

## Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) MOCK & SONS ENTERPRISES INC RON'S GUNS 2917 OLD MIDEN ROAD SUITE C BOSSIER CITY, LA 71112, BOSSIER		2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 777070-2015-0166-B1B		
		3. PERMIT/LICENSE NUMBER 572015028G00855	4a. TARGET DATE 4/13/2015	4b. TARGET HOURS
		5. REQUESTED BY (SIGNATURE, TITLE AND DATE)		

  

6. ATF OFFICER(S) ASSIGNED (b)(6) - Lead Investigator (b)(6) - Assigned Investigator (b)(6) - Assigned Investigator (b)(6) - Assigned Investigator	
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7. ASSIGNED BY (SIGNATURE, TITLE AND DATE) (b)(6), Area Supervisor, 03/30/2015	
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8. PURPOSE/SPECIAL INSTRUCTIONS	
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9. INSPECTION RESULTS <input type="checkbox"/> CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC		10. TRAVEL EXPENSES (OPTIONAL)		
NO. OF VIOLATIONS	6	NO. OF REFERRALS	2111 - PER DIEM	
NO. OF TECS CHECKS	44	NO. OF TECS HITS	2112 - P.O.A.	
NO. OF TAX ADJUSTMENTS		\$ VALUE OF TAX INCREASES	2113 - COMM. AIR	
		\$ VALUE OF TAX DECREASES	2114 - RENTAL CAR	
NO. OF ASSESSMENTS		\$ VALUE OF ASSESSMENTS	2115 - GPV EXPENSES	
NO. OF CLAIMS		\$ VALUE OF CLAIMS	2116 - MISC.	
NO. OF TAX PERIODS		\$ VALUE OF TAXES VERIFIED	TOTAL \$ FOR INSP.	

  

11. ATF OFFICER'S RECOMMENDATION Submitted by (b)(6) - Senior Investigator  Submitted on: 10/20/2015  Viols WC with WL and Recall	
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12. TIME ACCOUNTING DATA	
ATF OFFICER'S NAME (MONTH, YEAR, HOURS) (b)(6)	
JAN 0	8.00
APR 0	8.00
JUN 0	16.00
AUG 0	32.00
SEP 0	38.00
ATF OFFICER'S SUBTOTAL	102.00
ATF OFFICER'S SIGNATURE	
ATF OFFICER'S NAME (MONTH, YEAR, HOURS) (b)(6)	
MAR 0	7.00
AUG 0	35.00
ATF OFFICER'S SUBTOTAL	42.00
ATF OFFICER'S SIGNATURE	
ATF OFFICER'S NAME (MONTH, YEAR, HOURS) (b)(6)	
AUG 0	24.00
ATF OFFICER'S SUBTOTAL	24.00
ATF OFFICER'S SIGNATURE	
TOTAL HOURS	168.00

## Assignment and Report

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	3. PERMIT/LICENSE NUMBER 572015028G00855	4a. TARGET DATE 4/13/2015	4b. TARGET HOURS
	5. REQUESTED BY (SIGNATURE, TITLE AND DATE)		

### 13. REVIEW AND ROUTING

#### REVIEW COMMENTS AND RECOMMENDATION

Viols WC with WL and Recall

☒ REVIEWED    ☒ CONCUR    ☐ SEE COMMENTS    ☐ FINAL DISPOSITION

#### SIGNATURE AND TITLE

(b)(6) - Senior Operations Officer

#### REVIEW DATE

10/08/2015

#### REVIEW COMMENTS AND RECOMMENDATION

see PII dated 10/20/15, MDWREN

Viols WC with WL and Recall

☒ REVIEWED    ☒ CONCUR    ☒ SEE COMMENTS    ☒ FINAL DISPOSITION

#### SIGNATURE AND TITLE

MDWREN - DIO

#### REVIEW DATE

10/20/2015

#### ROUTING SEQUENCE AND DATE

- ☐ 1. \_\_\_\_\_
- ☐ 2. \_\_\_\_\_
- ☐ 3. \_\_\_\_\_
- ☐ 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 MOCK & SONS ENTERPRISES INC RON'S GUNS	Street Address 2917 OLD MIDEN ROAD SUITE C	City BOSSIER CITY	State LA	Zip Code 71112-	County BOSSIER	Page 1 of 3 Pages
License/Permit/Registry Number (If any) 572015028G00855		Expiration Date 7/1/2018	Date(s) or Period of Inspection 08/19/2015 through 09/09/2015			

### 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:

The licensee failed to obtain all required answers from the transferee prior to the transfer of a firearm.

- \*Item #3 was incorrect on (b)(3) - 112 Public Form.
- \*Items #11d and #11j were omitted on (b)(3) - 112 Public Form.
- \*Item #11d was blank on (b)(3) - 112 Public Form.
- \*Item #17 was blank on (b)(3) - 112 Public Forms.

Citation: 27 CFR 478.124(c)(1)

#### Date Corrections to be Made:

(If not corrected immediately)

#### Corrective Action to be Taken:

(If not corrected immediately)

The licensee was instructed to obtain all required answers from the transferee prior to the transfer of a firearm.

Number: 2

#### Nature of Violation:

The licensee failed to verify the identity of the transferee.

- \*Item #20a was incorrect on (b)(3) - 112 Public Form.

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

#### Date Corrections to be Made:

(If not corrected immediately)

#### Corrective Action to be Taken:

(If not corrected immediately)

The licensee was instructed to always verify the identity of the transferee prior to the transfer of a firearm and to obtain Alternate Documentation when the address listed in Section A is not the same as the address on the Identification provided by the transferee.

## 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 MOCK & SONS ENTERPRISES INC RON'S GUNS	Street Address 2917 OLD MIDEN ROAD SUITE C	City BOSSIER CITY	State LA	Zip Code 71112-	County BOSSIER	Page 2 of 3 Pages
License/Permit/Registry Number (If any) 572015028G00855	Expiration Date 7/1/2018	Date(s) or Period of Inspection 08/19/2015 through 09/09/2015				

### 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:

The licensee failed to record the information received from NICS on ATF Form 4473.

\*Item #21c was omitted on (b)(3) - 112 Public Ls Form.  
\*Item #21d was omitted on (b)(3) - 112 Public Ls SS Forms.

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)

The licensee was instructed to record the information received from NICS on ATF Form 4473 and to complete Item #21d if the initial response from NICS is "delay".

Number: 4

#### Nature of Violation:

The licensee failed to correctly identify the firearm being transferred on ATF Form 4473.

\*Items #29 and #30 were omitted on (b)(3) - 112 Public Ls Form.

Citation: 27 CFR 478.124(c)(4)

#### Date Corrections to be Made:

(If not corrected immediately)

#### Corrective Action to be Taken:

(If not corrected immediately)

The discrepancy was corrected during the inspection.



## 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 MOCK & SONS ENTERPRISES INC RON'S GUNS	Street Address 2917 OLD MIDEN ROAD SUITE C	City BOSSIER CITY	State LA	Zip Code 71112-	County BOSSIER	Page 3 of 3 Pages
License/Permit/Registry Number (If any) 572015028G00855	Expiration Date 7/1/2018	Date(s) or Period of Inspection 08/19/2015 through 09/09/2015				

### 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:

The licensee failed to prepare a report of Multiple Sales or Other Disposition (ATF Form 3310.4) for handgun transactions when two (2) or more handguns are purchased within five (5) business days in [REDACTED] instance, involving [REDACTED] and guns.

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 prepared and submitted ATF Form 3310.4 for the unreported multiple sales.

Number: 6

#### Nature of Violation:

The licensee failed to accurately maintain the Acquisition and Disposition Record.

\*In [REDACTED] instances, firearms listed in the book inventory could not be located in the physical inventory. [REDACTED] firearms were transferred either to other dealers or on ATF Forms 4473 and not logged out of the bound record. [REDACTED] firearms were unaccounted for and reported on ATF Form 3310.11, Federal Firearms Licensee Firearms Inventory Theft/Loss Report as "missing".

Citation: 27 CFR 478.125(e)

#### Date Corrections to be Made:

(If not corrected immediately)

#### Corrective Action to be Taken:

(If not corrected immediately)

The bound record was corrected during the inspection. [REDACTED] firearms were reported as "missing" on ATF Form 3310.11, Federal Firearms Licensee Firearms Inventory Theft/Loss Report.

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

Date

09-10-2015

Signature and Title of ATF Officer

(b)(6)

FOE, ATF

Date

9/10/15

# FIREARMS INSPECTION REPORT

**Name:** Mock & Sons Enterprises Inc.  
**Trade Name:** Ron's Guns

**UI#:** 777070-2015-0166-B1B  
**FFL#:** 5-72-015-02-8G-00855

**Address:** 2917 Old Minden Road Suite C  
Bossier City, LA 71112

## 1 - Introduction

### Inspection Profile:

An onsite compliance inspection was conducted by Industry Operations Investigators (b)(6) from August 19-21, 2015, and September 9-10, 2015. Mr. Gene Mock, Secretary-Treasurer/Responsible Person, was identified by his Louisiana Driver's License (b)(6) and interviewed during the course of the inspection. The inspection was started on August 19, 2015 with a closing conference conducted on September 10, 2015.

This was a DE high risk firearms inspection which covered a period from August 19, 2014 to September 10, 2015. Advance notification of the inspection was not given.

### Business Profile:

Mock & Sons Enterprises Inc. operates a pawn shop and retail firearms shop under the name Ron's Guns. Ron's Guns sells new and used handguns and long guns as well as ammunition and firearms accessories. In addition, Ron's Guns operates as a pawnbroker. During the past twelve (12) months, the licensee acquired (b)(4) firearms and disposed of approximately (b)(4) firearms.

The total numbers acquired include approximately (b)(4) (b)(4) long guns and (b)(4) handguns. (b)(4) The licensee transferred approximately (b)(4) (b)(4) long guns (b)(4) and (b)(4) handguns (b)(4).

The primary suppliers are (b)(4) along with used firearms obtained from non-licensees. Firearms sales are not conducted at gun shows at this time. Regulations for the sale of firearms at gun shows were discussed with Mr. Gene Mock, Secretary-Treasurer.

Ron's Guns is active with regard to internet purchases through their website, rons-guns.com.

All firearms are currently being stored on-site.

# FIREARMS INSPECTION REPORT

**Name:** Mock & Sons Enterprises Inc.  
**Trade Name:** Ron's Guns

**UI#:** 777070-2015-0166-B1B  
**FFL#:** 5-72-015-02-8G-00855

The business premise is a commercial storefront in the commercial business area of Bossier City, Louisiana. The business premises are managed by Mr. Gene Mock with a phone number of (318)-393-3046. The licensee owns the property where the business is located.

Ron's Guns has IRS EIN (b)(3) - 26 USC 6103, LA State Tax ID #: (b)(3) - 26 USC 6103 and Bossier City LA Sales Tax #: (b)(3) - 26 USC 6103 Bossier City Occupational License #: 15-00003257 along with Louisiana State Pawn License #: 931011-653251. All licenses and permits are valid and Ron's Guns is in compliance with all other State and local laws. Ron's Guns has held a license since June 2003.

## **Ownership and Control:**

Mock & Sons Enterprises Inc. is a local corporation controlled by Ronald Leon Mock, President, and Gene Mock, Secretary-Treasurer, and is in "Good Standing" as listed with the LA Secretary of State's website. Ronald Leon Mock and Gene Mock are the sole officers and Responsible Persons listed in the corporation.

There have been no other changes to responsible persons and there is no indication of hidden ownership.

## **Variance:**

Ron's Guns maintains a variance for a computerized bound record. The bound record was examined and appeared to contain all required information in the proper format.

## **2 - Recommendation**

Violations with Warning Conference, Warning Letter and Recall

## **3 - Inspection History**

<b>Date of Inspection:</b>	August 11, 2009
<b>Type of Inspection:</b>	Firearms Compliance
<b>UI#:</b>	777040-2009-0188-B1B
<b>Inspection Results:</b>	Violations and Recall Inspection
<b>Cited Violations:</b>	27 CFR 478.124(c)(3)(i) – Licensee failed to obtain a valid identification document from the licensee, (b)(3) - 112 Public instance. Block 20a was blank in (b)(3) - 112 Public instance.



# FIREARMS INSPECTION REPORT

**Name:** Mock & Sons Enterprises Inc.  
**Trade Name:** Ron's Guns

**UI#:** 777070-2015-0166-B1B  
**FFL#:** 5-72-015-02-8G-00855

27 CFR 478.124(c)(1) – Licensee failed to ensure Transferee was not prohibited by the Act. (b)(3) - 112 Public Law 552 instance block 11d on the ATF Form 4473 was blank.

27 CFR 478.124(c)(3)(i) – Licensee failed to record all information provided by the NICS system on the ATF Form 4473, (b)(3) - 112 Public Law 552 instances.

27 CFR 478.125(e) - Licensee failed to maintain an accurate acquisition/disposition record, (b)(3) - 112 Public Law 552 firearms recorded as acquisitions were not found in the physical inventory.

**Date of Inspection:** February 1, 2007

**Type of Inspection:** RECALL Compliance

**UI#:** 777040-2007-0081-B1B

**Inspection Results:** Violations and Warning Letter

**Cited Violations:** 27 CFR 478.124(c)(3)(i) – (b)(3) - 112 Public Law 552 instance was noted where an Arkansas Driver's License was accepted for a Louisiana resident and (b)(3) - 112 Public Law 552 instance was noted where Item #20 was omitted on ATF Form 4473.

27 CFR 478.124(c)(3)(iv) – Licensee failed to complete information in Item #21 on ATF Forms 4473 (b)(3) instances).

27 CFR 478.21(a) – Licensee failed to have Items #24-25 completed on ATF Forms 4473 (b)(3) instance).

27 CFR 478.125(c) – Licensee failed to properly maintain acquisition/disposition record (b)(3) firearms in the book inventory were not located in the physical inventory).

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

A full inventory was conducted where all of the firearms in inventory were compared to the A&D Record. The licensee was utilizing and maintaining a computer-generated A&D Record. All entries were in the proper format and the licensee was in possession of a variance for alternate records.

The physical count revealed that there were one thousand five hundred seventy-seven (1,577) firearms in inventory. The A&D Record showed that there were (b)(3) - 112 Public Law 552 open spaces. A review of the Acquisition and Disposition Record revealed (b)(3) - 112 Public Law 552 discrepancies. In (b)(3) - 112 Public Law 552 instances, firearms listed in the physical inventory could not be located in the book inventory. (b)(3) - 112 Public Law 552

# FIREARMS INSPECTION REPORT

**Name:** Mock & Sons Enterprises Inc.  
**Trade Name:** Ron's Guns

**UI#:** 777070-2015-0166-B1B  
**FFL#:** 5-72-015-02-8G-00855

firearms were transferred on ATF Forms 4473 and not logged out while (b)(3) - 112 Public Law 55 125 Stat 552 firearm was transferred to another dealer and not logged out of the book. (b)(3) - 112 Public Law 55 125 Stat 552 firearms were unaccounted for and reported on ATF Form 3310.11, Federal Firearms Licensee Inventory Theft/Loss Report as "missing". **See Section 13 Violations, Report of Violation #6, Exhibit # 27 and Worksheet #1.** The bound record is in the proper format and, as noted by the violations, in some instances the licensee does not make timely entries. Gene Mock indicated that firearms are logged into the bound book by his wife, Donna Mock, when they are received. Donna Mock also is responsible for logging out the disposition information in the bound record from the ATF Forms 4473 at the end of each day.

IOI (b)(3) - 112 Public traced ten (10) firearms from acquisition through disposition through the licensee's records with no discrepancies found. No illegal firearms, or firearms with obliterated serial numbers, were discovered. No trafficking indicators were disclosed during the inspection. There were no theft/loss reported during the inspection period.

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

There were (b)(3) - 112 Public Law 55 125 Stat 552 ATF Forms 4473 on file for the past twelve (12) months. There were (b)(3) - 112 Public Law 55 125 denied forms on file for the past twelve (12) months. Transfers to other licensees were being conducted properly. There were no sales to law enforcement officers. The FFL Audit Log contained four hundred thirty-four (434) NICS Transaction Numbers and thirty-two (32) were confirmed for accuracy. A review of (b)(3) - 112 Public Law 55 125 Stat 552 forms on file revealed the following violations:

### 27 CFR 478.124(c)(1):

- Item #3 was incorrect on (b)(3) - 112 Public Form.
- Items #11d and #11j were omitted on (b)(3) - 112 Public Form.
- Item #11d was blank on (b)(3) - 112 Public Form.
- Item #17 was blank on (b)(3) - 112 Public Forms.

### 27 CFR 478.124(c)(3)(i):

- Item #20a was incorrect on (b)(3) - 112 Public Form.

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

- In (b)(3) - 112 Public instance, Item #21c was blank.
- In (b)(3) - 112 Public Law 55 125 instances, Item #21d was blank.

### 27 CFR 478.124(c)(4):

- In (b)(3) - 112 Public instance each, Items #28 and #30 were blank.
- In (b)(3) instances, Item #29 was blank or incorrect.

**Refer to Section 13 Violations, Report of Violations #1-4, and Worksheet #2.**

# FIREARMS INSPECTION REPORT

**Name:** Mock & Sons Enterprises Inc.  
**Trade Name:** Ron's Guns

**UI#:** 777070-2015-0166-B1B  
**FFL#:** 5-72-015-02-8G-00855

Criminal history checks were conducted on individuals with omissions in Item #11, the transferee with an improper identification document and all transferees where omissions occurred in Items #21c and #21d. The results were negative and no disabling hits were obtained.

Gene Mock indicated that once the ATF Forms 4473 are completed, they are examined by his wife, Donna Mock, before she logs the firearm out of the bound book.

## **6 - Multiple Sales**

According to the Violent Crime Analysis Branch (VCAB) report for Ron's Guns, there were (b)(3) - 112 Public Law 55 125 Stat 552 Multiple Sales involving (b)(3) - 112 Public Law 55 125 Stat 552 handguns, associated with this licensee. There were (b)(3) - 112 Public Law 55 125 Stat 552 unreported multiple sales involving (b)(3) - 112 Public Law 55 125 Stat 552 handguns discovered during this inspection. The following discrepancy was disclosed:

The licensee failed to prepare ATF F 3310.4, Report of Multiple Sale or Other Disposition for Handgun transactions when (b)(3) - 112 Public Law 55 125 Stat 552 or more handguns are purchased within five (5) business days in (b)(3) - 112 Public Law 55 125 Stat 552 instance involving (b)(3) - 112 Public Law 55 125 Stat 552 handguns. (Reference Violation #5, Worksheet #2, Exhibit #4 and 25.)

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

There were no suspicious purchasers, straw purchasers or possible traffickers identified during this inspection.

## **8 - Trace Activity**

According to the Violent Crime Analysis Branch (VCAB) report for Ron's Guns, there were (b)(3) - 112 Public Law 55 125 Stat 552 successful traces associated with this licensee in the past twelve (12) months. There was one open trace (b)(3) - 112 Public Law 55 125 Stat 552 listed on the VCAB report which was completed during the inspection and forwarded to the National Tracing Center.

A secondary market analysis of twenty-five (25) firearms was conducted resulting in zero (0) hits in OpenFox and ETrace.

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

The licensee does not conduct NFA, Importer, Collector or manufacturer activities.

## **10 - Referrals**

No referrals were warranted as a result of this inspection.

## **11 - Other**



# FIREARMS INSPECTION REPORT

**Name:** Mock & Sons Enterprises Inc.  
**Trade Name:** Ron's Guns

**UI#:** 777070-2015-0166-B1B  
**FFL#:** 5-72-015-02-8G-00855

Ron's Guns did have ATF I 5300.1 displayed in the business informing customers of youth handgun safety. Youth Handgun Safety Act Notice, ATF I 5300.2 was provided for all handgun sales.

Secure gun storage and safety devices were available to customers and all firearms in inventory were in a secure location at all times.

IOI (b)(6) conducted an NCIC check in OpenFox on all Responsible Persons with no prohibiting information being disclosed.

## 12 - Closing Actions

A closing conference was held with Mr. Gene Mock, on September 10, 2015. IOI (b)(6) reviewed the Acknowledgement of Federal Firearms Regulations and IOI (b)(6) reviewed the Report of Violations with Mr. Mock. Mr. Mock signed the Acknowledgement of Federal Firearms Regulations (**Reference Exhibit #26**) and the Report of Violations on September 10, 2015.

## 13 - Violations

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

#### Nature of violation:

The Licensee failed to obtain all required answers from the transferee prior to the transfer of a firearm.

- Item #3 was incorrect on (b)(3) - 112 Public L Form.
- Items #11d and #11j were omitted on (b)(3) - 112 Public L Form.
- Item #11d was blank on (b)(3) - 112 Public L Form.
- Item #17 was blank on (b)(3) - 112 Public L forms.

#### Licensee's response:

The licensee stated that the errors must have occurred as the results of oversights by company personnel.

#### Corrective action:

Investigator (b)(6) instructed the FFL to always review the answers of the purchaser in 'Section A' of ATF F 4473 prior to completion of the form and the transfer of the firearm for accuracy and to always make sure the purchaser properly signs and dates the ATF Form 4473. The FFL now has a review system in place to verify that the purchaser enters all required information and properly signs and certifies the ATF Form 4473 form in Section "A" prior to the transfer of the firearm.

(**Reference Violation #1, Worksheet #2, Exhibits #1, 2, 3, 4, and 5**).

### 2. 27 CFR 478.124(c)(3)(i)

## FIREARMS INSPECTION REPORT

**Name:** Mock & Sons Enterprises Inc.  
**Trade Name:** Ron's Guns

**UI#:** 777070-2015-0166-B1B  
**FFL#:** 5-72-015-02-8G-00855

**Nature of Violation:**

The licensee failed to verify the identity of the transferee.

**Licensee's response:**

- Item #20a was incorrect on (b)(3) - 112 Public Form.

**Corrective action:**

The licensee was instructed to always verify the identity of the transferee prior to the transfer of a firearm and to obtain Alternate Documentation when the address listed in Section A is not the same as the address on the Identification provided by the licensee. (Reference Violation #2, Worksheet #2, Exhibit #6).

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

**Nature of Violation:**

The licensee failed to record the information received from NICS on ATF Form 4473.

- In (b)(3) - 112 Public instance, Item #21c was blank.
- In (b)(3) - 112 Public Law 55 125 S instances, Item #21d was blank.

**Licensee's Response:**

The licensee stated that the errors must have occurred as the results of oversights by company personnel.

**Corrective Action:**

The licensee was instructed to record the information received from NICS on ATF Form 4473.

(Reference Violation #3, Worksheet #2, Exhibits #7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22 and 23).

4. **27 CFR 478.124(c)(4)**

**Nature of Violation:**

The licensee failed to identify the firearm being transferred on ATF Form 4473.

- In (b)(3) - 11 instance each, Items #28 and 30 were blank.
- In (b)(3) - 11 instances, Item #29 was blank or incorrect.

**Licensee's Response:**

The licensee had no response relative to this specific violation, but did state that he was glad that the violation was exposed so that he can implement new policies in all of his stores to ensure future compliance.



## FIREARMS INSPECTION REPORT

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**UI#:** 777070-2015-0166-B1B  
**FFL#:** 5-72-015-02-8G-00855

### Corrective Action:

The licensee was instructed to identify the firearm being transferred on ATF Form 4473.

**(Reference Violation #4, Worksheet #2, Exhibit #24).**

### 5. 27 CFR 478.126a

#### Nature of violation:

In (b)(3) - 112 Public Law instances involving (b)(3) - 112 Public Law handguns the licensee failed to report the Multiple Sale of handguns within the required time frame.

- In (b)(3) - 112 Public Law instances the FFL failed to complete an ATF F 3310.4 and report the Multiple sale of pistols or revolvers to both ATF NTC and the local LEO agency within the required time frame

#### Licensee's response:

The licensee stated that the error must have occurred as the result of employees.

#### Corrective action:

Investigator (b)(6) instructed the FFL to always fill out an ATF F 3310.4 "Report of Multiple Sale or other Dispositions of Pistols and Revolvers" and report the sale of two (2) or more firearms within five (5) business days to ATF. Investigator (b)(6) also instructed the FFL to be sure and send a copy of the multiple sale form to the local LEO office.

Corrected Immediately. The FFL completed ATF Fs 3310.4 for this multiple sale and faxed a copy to both ATF NTC and the local LEO agency **(Reference Violation #5, Exhibits #4 and 25).**

### 6. 27 CFR 478.125(e)

#### Nature of violation:

The licensee failed to accurately maintain the Acquisition and Disposition Record.

- In (b)(3) - 112 Public Law 55 instances, firearms listed in the book inventory could not be located in the physical inventory. (b)(3) - 112 Public Law firearms were transferred either to other dealers or on ATF Forms 4473 and not logged out of the bound record. (b)(3) - 112 Public Law (b)(3) - 112 Public Law firearms were unaccounted for and reported on ATF Form 3310.11, Federal Firearms Licensee Firearms Inventory Theft/Loss Report as "missing".

#### Licensee's response:

Mr. Gene Mock indicated that sometimes it is so busy in the store that his father, Ron Mock, is forgetful and may forget to complete ATF Forms 4473.

# FIREARMS INSPECTION REPORT

**Name:** Mock & Sons Enterprises Inc.  
**Trade Name:** Ron's Guns

**UI#:** 777070-2015-0166-B1B  
**FFL#:** 5-72-015-02-8G-00855

## Corrective action:

The bound record was corrected during the inspection. (b)(3) - 112 Public Law 55 125 Stat 55 ) firearms were reported as "missing" on ATF Form 3310.11, Federal Firearms Licensee Firearms Inventory Theft/Loss Report. **(Reference Violation #6, & Worksheet #1).**

X

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Industry Operations Investigator

## Index of Worksheets and Exhibits

1. Worksheet #1- A&D Review
2. Worksheet #2- ATF Forms 4473 Review
3. Exhibit #1- (b)(3) - 112 Public Law 55 125 Stat 552, (b)(6)
4. Exhibit #2-
5. Exhibit #3-
6. Exhibit #4-
7. Exhibit #5-
8. Exhibit #6-
9. Exhibit #7-
10. Exhibit #8-
11. Exhibit #9-
12. Exhibit #10-
13. Exhibit #11-
14. Exhibit #12-
15. Exhibit #13-
16. Exhibit #14-
17. Exhibit #15-
18. Exhibit #16-
19. Exhibit #17-
20. Exhibit #18-
21. Exhibit #19-
22. Exhibit #20-
23. Exhibit #21-
24. Exhibit #22-
25. Exhibit #23-
26. Exhibit #24-

## FIREARMS INSPECTION REPORT

**Name:** Mock & Sons Enterprises Inc.  
**Trade Name:** Ron's Guns

**UI#:** 777070-2015-0166-B1B  
**FFL#:** 5-72-015-02-8G-00855

27. Exhibit #25- (b)(3) - 112 Public Law 55 125 Stat 552, (b)(6)
28. Exhibit #26- Acknowledgement of Federal Firearms Regulations
29. Exhibit #27- ATF Form 3310.11, Federal Firearms Licensee Firearms Inventory Theft/Loss Report



**U.S. Department of Justice**

Bureau of Alcohol, Tobacco,  
Firearms and Explosives  
100 W. Capitol, Suite 1403  
Jackson, MS 39269

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www.atf.gov

October 20, 2015

777070: (b)(6)  
5373

**ANNOUNCEMENT OF WARNING CONFERENCE**

**CERTIFIED MAIL – RETURN RECEIPT REQUESTED**

Mock & Sons Enterprises Inc.  
Ron's Guns  
Mr. Ronald Leon Mock  
2917 Old Minden Road Suite C  
Bossier City, LA 71112

Dear Mr. Mock:

During a recent compliance inspection at your firearms business covering the period of August 19, 2014 through September 10, 2015, 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, Form 5030.5, issued at the time of the inspection is enclosed.

You should be aware that any willful violations of the Gun Control Act may result in revocation of your Federal firearms license. As a result of the recently cited violations, it is important that we have a meeting with you to discuss the violations found. The conference will be held on November 3<sup>rd</sup>, 2015 at 10:00 AM at the Bureau of Alcohol, Tobacco, Firearms and Explosives, Federal Building, 400 Texas Street, Suite 500, Shreveport, Louisiana. The agenda for the meeting will include a discussion of the reasons for the violations, a review of the legal requirements, and a discussion of steps to be taken by you to ensure future compliance. Although we do not believe it necessary, legal counsel may assist you at your own expense if you so choose. Please bring with you documentation verifying the corrective action you have taken.

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 business to aid in this effort to combat violent crime.

We will conduct a follow-up inspection in the future. Any violations, either repeat or otherwise, could be viewed as willful and may result in the revocation of your license.

Please contact Area Supervisor (b)(6) to confirm this appointment, and to ask any questions you may have regarding this conference. I look forward to meeting with you to resolve these issues.

Sincerely yours,

(b)(6)

Area Supervisor  
Jackson Field Office

Enclosure

c: National Licensing Center  
New Orleans Field Division



U.S. Department of Justice

Bureau of Alcohol, Tobacco,  
Firearms and Explosives

*Jackson, MS Field Office*

100 West Capitol St. Suite 1403  
Jackson, MS 39269  
www.atf.gov

November 12, 2015

77707(b)(6)  
5373

Mock & Sons Enterprises, Inc.  
Ron's Guns  
2917 Old Minden Road  
Suite C  
Bossier City, LA 71112

Dear Mr. Mock,

This letter is a follow-up to the warning conference held with you on November 3<sup>rd</sup>, 2015 at 400 Texas St. Suite 500 Shreveport, Louisiana 71101. During this conference, the violations cited during the inspection covering the period from August 19, 2014 to August 19<sup>th</sup>, 2015 and the necessary corrective action to prevent the violations from reoccurring were discussed.

You met with the Area Supervisor for Jackson II Field Office, who went over each violation cited and reviewed in detail correct recordkeeping procedures. You were given the opportunity to comment on the violations and what specific actions you have taken to ensure that the violations will not reoccur.

During the meeting you stated that you have established procedures to assure all firearms are logged in or out of the Acquisition and Disposition record within 7 business days. You plan to implement a computer Acquisition and Disposition record by December 31<sup>st</sup>, 2015. The new system will flag the multiple sale of handguns within five business days in order to complete the required Form 3310.4. You also plan to implement periodic physical inventory counts.

You now verify accurate completion of Form 4473 before firearms leave the premises. You stated that you will acquire ATF P 5300.4 Federal Firearms Regulations Reference Guide to properly conduct firearm sales. Finally, you stated that you will have your records in compliance with ATF regulations prior to the next compliance inspection.

## Mock and Sons

The violations for which you were cited could adversely impact law enforcement's ability to reduce violent crime and protect the public. You are reminded that future violations, repeat or otherwise, could be viewed as willful and may result in the revocation of your license. You may anticipate further inspections to ensure your compliance.

Please contact us if you have any questions concerning your responsibilities as a licensee or if you require further clarification about particular requirements of federal firearms laws.

**(b)(6)**

Area Supervisor

CC: National Licensing Center  
Jackson Area Office