

## Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) SJT INC ROCKPORT PAWN & JEWELRY 3035 HWY 35 N ROCKPORT, TX 78382, ARANSAS		2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 782110-2018-0205-B1B		
		3. PERMIT/LICENSE NUMBER 574000021B03645	4a. TARGET DATE	4b. TARGET HOURS
5. REQUESTED BY (SIGNATURE, TITLE AND DATE)				
6. ATF OFFICER(S) ASSIGNED (b) (6) Lead Investigator				
7. ASSIGNED BY (SIGNATURE, TITLE AND DATE) (b) (6) Area Supervisor, 02/09/2018				
8. PURPOSE/SPECIAL INSTRUCTIONS				
9. INSPECTION RESULTS <input type="checkbox"/> CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC				
NO. OF VIOLATIONS	5	NO. OF REFERRALS		
NO. OF TECS CHECKS	161	NO. OF TECS HITS		
NO. OF TAX ADJUSTMENTS		\$ VALUE OF TAX INCREASES	2111 - PER DIEM	
		\$ VALUE OF TAX DECREASES	2112 - P.O.A.	
NO. OF ASSESSMENTS		\$ VALUE OF ASSESSMENTS	2113 - COMM. AIR	
NO. OF CLAIMS		\$ VALUE OF CLAIMS	2114 - RENTAL CAR	
NO. OF TAX PERIODS		\$ VALUE OF TAXES VERIFIED	2115 - GPV EXPENSES	
			2116 - MISC.	
			TOTAL \$ FOR INSP.	
11. ATF OFFICER'S RECOMMENDATION Submitted by (b) (6) - Industry Operations Investigator  Submitted on: 03/14/2018  Viols WL ONLY and No Recall Inspection				
12. TIME ACCOUNTING DATA				
ATF OFFICER'S NAME (MONTH, YEAR, HOURS) (b) (6)				
FEB 2018		14.00		
MAR 2018		28.00		
ATF OFFICER'S SUBTOTAL		42.00	ATF OFFICER'S SIGNATURE	
TOTAL HOURS		42.00		
13. REVIEW AND ROUTING				
REVIEW COMMENTS AND RECOMMENDATION Viols WL ONLY and No Recall Inspection				
ROUTING SEQUENCE AND DATE				
<input type="checkbox"/> 1. _____				
<input type="checkbox"/> 2. _____				
<input type="checkbox"/> 3. _____				
<input type="checkbox"/> 4. _____				
CONTROL FILE POSTED DATE _____				

## Report of Violations

### Instructions

Please write firmly with a ball point pen when completing this form. ATF officers will prepare this form in triplicate. The original copy will be given to the proprietor or a responsible representative. The remaining copies will be submitted with the completed inspection report. Supervisors will detach one copy from the completed report for their files.

Name of Proprietor SJT INC ROCKPORT PAWN & JEWELRY	Street Address 3035 HWY 35 N	City ROCKPORT	State TX	Zip Code 78382-	County ARANSAS	Page 1 of 5 Pages
License/Permit/Registry Number (If any) 574000021B03645	Expiration Date 2/1/2021	Date(s) or Period of Inspection 02/27/2018 through 03/01/2018				

### Inspection Results

An examination of your premises, records and operations has disclosed the following violations which have been explained to you:

Number: 1

#### Nature of Violation:

Failure to obtain and/or furnish all information required in each ATF Form 4473 as indicated by the headings on the form and the instructions on or pertaining to it on four forms:

8/10/17 - (b) (6) - Item 11.a. Are you the actual buyer of the firearm(s) listed on this form? - No  
4/17/17 - (b) (6) - Item 11.a. Are you the actual buyer of the firearm(s) listed on this form? - No  
6/1/17 - (b) (6) - Item 11.a. Are you the actual buyer of the firearm(s) listed on this form? - Blank  
10/4/17 - (b) (6) - Item 11.a. Are you the actual buyer of the firearm(s) listed on this form? - No

Citation: 27 CFR 478.21(a)

#### Date Corrections to be Made:

(If not corrected immediately)

#### Corrective Action to be Taken:

(If not corrected immediately)

Ms. Murphy was instructed of her responsibility to review executed ATF Forms 4473 for completeness and accuracy before transferring a firearm to a non-licensee. The licensee was instructed to implement a secondary review process to ensure that the ATF Forms 4473 are complete, accurate and correct.

Report of Violations

Instructions

Please write firmly with a ball point pen when completing this form. ATF officers will prepare this form in triplicate. The original copy will be given to the proprietor or a responsible representative. The remaining copies will be submitted with the completed inspection report. Supervisors will detach one copy from the completed report for their files.

Name of Proprietor SJT INC ROCKPORT PAWN & JEWELRY	Street Address 3035 HWY 35 N	City ROCKPORT	State TX	Zip Code 78382-	County ARANSAS	Page 2 of 5 Pages
License/Permit/Registry Number (If any) 574000021B03645		Expiration Date 2/1/2021	Date(s) or Period of Inspection 02/27/2018 through 03/01/2018			

Inspection Results

An examination of your premises, records and operations has disclosed the following violations which have been explained to you:

Number: 2

Nature of Violation:

Failure to obtain a properly completed ATF Form 4473, Section A, prior to making an over-the-counter transfer of a firearm to a non-licensee, who is a resident of the State in which the licensee's premises are located, on three forms:

- 8/10/17 - (b) (6) - Item 11.d. Are you a fugitive from justice? - Blank
- 4/26/17 - (b) (6) - Item 15. Certification date - Blank
- 4/17/17 - (b) (6) - Item 11.f. Have you ever been adjudicated as a mental defective? - Yes

Citation: 27 CFR 478.124(c)(1)

Date Corrections to be Made:  
(If not corrected immediately)

Corrective Action to be Taken: Ms. Murphy was instructed of her responsibility to review executed ATF Forms 4473 for completeness and accuracy before transferring a firearm to a non-licensee. The licensee was instructed to implement a secondary review process to ensure that the ATF Forms 4473 are complete, accurate and correct.



## Report of Violations

### Instructions

Please write firmly with a ball point pen when completing this form. ATF officers will prepare this form in triplicate. The original copy will be given to the proprietor or a responsible representative. The remaining copies will be submitted with the completed inspection report. Supervisors will detach one copy from the completed report for their files.

Name of Proprietor SJT INC ROCKPORT PAWN & JEWELRY	Street Address 3035 HWY 35 N	City ROCKPORT	State TX	Zip Code 78382-	County ARANSAS	Page 3 of 5 Pages
License/Permit/Registry Number (If any) 574000021B03645	Expiration Date 2/1/2021	Date(s) or Period of Inspection 02/27/2018 through 03/01/2018				

### Inspection Results

An examination of your premises, records and operations has disclosed the following violations which have been explained to you:

Number: 3

#### Nature of Violation:

Failure to comply with the requirements of Section 478.102 and record on the ATF Form 4473 the date on which the licensee contacted NICS, as well as any responses or identification number provided by the system, on nine forms:

10/21/17 (b) (6) Item 19.d. (Follow up NICS response) - Blank  
11/10/17 (b) (6) Item 19.d. (Follow up NICS response) - Blank  
4/26/17 (b) (6) Item 19.d. (Follow up NICS response) - Blank  
2/20/18 (b) (6) Item 19.d. (Follow up NICS response) - Blank  
2/15/18 (b) (6) Item 19.d. (Follow up NICS response) - Blank  
12/20/17 (b) (6) Item 19.d. (Follow up NICS response) - Blank  
10/25/17 (b) (6) Item 19.d. (Follow up NICS response) - Blank  
1/23/18 (b) (6) Item 19.d. (Follow up NICS response) - Blank  
10/10/17 (b) (6) Item 19.d. (Follow up NICS response) - Blank

Citation: 27 CFR 478.124(e)(3)(iv)

#### Date Corrections to be Made:

(If not corrected immediately)

#### Corrective Action to be Taken:

(If not corrected immediately)

Ms. Murphy was instructed of her responsibility to review executed ATF Forms 4473 for completeness and accuracy before transferring a firearm to a non-licensee. The licensee was instructed to implement a secondary review process to ensure that the ATF Forms 4473 are complete, accurate and correct.



Report of Violations

Instructions

Please write firmly with a ball point pen when completing this form. ATF officers will prepare this form in triplicate. The original copy will be given to the proprietor or a responsible representative. The remaining copies will be submitted with the completed inspection report. Supervisors will detach one copy from the completed report for their files.

Name of Proprietor SJT INC ROCKPORT PAWN & JEWELRY	Street Address 3035 HWY 35 N	City ROCKPORT	State TX	Zip Code 78382-	County ARANSAS	Page 4 of 5 Pages
License/Permit/Registry Number (If any) 574000021B03645	Expiration Date 2/1/2021	Date(s) or Period of Inspection 02/27/2018 through 03/01/2018				

Inspection Results

An examination of your premises, records and operations has disclosed the following violations which have been explained to you:

Number: 4

Nature of Violation:

Failure to prepare and submit ATF Form 3310.4 Report of Multiple Sale or Other Disposition of Pistols and Revolvers, whenever the licensee sells or otherwise disposes of, at one time during any five consecutive business days, two or more pistols, revolvers, or any combination of pistols and revolvers totaling two or more, to an unlicensed person (b)(3) Pub Law instances;

12/22/17 – HEWITT, Carrie – Purchased a Ruger, SR22, .22 cal pistol SN# (b) (6), and a Bersa, Thunder, .380 cal pistol SN# (b) (6)

10/25/17 – STIERWALT, Hal – Purchased a Ruger, Standard, .22 cal pistol SN#13-56716, and a Glock, 22, .40 cal pisto (b) (6)

No ATF Form 3310.4, Report of Multiple Sale was submitted;

Citation: 27 CFR 478.126a

Date Corrections to be Made:  
(If not corrected immediately)

Corrective Action to be Taken: (If not corrected immediately) The licensee submitted ATF Form 3310.4, Report of Multiple Sale to the ATF National Tracing Center. In the future, the licensee will prepare and submit an ATF Form 3310.4 for all multiple handgun sales. A query of the E-Trace system shows the National Tracing Center received the multiple sale report.

Report of Violations

Instructions

Please write firmly with a ball point pen when completing this form. ATF officers will prepare this form in triplicate. The original copy will be given to the proprietor or a responsible representative. The remaining copies will be submitted with the completed inspection report. Supervisors will detach one copy from the completed report for their files.

Name of Proprietor SJT INC ROCKPORT PAWN & JEWELRY	Street Address 3035 HWY 35 N	City ROCKPORT	State TX	Zip Code 78382-	County ARANSAS	Page 5 of 5 Pages
License/Permit/Registry Number (If any) 574000021B03645	Expiration Date 2/1/2021	Date(s) or Period of Inspection 02/27/2018 through 03/01/2018				

Inspection Results

An examination of your premises, records and operations has disclosed the following violations which have been explained to you:

Number: 5	Date Corrections to be Made: (If not corrected immediately)
Nature of Violation: Failure to refrain from selling or otherwise disposing of a firearm to a person known or suspected to be prohibited (b)(3) Pub Law Form: 9/23/17 - (b) (6) - Item 12.b. - Have you ever renounced your United States citizenship? - Yes.	Corrective Action to be Taken: Ms. Murphy was instructed of her responsibility to review executed ATF Forms 4473 for completeness and accuracy before transferring a firearm to a non-licensee. The licensee was instructed to implement a secondary review process to ensure that the ATF Forms 4473 are complete, accurate and correct.
Citation: 27 CFR 478.99(c)	

I Have Received a Copy of This Report of Violations (Proprietor's signature and title) Maurice Murphy	Date 3/1/18
(b) (6)	Date 3/1/18

# FIREARMS INSPECTION REPORT

Name: **SJT, Inc.**  
Trade Name: **Rockport Pawn & Jewelry**

UI#: **782110-2018-0205-B1B**  
FFL#: **5-74-007-02-1B-03645**

Address: **3035 Hwy 35 N**  
**Rockport, TX 78382**

## 1 - Introduction

### Inspection Profile:

On February 27, 2018, Industry Operations Investigator (b) (6) conducted a firearms compliance inspection (Southwest Border DE) at the business premises of SJT Inc. d/b/a Rockport Pawn & Jewelry, a Type 02 Federal Firearms Licensee (FFL), at 3035 Hwy 35 North, Rockport, TX, 78382. No other federal, state, or local agencies were present during the inspection. Store Manager, Phuc Van Tran, was interviewed and identified with his Texas driver's license, DL (b) (6) showing DOB: (b) (6) along with Responsible Person, Maureen Murphy, Texas DL (b) (6) DOB: (b) (6) (Exhibit 1). The period of inspection was from February 27, 2017 to February 27, 2018. The on-site inspection commenced on February 27, 2018 and was completed on March 1, 2018, when the Report of Violations and the Acknowledgement of Federal Firearms Regulations was reviewed with the licensee. Advanced notification of the inspection was not provided.

### Business Profile:

SJT Inc., hereafter referred to as Rockport Pawn, operates as a licensed pawnshop that provides secured cash loans and buys and sells an assortment of used consumer goods, including jewelry, electronics, appliances, musical instruments, sporting goods, tools, and firearms. The business is registered with the Office of Consumer Credit Commissioner (OCCC) and is licensed with the state of Texas under pawn license number 7504 (Exhibit 2). Rockport Pawn possesses a Type 02 Federal Firearms License as a dealer and pawnbroker of firearms other than destructive devices. The license was originally issued on January 6, 2009 and is the only ATF license possessed by the licensee at this location. The licensee conducts retail sales of used firearms, provides cash loans for firearms brought in as collateral, and returns firearms redeemed from pawn. The licensee buys and sells used handguns, hunting rifles, and shotguns. During the period of inspection, the licensee acquired (b) (4) firearms and disposed of (b) (4) firearms. The licensee does not sell NFA firearms, provide gunsmith services, or conduct business online or at gun shows. There is no off-site storage of firearms.

The business is conducted from a commercial storefront in Rockport, Texas (urban). The premises are owned by Maureen Murphy as verified with the Aransas County Appraisal District (Exhibit 3). There are no other businesses located on the premises. The licensee is compliant with all state and local laws,



# FIREARMS INSPECTION REPORT

Name: **SJT, Inc.**  
Trade Name: **Rockport Pawn & Jewelry**

UI#: **782110-2018-0205-B1B**  
FFL#: **5-74-007-02-1B-03645**

including zoning. Rockport Pawn possesses an active Texas Sales and Use Tax Permit with taxpayer number 17429193364 (**Exhibit 4**) and the Texas Comptroller shows the Franchise Tax Account Status is active (**Exhibit 5**).

## **Ownership and Control:**

SJT Inc. is registered with the Texas Secretary of State as a domestic for profit corporation (**Exhibit 6**). The original date of filing for the entity in Texas was on April 30, 1999. The corporation is 100% owned by Maureen Murphy.

The current list of officers shows Maureen Murphy as President, Vice-President, and Treasurer, and Mr. Brian Grahmann as Secretary (**Exhibit 7**). SJT Inc. possesses an assumed name certificate to conduct business in the state of Texas under the name Rockport Pawn & Jewelry.

Phuc Van Tran is the store manager. NCIC and N-Force queries were conducted on Mr. Tran and Ms. Murphy, yielding negative results. There have been no unreported changes in the corporation and hidden ownership is not suspected.

## **Variance:**

The licensee does not possess any approved variances and none were requested during the inspection.

## **2 - Recommendation**

Viols WL ONLY and No Recall Inspection

## **3 - Inspection History**

There have been three inspections conducted within the last five years.

**Date of Inspection:** May 19, 2016  
**Type of Inspection:** Amended Qualification  
**UI#:** 782110-2016-0311-B1B  
**Inspection Results:** Application Approved  
**Cited Violations:** N/A

**Date of Inspection:** October 13, 2015  
**Type of Inspection:** Compliance  
**UI#:** 782110-2016-0018-B1B  
**Inspection Results:** Viols WL ONLY and No Recall Inspection  
**Cited Violations:** 27 CFR 478.102(a), 27 CFR 478.129(b)

# FIREARMS INSPECTION REPORT

Name: SJT, Inc.  
Trade Name: Rockport Pawn & Jewelry

UI#: 782110-2018-0205-B1B  
FFL#: 5-74-007-02-1B-03645

Date of Inspection: February 12, 2014  
Type of Inspection: Compliance  
UI#: 782110-2014-0062-B1B  
Inspection Results: No Viols No Further Action No Referrals  
Cited Violations: None

## **4 - Acquisition & Disposition (A&D) Record - Inventory**

Rockport Pawn had 159 firearms in inventory. The A&D record book was inspected and there were (b)(3)(F) pen entries. All firearms were matched to the open entries in the A&D record book. The licensee maintains a proprietary computerized A&D record which complies with ATF Ruling 2016-1. The A&D record book was in the proper format. All of the required information was accurate and the entries were made in a timely manner. There were no thefts or losses reported for the inspection period. No trafficking issues related to acquisition and disposition of firearms were uncovered as a result of this inspection.

Acquisition and disposition entries are logged in the Acquisition & Disposition (A&D) record immediately following the acquisition or disposition of a firearm. Rockport Pawn conducts daily inventory counts to account for all firearms. A physical inventory is conducted quarterly to reconcile any discrepancies between inventory and A&D record books.

## **5 - ATF Forms 4473 – NICS & Other Dispositions**

There were 402 ATF Forms 4473 on file for the last 12 months. All the forms were reviewed and fifteen forms were found to contain errors. (See ROV Items 1, 2, 3, 4, and 5, Worksheet 2, Exhibits 9, 10, 11, 12, and 13). A sample of (b)(3)(F) ATF Forms 4473 were cross-referenced to the A&D Record to check for accuracy and no discrepancies were found. Forms are maintained in chronological order. The licensee conducts transfers to other licensees by obtaining a copy of their FFL. There were no sales to law enforcement officers conducted within the last 12 months. There were no trafficking issues resulting from the review of the ATF Forms 4473. The FFL Audit Log reported (b)(3)(F) proceed transactions (b)(3)(F) delayed (b)(3)(F) open, and (b)(3)(F) denied, for a total of (b)(3)(F) transactions within the last 60 days from the date the report was requested. The FFL Audit Log was cross-referenced with ATF Forms 4473 on file to check for accuracy.

## **6 - Multiple Sales**

A query of the E-Trace system indicates the licensee had 1 multiple sale within the last 12 months involving (b)(3)(F) firearms. There were (b)(3)(F) unreported multiple sales involving (b)(3)(F) firearms. (See ROV Item 4, Worksheet 2, Exhibit 12).

# FIREARMS INSPECTION REPORT

Name: **SJT, Inc.**  
Trade Name: **Rockport Pawn & Jewelry**

UI#: **782110-2018-0205-B1B**  
FFL#: **5-74-007-02-1B-03645**

## **7 - Suspicious/Prohibited Purchasers**

There were no suspicious or prohibited purchasers discovered during the inspection.

## **8 - Trace Activity**

A query of the E-Trace system disclosed that the licensee was associated with (b)(3)Pub.L trace within the last 12 months.

NCIC queries on (b)(3)Pub.L firearms in the licensee's inventory yielded negative results for stolen firearms.

## **9 - NFA/Importer/Collector/Manufacturer**

The licensee does not deal in NFA firearms and is not an importer, collector, or manufacturer of firearms or ammunition.

## **10 - Referrals**

No referrals were generated as a result of this inspection.

## **11 - Other**

The licensee is compliant with both the Youth Handgun Safety Act (YHSA) and the Child Safety Lock Act. A YHSA poster is displayed on the premises and notices are provided to customers. The licensee also provides a trigger lock with each handgun transferred.

## **12 - Closing Actions**

On March 1, 2018, Investigator (b) (6) conducted a closing conference with Ms. Maureen Murphy, Responsible Person, and Mr. Phuc Van Tran, Store Manager. Investigator (b) (6) discussed the inspection results and the Report of Violations with Ms. Murphy and Mr. Tran. The ATF Forms 4473 with violations were reviewed and discussed and the licensee was given the opportunity to ask any questions. Ms. Murphy signed and dated the Report of Violations and was provided with a copy for her records. The Acknowledgement of Federal Firearms Regulations was also reviewed and Ms. Murphy was given the opportunity to ask questions and address any concerns. Ms. Murphy signed and dated the Acknowledgement of Federal Firearms Regulations and was provided a copy for her records (**Exhibit 8**). The licensee was informed that the 2014 version of the Federal Firearms Regulations Reference Guide is available online and was provided with the following reference materials:



# FIREARMS INSPECTION REPORT

Name: **SJT, Inc.**  
Trade Name: **Rockport Pawn & Jewelry**

UI#: **782110-2018-0205-B1B**  
FFL#: **5-74-007-02-1B-03645**

- Important Notice: Selling Firearms after Revocation, Expiration, or Surrender of an FFL
- ATF P 5380.1, Loss Prevention for Firearms Retailers
- ATF Ruling 2016-1, Electronic Acquisition and Disposition Recordkeeping
- ATF Contact Information

## 13 - Violations

### 1. **27 CFR 478.21(a)**

#### **Nature of Violation:**

Failure to obtain and/or furnish all information required in each ATF Form 4473 as indicated by the headings on the form and the instructions on or pertaining to it, on four forms:

8/10/17 - (b) (6) Item 11.a. Are you the actual buyer of the firearm(s) listed on this form? - No

4/17/17 - (b) (6) - Item 11.a. Are you the actual buyer of the firearm(s) listed on this form? - No

6/1/17 - (b) (6) - Item 11.a. Are you the actual buyer of the firearm(s) listed on this form? - Blank

10/4/17 - (b) (6) Item 11.a. Are you the actual buyer of the firearm(s) listed on this form? - No

#### **Licensee Response:**

Ms. Murphy stated is was an oversight on their part and it was just a careless mistake. She stated they will implement a secondary review of the forms to check for accuracy before the firearm is transferred.

#### **Corrective Action:**

Ms. Murphy was instructed of her responsibility to review executed ATF Forms 4473 for completeness and accuracy before transferring a firearm to a non-licensee. The licensee was instructed to implement a secondary review process to ensure that the ATF Forms 4473 are complete, accurate and correct.

### 2. **27 CFR 478.124(c)(1)**

#### **Nature of Violation:**

Failure to obtain a properly completed ATF Form 4473, Section A, prior to making an over-the-counter transfer of a firearm to a non-licensee, who is a resident of the State in which the licensee's premises are located, (b)(3) Pub Law 112-55 forms:

## FIREARMS INSPECTION REPORT

Name: **SJT, Inc.**  
Trade Name: **Rockport Pawn & Jewelry**

UI#: **782110-2018-0205-B1B**  
FFL#: **5-74-007-02-1B-03645**

8/10/17 (b) (6) - Item 11.d. Are you a fugitive from justice? - Blank  
4/26/17 (b) (6) - Item 15. Certification date - Blank  
4/17/17 - (b) (6) - Item 11.f. Have you ever been adjudicated as a mental defective? - Yes

### Licensee Response:

Ms. Murphy stated is was an oversight on their part and it was just a careless mistake. She stated they will implement a secondary review of the forms to check for accuracy before the firearm is transferred.

### Corrective Action:

Ms. Murphy was instructed of her responsibility to review executed ATF Forms 4473 for completeness and accuracy before transferring a firearm to a non-licensee. The licensee was instructed to implement a secondary review process to ensure that the ATF Forms 4473 are complete, accurate and correct.

### 3. 27 CFR 478.124(c)(3)(iv)

#### Nature of Violation:

Failure to comply with the requirements of Section 478.102 and record on the ATF Form 4473 the date on which the licensee contacted NICS, as well as any responses or identification number provided by the system, on nine forms:

10/21/17 (b) (6) - Item 19.d. (Follow up NICS response) - Blank  
11/10/17 (b) (6) - Item 19.d. (Follow up NICS response) - Blank  
4/26/17 (b) (6) - Item 19.d. (Follow up NICS response) - Blank  
2/20/18 (b) (6) - Item 19.d. (Follow up NICS response) - Blank  
2/15/18 (b) (6) - Item 19.d. (Follow up NICS response) - Blank  
12/20/1 (b) (6) - Item 19.d. (Follow up NICS response) - Blank  
10/25/17 (b) (6) - Item 19.d. (Follow up NICS response) - Blank  
1/23/18 (b) (6) - Item 19.d. (Follow up NICS response) - Blank  
10/10/1 (b) (6) - Item 19.d. (Follow up NICS response) - Blank

### Licensee Response:

Ms. Murphy stated is was an oversight on their part and it was just a careless mistake. She stated they will implement a secondary review of the forms to check for accuracy before the firearm is transferred.

### Corrective Action:

Ms. Murphy was instructed of her responsibility to review executed ATF Forms 4473 for completeness and accuracy before transferring a firearm to a non-licensee. The licensee was instructed to implement a secondary review process to ensure that the ATF Forms 4473 are complete, accurate and correct.

## FIREARMS INSPECTION REPORT

Name: SJT, Inc.  
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UI#: 782110-2018-0205-B1B  
FFL#: 5-74-007-02-1B-03645

4. **27 CFR 478.126(a)**

**Nature of Violation:**

Failure to prepare and submit ATF Form 3310.4 Report of Multiple Sale or Other Disposition of Pistols and Revolvers, whenever the licensee sells or otherwise disposes of, at one time during any five consecutive business days, two or more pistols, revolvers, or any combination of pistols and revolvers totaling two or more, to an unlicensed person (b)(6) instances:

12/22/17 – (b)(6) – Purchased a Ruger, SR22, .22 cal pistol SN (b)(6) and a Bersa, Thunder, .380 cal pistol (b)(6)

10/25/17 – (b)(6) Purchased a Ruger, Standard, .22 cal pistol SN (b)(6) (b)(6) and a Glock, 22, .40 cal pistol SN# (b)(6)

No ATF Form 3310.4, Report of Multiple Sale was submitted.

**Licensee Response:**

Ms. Murphy stated is was an oversight on their part and it was just a careless mistake. She stated they will implement a secondary review of the forms to check for accuracy before the firearm is transferred.

**Corrective Action:**

The licensee submitted ATF Form 3310.4, Report of Multiple Sale to the ATF National Tracing Center. In the future, the licensee will prepare and submit an ATF Form 3310.4 for all multiple handgun sales. A query of the E-Trace system shows the National Tracing Center received the multiple sale report.

5. **27 CFR 478.99(c)**

**Nature of Violation:**

Failure to refrain from selling or otherwise disposing of a firearm to a person known or suspected to be prohibited (b)(6) form:

9/23/17 - (b)(6) Item 12.b. - Have you ever renounced your United States citizenship? - Yes.

**Licensee Response:**

Ms. Murphy stated is was an oversight on their part and it was just a careless mistake. She stated they will implement a secondary review of the forms to check for accuracy before the firearm is transferred.



# FIREARMS INSPECTION REPORT

Name: SJT, Inc.  
Trade Name: Rockport Pawn & Jewelry

UI#: 782110-2018-0205-B1B  
FFL#: 5-74-007-02-1B-03645

## Corrective Action:

Ms. Murphy was instructed of her responsibility to review executed ATF Forms 4473 for completeness and accuracy before transferring a firearm to a non-licensee. The licensee was instructed to implement a secondary review process to ensure that the ATF Forms 4473 are complete, accurate and correct.

 Expired certificate

X (b) (6)

Industry Operations Investigator  
Signed by: (b) (6)

## Index of Worksheets and Exhibits

### Worksheets

#### Informational Page

Worksheet 1- Inventory A&D Review Worksheet

Worksheet 2- ATF F 4473 Review Worksheet (2012 edition)

Worksheet 2- ATF F 4473 Review Worksheet (2016 edition)

#### Statistical Page

Exhibit 1: TXDL Images – (b) (6) (b) (6)

Exhibit 2: Texas Pawnbroker License

Exhibit 3: Texas Sales and Use Tax Permit

Exhibit 4: Franchise Tax Account Status

Exhibit 5: Texas Secretary of State Registration

Exhibit 6: List of Officers/Directors

Exhibit 7: Aransas County Appraisal District Property Search

Exhibit 8: Acknowledgement of Federal Firearms Regulations

Exhibit 9: Violation #1 – ATF Forms 4473

Exhibit 10: Violation #2 - ATF Forms 4473

Exhibit 11: Violation #3 – ATF Forms 4473

Exhibit 12: Violation #4 – ATF Forms 4473

Exhibit 13: Violation #5 – ATF Form 4473



**U.S. Department of Justice**

Bureau of Alcohol, Tobacco,  
Firearms and Explosives

*McAllen II Area Office*

---

McAllen, TX 78501

[www.atf.gov](http://www.atf.gov)

March 15, 2018

782110: (b) (6)  
5370

**WARNING LETTER**

SJT, Inc.  
d/b/a Rockport Pawn & Jewelry  
3035 Hwy 35 N  
Rockport, TX 78382

Re: Federal Firearms License Number: 5-74-007-02-1B-03645

Dear Ms. Murphy:

As a result of a recent compliance inspection conducted by the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) at your firearms business located at 3035 Hwy 35 N, Rockport, TX 78382 on February 27, 2017 through February 27, 2018, you were cited for violations of 27 Code of Federal Regulations, Part 478. The violations were discussed with you during the inspection. A copy of the Report of Violations, ATF Form 5030.5, issued at the time of the inspection is enclosed.

All violations were fully explained to you by ATF Industry Operations Investigator IOI (b) (6). You indicated that you understood the requirements of the firearms laws and regulations as a licensee. You further indicated that corrective actions would be taken to eliminate future violations.

The records you are required to maintain and the business operations you conduct are important to law enforcement in our continuing efforts to reduce violent crime and protect the public. It is essential that you comply with all Federal laws and regulations that govern your firearms

Ms. Murphy

Federal Firearms License Number: 5-74-007-02-1B-03645

business. ATF appreciates the efforts you and other industry members make in this area, and we look forward to continuing to work with you in that regard.

You are reminded that retention of your Federal firearms license is conditional upon compliance with Federal laws and regulations. Because the violations cited in this most recent inspection were fully explained to you and you stated you understood your compliance responsibilities as a licensee, any future violations, either repeat or otherwise, could be viewed as willful and may result in the revocation of your license. Please ensure that future compliance is achieved.

Should you have any questions regarding this matter, please contact Industry Operations Investigator IOI (b) (6)

Sincerely,

(b) (6)

Area Supervisor

cc: Federal Firearms Licensing Center  
McAllen II Area Office

Attachment



## Report of Violations

### Instructions

Please write firmly with a ball point pen when completing this form. ATF officers will prepare this form in triplicate. The original copy will be given to the proprietor or a responsible representative. The remaining copies will be submitted with the completed inspection report. Supervisors will detach one copy from the completed report for their files.

Name of Proprietor SJT INC ROCKPORT PAWN & JEWELRY	Street Address 3035 HWY 35 N	City ROCKPORT	State TX	Zip Code 78382-	County ARANSAS	Page 1 of 5 Pages
License/Permit/Registry Number (If any) 574000021B03645		Expiration Date 2/1/2021	Date(s) or Period of Inspection 02/27/2018 through 03/01/2018			

### Inspection Results

An examination of your premises, records and operations has disclosed the following violations which have been explained to you:

Number: 1

#### Nature of Violation:

Failure to obtain and/or furnish all information required in each ATF Form 4473 as indicated by the headings on the form and the instructions on or pertaining to it on four forms:

- 8/10/17 - (b) (6) - Item 11.a. Are you the actual buyer of the firearm(s) listed on this form? - No
- 4/17/17 - (b) (6) - Item 11.a. Are you the actual buyer of the firearm(s) listed on this form? - No
- 6/1/17 - (b) (6) - Item 11.a. Are you the actual buyer of the firearm(s) listed on this form? - Blank
- 10/4/17 - (b) (6) - Item 11.a. Are you the actual buyer of the firearm(s) listed on this form? - No

Citation: 27 CFR 478.21(a)

#### Date Corrections to be Made:

(If not corrected immediately)

#### Corrective Action to be Taken:

(If not corrected immediately)

Ms. Murphy was instructed of her responsibility to review executed ATF Forms 4473 for completeness and accuracy before transferring a firearm to a non-licensee. The licensee was instructed to implement a secondary review process to ensure that the ATF Forms 4473 are complete, accurate and correct.

## Report of Violations

### Instructions

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License/Permit/Registry Number (If any) 574000021B03645		Expiration Date 2/1/2021	Date(s) or Period of Inspection 02/27/2018 through 03/01/2018			

### Inspection Results

An examination of your premises, records and operations has disclosed the following violations which have been explained to you:

Number: 2

#### Nature of Violation:

Failure to obtain a properly completed ATF Form 4473, Section A, prior to making an over-the-counter transfer of a firearm to a non-licensee, who is a resident of the State in which the licensee's premises are located, (b)(6) forms:

8/10/17 (b)(6) - Item 11.d. Are you a fugitive from justice? - Blank  
4/26/17 (b)(6) - Item 15. Certification date - Blank  
4/17/17 (b)(6) - Item 11.f. Have you ever been adjudicated as a mental defective - yes

Citation: 27 CFR 478.124(c)(1)

Date Corrections to be Made:  
(If not corrected immediately)

Corrective Action to be Taken: Ms. Murphy was instructed of her responsibility to review executed ATF Forms 4473 for completeness and accuracy before transferring a firearm to a non-licensee. The licensee was instructed to implement a secondary review process to ensure that the ATF Forms 4473 are complete, accurate and correct.  
(If not corrected immediately)

## Report of Violations

### Instructions

Please write firmly with a ball point pen when completing this form. ATF officers will prepare this form in triplicate. The original copy will be given to the proprietor or a responsible representative. The remaining copies will be submitted with the completed inspection report. Supervisors will detach one copy from the completed report for their files.

Name of Proprietor SJT INC ROCKPORT PAWN & JEWELRY	Street Address 3035 HWY 35 N	City ROCKPORT	State TX	Zip Code 78382-	County ARANSAS	Page 3 of 5 Pages
License/Permit/Registry Number (If any) 574000021B03645		Expiration Date 2/1/2021	Date(s) or Period of Inspection 02/27/2018 through 03/01/2018			

### Inspection Results

An examination of your premises, records and operations has disclosed the following violations which have been explained to you:

Number: 3

#### Nature of Violation:

Failure to comply with the requirements of Section 478.102 and record on the ATF Form 4473 the date on which the licensee contacted NICS, as well as any responses or identification number provided by the system, (b)(3) Pub Law 115 forms:

10/21/17 - (b) (6) Item 19.d. (Follow up NICS response) - Blank  
11/10/17 - (b) (6) Item 19.d. (Follow up NICS response) - Blank  
4/26/17 - (b) (6) Item 19.d. (Follow up NICS response) - Blank  
2/20/18 - (b) (6) Item 19.d. (Follow up NICS response) - Blank  
2/15/18 - (b) (6) Item 19.d. (Follow up NICS response) - Blank  
12/20/17 - (b) (6) Item 19.d. (Follow up NICS response) - Blank  
10/25/17 - (b) (6) Item 19.d. (Follow up NICS response) - Blank  
1/23/18 - (b) (6) Item 19.d. (Follow up NICS response) - Blank  
10/10/17 - (b) (6) Item 19.d. (Follow up NICS response) - Blank

Citation: 27 CFR 478.124(c)(3)(iv)

#### Date Corrections to be Made:

(If not corrected immediately)

#### Corrective Action to be Taken:

(If not corrected immediately)

Ms. Murphy was instructed of her responsibility to review executed ATF Forms 4473 for completeness and accuracy before transferring a firearm to a non-licensee. The licensee was instructed to implement a secondary review process to ensure that the ATF Forms 4473 are complete, accurate and correct.



## Report of Violations

### Instructions

Please write firmly with a ball point pen when completing this form. ATF officers will prepare this form in triplicate. The original copy will be given to the proprietor or a responsible representative. The remaining copies will be submitted with the completed inspection report. Supervisors will detach one copy from the completed report for their files.

Name of Proprietor SJT INC ROCKPORT PAWN & JEWELRY	Street Address 3035 HWY 35 N	City ROCKPORT	State TX	Zip Code 78382-	County ARANSAS	Page 4 of 5 Pages
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### Inspection Results

An examination of your premises, records and operations has disclosed the following violations which have been explained to you:

Number: 4

#### Nature of Violation:

Failure to prepare and submit ATF Form 3310.4 Report of Multiple Sale or Other Disposition of Pistols and Revolvers, whenever the licensee sells or otherwise disposes of, at one time during any five consecutive business days, two or more pistols, revolvers, or any combination of pistols and revolvers totaling two or more, to an unlicensed person (b)(3)/Pub Law instances:

12/22/17 – HEWITT, Carrie – Purchased a Ruger, SR22, .22 cal pistol (b)(6) and a Bersa, Thunder, .380 cal pistol (b)(6)

10/25/17 – STIERWALT, Hal – Purchased a Ruger, Standard, .22 cal pistol (b)(6) and a Glock, 22, .40 cal pistol (b)(6)

No ATF Form 3310.4, Report of Multiple Sale was submitted.

Citation: 27 CFR 478.126a

#### Date Corrections to be Made:

(If not corrected immediately)

#### Corrective Action to be Taken:

(If not corrected immediately)

The licensee submitted ATF Form 3310.4, Report of Multiple Sale to the ATF National Tracing Center. In the future, the licensee will prepare and submit an ATF Form 3310.4 for all multiple handgun sales. A query of the E-Trace system shows the National Tracing Center received the multiple sale report.

## Report of Violations

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### Inspection Results

An examination of your premises, records and operations has disclosed the following violations which have been explained to you:

Number: 5

#### Nature of Violation:

Failure to refrain from selling or otherwise disposing of a firearm to a person known or suspected to be prohibited **(b)(6)** form:

9/23/17 - **(b)(6)** - Item 12.b. - Have you ever renounced your United States citizenship? - Yes.

Citation: 27 CFR 478.99(c)

#### Date Corrections to be Made:

(If not corrected immediately)

#### Corrective Action to be Taken:

(If not corrected immediately)

Ms. Murphy was instructed of her responsibility to review executed ATF Forms 4473 for completeness and accuracy before transferring a firearm to a non-licensee. The licensee was instructed to implement a secondary review process to ensure that the ATF Forms 4473 are complete, accurate and correct.

I Have Received a Copy of This Report of Violations (Proprietor's signature and title)

*Marian Murphy*

Sig

**(b)(6)**

Date

3/1/18

Date

3/1/18