related Data, and the clerk's office has updated the case record accordingly. This information, as most of that required by 28 U.S.C. 159(c), is provided by the debtors and is not validated by the courts or the AOUSC.

AVERAGE MONTHLY EXPENSES
(AVGMNTHE)

Average Monthly Expenses is from Line 22 (formerly Line 18) of Schedule J, as reported on the Statistical Summary of Certain Liabilities and Related Data at filing. Mandated by BAPCPA this field is required only for individual debtors who have predominately consumer debt.

This information reflects what is on the current record for the case at the time of the snapshot. It may differ from the information originally filed with the case if the debtor has filed an amended Schedule J and/or an amended Statistical Summary of Certain Liabilities and Related Data, and the clerk's office has updated the case record accordingly. This information, as most of that required by 28 U.S.C. 159(c), is provided by the debtors and is not validated by the courts or the AOUSC.

**SOURCE CASE NUMBER
(SRCCASE)**

When a case is transferred, the source case number on the case record in the transferee office/district contains unique identifying information about the case from which the transfer occurred.

When a case has been split off from its original case, the source case number on the case record for the resulting case contains unique identifying information about the case from which the split occurred.

The Source Case Number is a 15-character code in which:

Char. 1 and 2: identify the circuit
Char. 3 and 4: identify the district
Char. 5: identifies the office
Char. 6, 7, 8, 9, 10, 11, and 12: is the Case Number (YYNNNNN)
Char. 13: is the generation of case (see GENERATION)
Char 14: is the sequence of case (see SEQUENCE)
Char 15: is the origin of the case (see ORIGIN)

**DESTINATION CASE NUMBER
(DSTNCASE)**

When a case is transferred, the destination case number on the case record in the transferor office/district contains unique identifying information about the case in the transferee office/district.

When a case has been split from its original case, the destination case number on the original case record contains unique identifying information about the case that was split off.

The Destination Case Number is a 15-character code in which:

Char. 1 and 2: identify the circuit
Char. 3 and 4: identify the district
Char. 5: identifies the office
Char. 6, 7, 8, 9, 10, 11, and 12: is the Case Number (YYNNNNN)
Char. 13: is the generation of case (see GENERATION)

Char 14: is the sequence of case (see SEQUENCE)
Char 15: is the origin of the case (see ORIGIN); if origin
is null, this character is populated with '0'.

**CONSOLIDATED LEAD CASE NUMBER
(CNSLLEAD)**

If a case has been substantively consolidated with another case, this field contains the information for the lead case for the set of consolidated cases.

Note: This field is blank for the lead case. At this time, the record for the lead case itself contains no flag that other cases have been consolidated with it.

Consolidated Lead Case Number is a 15-character code in which:

Char. 1 and 2: identify the circuit
Char. 3 and 4: identify the district
Char. 5: identifies the office
Char. 6, 7, 8, 9, 10, 11, and 12: is the Case Number
(YYNNNNN)
Char. 13: is the generation of case (see GENERATION)
Char 14: is the sequence of case (see SEQUENCE)
Char 15: is the origin of the case (see ORIGIN); if origin
is null, this character is populated with '0'.

**JOINTLY ADMINISTERED CASE NUMBER
(JNTLEAD)**

If a case has been or is being jointly administered with another case, this field contains the information for the lead case for the set of jointly administered cases.

Note: This field is blank for the lead case. At this time, the record for the lead case itself contains no flag that other cases have been or are being jointly administered with it.

Jointly Administered Case Number is a 15-character code in which:

Char. 1 and 2: identify the circuit
Char. 3 and 4: identify the district
Char. 5: identifies the office

Char. 6, 7, 8, 9, 10, 11, and 12: is the Case Number (YYNNNNNN)
Char. 13: is the generation of case (see GENERATION)
Char 14: is the sequence of case (see SEQUENCE)
Char 15: is the origin of the case (see ORIGIN); if origin is null, this character is populated with '0'.

**FILING CMECF VERSION
(FLCMECFV)**

The version of CM/ECF the court was using at the time the filing record was transmitted to AOUSC, which may or may not reflect the version of CM/ECF in place when the case was filed.

**CLOSING DATE
(CLOSEDT)**

Date case was considered "closed" for statistical purposes (e.g., entry of final decree or dismissal).

For Chapter 11 cases, a case can be considered "closed" if the plan is confirmed and fees to professionals have been fixed by court order; often this occurs within 6 months after confirmation of the plan. Closing of Chapter 11 cases does not stop the court's jurisdiction in post-confirmation issues. Courts differ in when and under what circumstances they close Chapter 11 cases.

Blank = Still Pending

**CLOSING CALENDAR YEAR
(CLOSECY)**

The calendar year the case was considered "closed" for statistical purposes.

**CLOSING FISCAL YEAR
(CLOSEFY)**

The fiscal year the case was considered "closed" for statistical purposes.

**CLOSING CHAPTER
(CLCHPT)**

The chapter of the Bankruptcy Code under which the case was closed in the bankruptcy court. This may differ from original chapter if the case was converted from one chapter to another.

The codes are the same as those used for ORIGINAL FILING CHAPTER and CURRENT CHAPTER.

**DEBTOR1 CLOSING PROSE
(D1CPRSE)**

Whether the first-listed debtor was pro se at the time the case was closed.

n = Not pro se
y = Pro se

This information was first collected with CM/ECF 3.1 (October 17, 2006).

In November 2021, the FJC posted revised data sets for FY 2008 through June 30, 2021. The field D1CPRSE was impacted in every data set. For details on the number of records updated per data set, please see [Appendix B](#).

**DEBTOR1 FINAL DISPOSITION
(D1FDSP)**

The manner in which the case was disposed of for the first-listed debtor.

Note about cases filed before 10/17/2006: Note that cases filed before July 1987 used a slightly different set of disposition codes wherein "Discharge Revoked" cases are coupled with "Discharge Denied" rather than with "Discharge Waived" as they are later. "Petition Dismissed" information was captured in a separate field. Since this is a termination field, the codes valid at the time of termination should apply, meaning all cases terminated in July 1987 or later but before October 2006 should be using the newer codes. A chapter 7 corporation or partnership should be coded a '4' or '5'. Chapter 11 cases with a confirmed plan should be coded '1'.

Values used beginning October 17, 2006 (most courts started using CM/ECF 3.1 of the case filing software on this date, but some courts went live up to 2 weeks before or after this date). Codes 'T', 'U', 'X', 'Y', and 'Z' may be newer than October 17, 2016.

A = Standard Discharge
B = Hardship Discharge
D = Discharge Not Applicable
E = Discharge Denied
F = Discharge Waived
G = Discharge Revoked
H = Dismissed for Failure to Pay Filing Fee
I = Dismissed for Failure to File Information
J = Dismissed for Abuse
K = Dismissed for Other Reason
L = Inter-District Transfer
M = Intra-District Transfer
N = Discharge Withheld for Failure to Submit Certification of Financial Management Course and Pay Domestic Support Obligation
O = Discharge Withheld for Failure to Submit Certification of Financial Management Course
P = Discharge Withheld for Failure to Comply with Domestic Support Obligation
R = Homestead Exemption/Felony Conviction
S = Discharge Withheld for Other Reasons
T = Dismissed for Failure to Make Plan Payments (beginning with CM/ECF 3.3.1, 12/22/2008)
U = Dismissed for Failure to Pay Filing Fee and to File Information (beginning with CM/ECF 3.3.1, 12/22/2008)
X = Filed in Error (beginning with CM/ECF 3.3.1, 12/22/2008)
Y = Split or Deconsolidated (beginning with CM/ECF 3.3.2, 05/27/2009)
Z = Closed in Error (beginning with CM/ECF 3.3.1, 12/22/2008)

Values for cases filed April 1991 through approximately October 17, 2006

1 = Discharge Granted
2 = Discharge Denied

3 = Discharge Waived/Revoked
4 = Discharge Not Applicable
5 = Petition Dismissed
6 = Transferred to Another District
7 = Intra-District Transfer
8 = Other Court Purpose
0 = No Category Checked
Blank = Missing/Case Still Pending

Values for cases filed since July 1987 but before April 1991

1 = Discharge Granted
2 = Discharge Denied
3 = Discharge Waived/Revoked
4 = Discharge Not Applicable
5 = Petition Dismissed
0 = No Category Checked
Blank = Missing/Case Still Pending

Values for cases filed since October 1979 but before July 1987

1 = Discharge Granted
2 = Discharge Denied/Revoked
3 = Discharge Waived

**DEBTOR1 FINAL DISPOSITION DATE
(D1FDSPDT)**

Date on which the final disposition for the first-listed debtor was entered.

**DEBTOR1 FINAL DISPOSITION CALENDAR YEAR
(D1FDSPCY)**

The calendar year in which the final disposition for the first-listed debtor was entered.

**DEBTOR1 FINAL DISPOSITION FISCAL YEAR
(D1FDSPFY)**

The fiscal year in which the final disposition for the first-listed debtor was entered.

DEBTOR2 CLOSING PROSE

(D2CPRSE)

Whether the second-listed debtor was pro se at case closing.

n = Not Pro Se

y = Yes Pro Se

Collection of this information began with CM/ECF V. 3.1 (October 17, 2006).

**DEBTOR2 FINAL DISPOSITION
(D2FDSP)**

The manner in which the case was disposed of for the second-listed debtor. This information was first collected under CM/ECF Version 3.3.1, which was released to the courts on December 22, 2008, with no required adoption date. If a joint case was terminated with an earlier version of CM/ECF, the Debtor2 disposition fields will be blank.

See the applicable Codes under DEBTOR1 FINAL DISPOSITION.

**DEBTOR2 FINAL DISPOSITION DATE
(D2FDSPDT)**

The date on which the final disposition for the second-listed debtor was entered.

**DEBTOR2 FINAL DISPOSITION CALENDAR YEAR
(D2FDSPCY)**

The calendar year in which the final disposition for the second-listed debtor was entered.

**DEBTOR2 FINAL DISPOSITION FISCAL YEAR
(D2FDSPFY)**

The fiscal year in which the final disposition for the second-listed debtor was entered.

**CHAPTER 11 PERCENT DIVIDEND
(C11DVDND)**

In Chapter 11 cases with a confirmed plan, this field contains the percentage dividend to be paid to the general

class of unsecured debtors under the confirmed plan. It is entered by the court and is derived from the confirmed plan.

**CHAPTER 11 FUTURE PAYMENTS
(C11FTRPAY)**

In Chapter 11 cases with a confirmed plan, this field indicates whether any future payments are due under the confirmed plan. Many Chapter 11 cases are administratively closed before payments under the plan are complete. It is entered by the court.

y = yes
n = no

**CLOSING CMECF VERSION
(CLCMECFV)**

The version of CM/ECF the court was using at the time the case closing record was transmitted to the AOUSC, which may or may not reflect the version of CM/ECF in place when the case was filed.

**TAX EXEMPT
(TAXEXEMPT)**

Indicates whether a business is a tax-exempt (non-profit) organization. Collected since CM/ECF 4.1 (January 2011).

n = No
y = Yes

This information was previously collected in the NATURE OF BUSINESS field.

Appendix A - District Codes

Code of the federal judicial districts used with fields,
District, Judge Home District, Closing Judge Home District.

00 - Maine	47 - Ohio - Northern
01 - Massachusetts	48 - Ohio - Southern
02 - New Hampshire	49 - Tennessee - Eastern
03 - Rhode Island	50 - Tennessee - Middle
04 - Puerto Rico	51 - Tennessee - Western
05 - Connecticut	52 - Illinois - Northern
06 - New York - Northern	53 - Illinois - Central
07 - New York - Eastern	54 - Illinois - Southern
08 - New York - Southern	55 - Indiana - Northern
09 - New York - Western	56 - Indiana - Southern
10 - Vermont	57 - Wisconsin - Eastern
11 - Delaware	58 - Wisconsin - Western
12 - New Jersey	60 - Arkansas - Eastern
13 - Pennsylvania - Eastern	61 - Arkansas - Western
14 - Pennsylvania - Middle	62 - Iowa - Northern
15 - Pennsylvania - Western	63 - Iowa - Southern
16 - Maryland	64 - Minnesota
17 - North Carolina - Eastern	65 - Missouri - Eastern
18 - North Carolina - Middle	66 - Missouri - Western
19 - North Carolina - Western	67 - Nebraska
20 - South Carolina	68 - North Dakota
22 - Virginia - Eastern	69 - South Dakota
23 - Virginia - Western	7- - Alaska
24 - West Virginia - Northern	70 - Arizona
25 - West Virginia - Southern	71 - California - Northern
26 - Alabama - Northern	72 - California - Eastern
27 - Alabama - Middle	73 - California - Central
28 - Alabama - Southern	74 - California - Southern
29 - Florida - Northern	75 - Hawaii
3A - Florida - Middle	76 - Idaho
3C - Florida - Southern	77 - Montana
3E - Georgia - Northern	78 - Nevada
3G - Georgia - Middle	79 - Oregon
3J - Georgia - Southern	80 - Washington - Eastern
3L - Louisiana - Eastern	81 - Washington - Western
3N - Louisiana - Middle	82 - Colorado
36 - Louisiana - Western	83 - Kansas
37 - Mississippi - Northern	84 - New Mexico
38 - Mississippi - Southern	85 - Oklahoma - Northern
39 - Texas - Northern	86 - Oklahoma - Eastern
40 - Texas - Eastern	87 - Oklahoma - Western

41 - Texas - Southern
42 - Texas - Western
43 - Kentucky - Eastern
44 - Kentucky - Western
45 - Michigan - Eastern
46 - Michigan - Western

88 - Utah
89 - Wyoming
90 - District of Columbia
91 - Virgin Islands
93 - Guam
94 - Northern Mariana Islands

-8 - Missing

Appendix B – Number of Revised Records per Variable and Data Set in November 2021 Update

Number of Records per Variable with a Different Value in Revised Data Sets Compared to Historic Data Sets						
Data Set	ORGFLCHP	D1ZIP	D1CNTY	ORGD1FPRSE	D1FPRSE	D1CHGDT
9/30/2008	1	116	6	7,309	111	204
9/30/2009	1	62	4	6,267	62	108
9/30/2010	1	41	4	5,941	40	46
9/30/2011	1	24	3	5,684	26	27
9/30/2012	1	16	3	5,284	17	16
9/30/2013	1	5	1	5,100	6	11
9/30/2014	1	2	1	4,897	3	8
9/30/2015	1	86,863	79,639	4,822	470	1,612
9/30/2016	1	19,017	17,714	4,921	229	777
9/30/2017	0	10,722	9,830	1,850	119	466
9/30/2018	0	5,600	4,904	1,750	72	288
9/30/2019	30,801	2,698	2,364	4	33	125
9/30/2020	38,193	665	633	165	9	30
6/30/2021	0	109	102	0	2	5

Data Set	D2ZIP	D2CNTY	ORGD2FPRSE	D2FPRSE	D2CHGDT	D1CPRSE
9/30/2008	95	88	1,036	97	13,122	422
9/30/2009	46	42	1,178	44	14,024	205
9/30/2010	12	7	1,245	10	9,253	65
9/30/2011	6	4	1,347	5	6,435	40
9/30/2012	5	4	1,307	4	4,458	24
9/30/2013	1	1	1,255	0	2,896	12
9/30/2014	1	1	1,242	0	1,539	5
9/30/2015	45,320	44,548	1,208	205	1,585	67,210
9/30/2016	10,263	10,039	1,209	87	1,106	11,537
9/30/2017	5,642	5,489	308	57	828	5,014
9/30/2018	2,737	2,601	269	37	671	3,164
9/30/2019	1,305	1,247	42	626	44	1,400
9/30/2020	346	338	84	158	11	1,364
6/30/2021	56	53	1	23	1	103