

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) STURON CORPORATION STEWARTS PAWN SHOP 1133 W BROADWAY LOUISVILLE, KY 40203, JEFFERSON	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 775045-2015-0141-B1B			
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%;">3. PERMIT/LICENSE NUMBER 461111026M08868</td> <td style="width: 33%;">4a. TARGET DATE 9/15/2015</td> <td style="width: 33%;">4b. TARGET HOURS</td> </tr> </table>	3. PERMIT/LICENSE NUMBER 461111026M08868	4a. TARGET DATE 9/15/2015	4b. TARGET HOURS
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	5. REQUESTED BY (SIGNATURE, TITLE AND DATE)			

6. ATF OFFICER(S) ASSIGNED

(b)(6) - Assigned Investigator

(b)(6) - Assigned Investigator

(b)(6) - Lead Investigator

7. ASSIGNED BY (SIGNATURE, TITLE AND DATE)

(b)(6) Area Supervisor, 12/12/2014

8. PURPOSE/SPECIAL INSTRUCTIONS

Conduct firearms compliance inspection in accordance with applicable provisions of ATF H 5030.2C and the 2015 Domain Assessment. IOI(s) may need to contact Louisville Intel Group or the respective CE Group for assistance.

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	4	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) - Industry Operations Investigator

Submitted on: 01/29/2016

This firearms compliance inspection was conducted in accordance with the applicable provisions of ATF H 5030.2C and the 2015 Domain Assessment. Six violations were discovered at the time of inspection. The nature of the violations, one of which is a repeat violation, resulted in a recommendation of a Warning Conference. See report for details.

Viols WC with WL and Recall

12. TIME ACCOUNTING DATA			
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)			
DEC 2015	21.00	(b)(6)	
ATF OFFICER'S SUBTOTAL	21.00	ATF OFFICER'S SIGNATURE	
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)			
DEC 2015	21.00	(b)(6)	
ATF OFFICER'S SUBTOTAL	21.00	ATF OFFICER'S SIGNATURE	
TOTAL HOURS	42.00		

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) STURON CORPORATION STEWARTS PAWN SHOP 1133 W BROADWAY LOUISVILLE, KY 40203, JEFFERSON	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 775045-2015-0141-B1B			
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13. REVIEW AND ROUTING

REVIEW COMMENTS AND RECOMMENDATION

Final recommendation is ROV, WL and no recall inspection. ROV with 6 violations. The violations reach the level of warning letter only. A warning letter was sent to the licensee on 02/01/2016. A PII was sent to the FFLC on the same date.

Viols WL ONLY and No Recall Inspection

REVIEWED
 CONCUR
 SEE COMMENTS
 FINAL DISPOSITION

SIGNATURE AND TITLE <div style="border: 1px solid black; display: inline-block; padding: 2px;">(b)(6)</div> - Area Supervisor	REVIEW DATE 01/27/2016
--	---------------------------

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 STURON CORPORATION STEWARTS PAWN SHOP	Street Address 1133 W BROADWAY	City LOUISVILLE	State KY	Zip Code 40203-	County JEFFERSON	Page 1 of 2 Pages
License/Permit/Registry Number <i>(If any)</i> 461111026M08868	Expiration Date	Date(s) or Period of Inspection 12/01/2015 through 12/18/2015				

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:

Failure to complete Multiple Sales Form on occasions involving firearms.

Citation: 27 CFR 478.126a

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken: Licensee completed Multiple Sales Form for occasions at the conclusion of the inspection.
(If not corrected immediately)

Number: 2

Nature of Violation:

Failure to record disposition of firearms listed as open entries in the A&D Record. were discovered to be sold on paperwork (ATF Forms 4473) leaving to submitted on a Theft Loss Report.

Citation: 27 CFR 478.125(e)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken: firearms logged out of A&D Record and submitted on ATF Theft/Loss Report.
(If not corrected immediately)

Number: 3

Nature of Violation:

Failure to complete ATF Form 4473 Section 11.a on occasions and Sections 33 and 35 on occasion.

Citation: 27 CFR 478.21(a)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken: Licensee will review ATF Forms 4473 for completeness and accuracy.
(If not corrected immediately)

Report of Violations

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License/Permit/Registry Number (If any) 461111026M08868		Expiration Date	Date(s) or Period of Inspection 12/01/2015 through 12/18/2015			

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 complete ATF Form 447 Section 11.k on occasion and Section 17 on occasion.

Citation: 27 CFR 478.124(c)(1)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken: Licensee to review ATF Forms 4473 for completeness and

(If not corrected immediately) accuracy.

Number: 5

Nature of Violation:

Failure to complete ATF Form 4473 Section 28 on occasion.

Citation: 27 CFR 478.124(c)(4)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken: Licensee to review ATF Forms 4473 for completeness and

(If not corrected immediately) accuracy.

Number: 6

Nature of Violation:

Failure to complete ATF Form 4473 Section 34 on occasion and Section 36 on occasion.

Citation: 27 CFR 478.124(c)(5)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

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

(b)(6)

Date

12-18-15

Signature and Title of ATF Officer

(b)(6)

Date

12/18/15

For Official Use Only

EXHIBIT
10

ATF E-Form 5030.5
Revised April 2005

FIREARMS INSPECTION REPORT

Name: Sturon Corp.
Trade Name: Stewart's Pawn Shop

UI#: 775045-2015-0141
FFL#: 4-61-08868

Address: 1133 W. Broadway
Louisville, KY 40203

1 - Introduction

Inspection Profile:

On December 2, 2015, Industry Operations Investigator (b)(6) and TFO (b)(6) conducted a FFL Compliance inspection on Sturon Corp. dba Stewart's Pawn Shop of Louisville, Kentucky. Advanced notification was not given. The scope of the inspection was December 2, 2014 – December 2, 2015. Jeff Stein, Owner/Responsible Person, was interviewed for purposes of the inspection.

Business Profile:

Stewart's Pawn Shop is a large store located on Broadway in downtown Louisville, Kentucky. The licensee acquired approximately (b)(4) firearms and disposed of approximately (b)(4) firearms during the last 12 months. The business sells both new and used firearms. New firearms are acquired from (b)(4) and other suppliers. Used firearms are acquired from the general public. The licensee does not attend gun shows. There is no other business on the premises. The licensee owns another pawn shop with the same name in Louisville, Kentucky. The shop is located at 113 W. Jefferson, FFL #4-61-01048.

Ownership and Control:

There has been no change in ownership or control since the last inspection. Hidden ownership is not suspected.

Variance:

There is currently no variance on file.

2 - Recommendation

ROV and WL.

3 - Inspection History

775045-2010-0248 9/9/10

Compliance

Results: ROV

FIREARMS INSPECTION REPORT

Name: Sturon Corp.
Trade Name: Stewart's Pawn Shop

UI#: 775045-2015-0141
FFL#: 4-61-08868

REPEAT OF VIOLATION CITED ON

9/17/2003 and 4/10/2007

27 CFR 478.125(e)

Failure to timely record the acquisition of a firearm in the Acquisition and Disposition (A&D) Record on [] occasions. [] firearm was missing from inventory

775045-2009-0122- June 2009

Results: No violations, no further action.

775045-2007-0135 - March 2007

Results: **Warning Letter**

27 CFR 478.15(e) – [] firearm was missing from the licensee's inventory. The licensee failed to record the disposition of [] firearms. On [] occasion the licensee logged out the incorrect firearm.

27 CFR 478.124(c)(3)(iv) – The licensee failed to record all required NICS information in Item 21 on ATF Form 4473 on [] occasions.

775045-2005-0096 March 2005

Compliance Inspection:

Results: **Warning Letter**

27 CFR 478.125(e) Failed to record [] dispositions. Failed to record complete and accurate information.

27 CFR 478.124(c)(1) Failed to obtain complete and accurate ATF Forms 4473 in [] instances.

27 CFR 478.126a Failed to report [] Multiple Handgun Sales.

775045-2003-0339

Compliance Inspection: September 2003

Results: **Warning Conference**

27 CFR 478.22 Failed to print the computerized acquisition and disposition record every 6 months.

FIREARMS INSPECTION REPORT

Name: Sturon Corp.
Trade Name: Stewart's Pawn Shop

UI#: 775045-2015-0141
FFL#: 4-61-08868

27 CFR 478.99(b)(1) Transferred a shotgun with pistol grips to an individual (b)(3) (112 Public Law 55 125 Stat 552)

27 CFR 478.124 Failed to obtain properly prepared ATF Forms 4473 on occasions.

27 CFR 478.124(b) Failed to retain ATF Forms 4473 in a manner authorized by regulation (alphabetically, chronologically, or numerical).

27 CFR 478.124(c)(3)(i) Failed to verify the identity of transferee by examining appropriate identification on occasion.

27 CFR 478.124(c)(3)(ii) Failed obtain documentation to establish state of residency for a permanent resident alien.

27 CFR 478.125(e) Failed to record dispositions.

27 CFR 478.125(e) Computer records failed to contain all the required information.

27 CFR 478.125(e) Failed to accurately record the serial number in the bound book on occasions

Compliance Inspection: October 2000

Results: Recommend recall inspection.

27 CFR 178.22; 178.124(c)(3)(i) Failed to obtain proper identification.

27 CFR 178.29a; 178.124(c)(3)(i) On occasions transferred to aliens without obtaining additional documentation to show state of residency.

27 CFR 178.126a Failed to complete ATF Forms 3310.4 for the sale of two or more handguns in a five day period.

27 CFR 178.103 Failed to post Youth Handgun Safety Act Notice and provide written notification of purchasers of handguns.

27 CFR 178.125(h) Failed to print computerized records every 6 months

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

A full inventory was conducted and the number of firearms in inventory 776 coincided with the number of firearms in the A&D Records. firearms were unaccounted

FIREARMS INSPECTION REPORT

Name: Sturon Corp.
Trade Name: Stewart's Pawn Shop

UI#: 775045-2015-0141
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for and [] were found to be disposed of ATF Forms 4473. See violation #6. There were [] traces associated with this licensee for the inspection period. The licensee utilizes a computer A&D Record. At the time of inspection, the licensee was in the process of upgrading the memory for the servers on-site. This caused strange anomalies in the book. By the conclusion of the inspection, the computerized A&D record appeared to be resolving the issues.

5 - ATF Forms 4473 – NICS & Other Dispositions

A full review of the ATF Forms 4473 for the last 12 months was conducted. There were no [] 4473's on file for the last 12 months, including [] denials. All transfers to other licensees were conducted properly. All the information on the FFL Audit log was accounted for. There were [] errors discovered on [] forms. The error rate is less than 1%. See violations #2 - #5.

6 - Multiple Sales

The licensee reported [] multiple sales during the inspection period. All [] were accounted for on the Firearm Trace History Query. [] unreported multiple sales were discovered during the inspection. See violation #1.

7 - Suspicious/Prohibited Purchasers

There were [] suspicious purchasers identified at the time of inspection. Names and firearms were checked and returned no hits,

8 - Trace Activity

During the inspection period [] traces were initiated. Of the [] traces, [] were successful and [] were resolved by IOI [(b)(6)].

9 - NFA/Importer/Collector/Manufacturer

The licensee is not engaging in activity involving NFA firearms. The licensee is not an importer, collector or manufacturer of firearms.

10 - Referrals

No referrals were generated as a result of this inspection.

FIREARMS INSPECTION REPORT

Name: Sturon Corp.
Trade Name: Stewart's Pawn Shop

UI#: 775045-2015-0141
FFL#: 4-61-08868

11 - Other

TFO (b)(6) from Louisville (III) Intel Office accompanied IOI (b)(6) on this inspection to attempt to gather information on straw purchases.
No other significant information was disclosed at the time of inspection.

12 - Closing Actions

On Friday December 18th, 2015, a closing conference was held with IOI (b)(6) and Jeff Stein, Owner/RP of Sturon Corporation dba Stewart's Pawn Shop. The Acknowledgement of Federal Firearms Regulations was reviewed with and signed by the licensee. The Report of Violations was also reviewed with and signed by the licensee. Possible Warning Conference dates were discussed due to the time of year.

13 - Violations

1. **27 CFR 478.126(a)**
Failure to report Multiple Sale on [] occasions.
2. **27 CFR 478.21(a)**
Failure to complete ATF Form 4473 Section 11.a on [] occasions.
Failure to complete sections 33 and 35 on [] occasion.
3. **27 CFR 478.124(c)(1)**
Failure to complete ATF Form 4473 Section 11.k on [] occasion.
Failure to complete section 17 on [] occasion.
4. **27 CFR 478.124(c)(4)**
Failure to complete ATF Form 4473 Section 28 on [] occasion.
5. **27 CFR 478.124(c)(5)**
Failure to complete ATF Form 4473 Section 34 on [] occasion.
Failure to complete section 36 on [] occasion.
6. **27 CFR 478.125(e)**
Failure to record the disposition of [] firearms in the A&D Record in a timely manner.
Failure to maintain disposition or transfer of [] unaccounted for firearms listed as open in the A&D Record.

FIREARMS INSPECTION REPORT

Name: Sturon Corp.
Trade Name: Stewart's Pawn Shop

UI#: 775045-2015-0141
FFL#: 4-61-08868

X

Industry Operations Investigator

Index of Worksheets and Exhibits

Worksheets:

1. Inventory and A&D Review Worksheet
2. ATF Form 4473 (2012 Edition) Review Worksheet

Exhibits:

1. Acknowledgement of Federal Firearms Regulations
- 2.
- 3.
- 4.
- 5.
6. (b)(3) (112 Public Law 55 125 Stat 552),(b)(6)
- 7.
- 8.
- 9.
10. Report of Violations

FIREARMS INSPECTION REPORT

Name: Sturon Corp.
Trade Name: Stewart's Pawn Shop

UI#: 775045-2015-0141
FFL#: 4-61-08868



U.S. Department of Justice

Bureau of Alcohol, Tobacco,
Firearms and Explosives

600 Dr. Martin Luther King Jr. Place, Suite 500
Louisville, Kentucky 40202

www.atf.gov

February 1, 2016

775045: (b)(6)
5300

CERTIFIED MAIL
RETURN RECEIPT REQUESTED

Sturon Corporation
Stewart's Pawn Shop
1133 W. Broadway
Louisville, KY 40203

Dear Mr. Stein:

During a recent compliance inspection at your firearms business covering the period of December 2, 2015 - December 18, 2015, you were cited for violations of 27 Code of Federal Regulations, Part 478. A copy of the Report of Violations, Form 5030.5, issued at the time of the inspection is enclosed.

All violations were fully explained to you by the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) investigator. You indicated that you understood the requirements of the firearms laws and regulations. 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 effort 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. This is critical to carrying out our mission to protect the public and ensure that criminals do not gain access to firearms. 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 conditioned upon your compliance with Federal laws and regulations. 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.

Sturon Corporation
Stewart's Pawn Shop
1133 W. Broadway
Louisville, KY 40203

Should you have any questions regarding this matter, please contact IOI **(b)(6)** at **(b)(6)**.

Sincerely yours,

(b)(6)

Area Supervisor
Louisville II

Enclosure

cc: Federal Firearms Licensing Center
Director, Industry Operations
Louisville Field Division

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: 1

Nature of Violation:

Failure to complete Multiple Sales Form on occasions involving firearms.

Citation: 27 CFR 478.126a

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

Corrective Action to be Taken: Licensee completed Multiple Sales Form for both occasions at the conclusion of the inspection.
(If not corrected immediately)

Number: 2

Nature of Violation:

Failure to record disposition of firearms listed as open entries in the A&D Record. were discovered to be sold on paperwork (ATF Forms 4473) leaving to submitted on a Theft Loss Report.

Citation: 27 CFR 478.125(e)

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

Corrective Action to be Taken: firearms logged out of A&D Record and submitted on ATF Theft/Loss Report.
(If not corrected immediately)

Number: 3

Nature of Violation:

Failure to complete ATF Form 4473 Section 11.a on occasions and Sections 33 and 35 on occasion.

Citation: 27 CFR 478.21(a)

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

Corrective Action to be Taken: Licensee will review ATF Forms 4473 for completeness and accuracy.
(If not corrected immediately)

EXHIBIT
18

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: 4

Nature of Violation:

Failure to complete ATF Form 4473 Section 11.k on occasion and Section 17 on occasion.

Citation: 27 CFR 478.124(c)(1)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken: Licensee to review ATF Forms 4473 for completeness and

(If not corrected immediately) accuracy.

Number: 5

Nature of Violation:

Failure to complete ATF Form 4473 Section 28 on occasion.

Citation: 27 CFR 478.124(c)(4)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken: Licensee to review ATF Forms 4473 for completeness and

(If not corrected immediately) accuracy.

Number: 6

Nature of Violation:

Failure to complete ATF Form 4473 Section 34 on occasion and Section 36 on occasion.

Citation: 27 CFR 478.124(c)(5)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

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

Signature and Title of CATE ORS

(b)(6)

Date

12-18-15

Date

12/18/15

For Official Use Only

EXHIBIT
10

ATF E-Form 5030.5
Revised April 2005