

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) Alias Smith & Jones Pawn Inc. 2112 N Last Chance Gulch Street Helena, MT 59601, Lewis & Clark	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 788060-2016-0124-B1B			
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%;">3. PERMIT/LICENSE NUMBER 981049026F00477</td> <td style="width: 33%;">4a. TARGET DATE 3/1/2016</td> <td style="width: 33%;">4b. TARGET HOURS 40</td> </tr> </table>	3. PERMIT/LICENSE NUMBER 981049026F00477	4a. TARGET DATE 3/1/2016	4b. TARGET HOURS 40
3. PERMIT/LICENSE NUMBER 981049026F00477	4a. TARGET DATE 3/1/2016	4b. TARGET HOURS 40		
	5. REQUESTED BY (SIGNATURE, TITLE AND DATE)			

6. ATF OFFICER(S) ASSIGNED
 (b)(6)/(b)(7)(C) - Lead Investigator

7. ASSIGNED BY (SIGNATURE, TITLE AND DATE)
 (b)(6)/(b)(7)(C) Area Supervisor, 02/02/2016

8. PURPOSE/SPECIAL INSTRUCTIONS
 DE- Conduct a firearms compliance inspection, Type-02.

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	5	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)/(b)(7)(C) - Industry Operations Investigator

Submitted on: 03/31/2016
 On February 02, 2016, Industry Operations Investigators (b)(6)/(b)(7)(C) and (b)(6)/(b)(7)(C) conducted a Full Compliance Inspection for Alias Smith and Jones Pawn, Inc. located at 2112 N Last Chance Gulch Street, Helena, MT 59601.

Report of Violations Issued.
 Viols WL ONLY and No Recall Inspection

12. TIME ACCOUNTING DATA			
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)/(b)(7)(C)		
FEB 2016	39.00		
MAR 2016	9.00		
ATF OFFICER'S SUBTOTAL	48.00	ATF OFFICER'S SIGNATURE	
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)/(b)(7)(C)		
FEB 2016	75.00		
MAR 2016	4.00		
ATF OFFICER'S SUBTOTAL	79.00	ATF OFFICER'S SIGNATURE	
TOTAL HOURS	127.00		

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) Alias Smith & Jones Pawn Inc. 2112 N Last Chance Gulch Street Helena, MT 59601, Lewis & Clark	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 788060-2016-0124-B1B		
	3. PERMIT/LICENSE NUMBER 981049026F00477	4a. TARGET DATE 3/1/2016	4b. TARGET HOURS 40
	5. REQUESTED BY (SIGNATURE, TITLE AND DATE)		

13. REVIEW AND ROUTING

REVIEW COMMENTS AND RECOMMENDATION
Concur. Warning Letter sent April 1, 2016
Viols WL ONLY and No Recall Inspection

REVIEWED CONCUR SEE COMMENTS FINAL DISPOSITION

SIGNATURE AND TITLE (b)(6)/(b)(7)(C) - Area Supervisor	REVIEW DATE 03/30/2016
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ROUTING SEQUENCE AND DATE

- 1. _____
- 2. _____
- 3. _____
- 4. _____

CONTROL FILE POSTED DATE _____

Report of Violations

Instructions

Please write firmly with a 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 Alias Smith & Jones Pawn Inc.	Street Address 2112 N Last Chance Gulch Street	City Helena	State MT	Zip Code 59601-	County Lewis & Clark	Page 1 of 4 Pages
License/Permit/Registry Number <i>(If any)</i> 981049026F00477	Expiration Date	Date(s) or Period of Inspection 02/02/2016 through 02/17/2016				

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:

On occasions licensee failed to provide all required information on ATF Forms 4473. Section A, Item 2 asking for the County was left blank.

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)

In the future licensee must ensure that all Forms 4473 are fully and accurately completed.

Number: 2

Nature of Violation:

On licensee failed to annotate the MT State issued Driver's License expiration date in Section B, Item 20a of the ATF Form 4473.

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)

Licensee to ensure ATF Forms 4473 are properly completed in future transactions.

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 Alias Smith & Jones Pawn Inc.	Street Address 2112 N Last Chance Gulch Street	City Helena	State MT	Zip Code 59601-	County Lewis & Clark	Page 2 of 4 Pages
License/Permit/Registry Number (If any) 981049026F00477	Expiration Date	Date(s) or Period of Inspection 02/02/2016 through 02/17/2016				

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:

Licensee failed to ensure ATF Forms 4473 were completed correctly on [] occasions as follows:

- On [] occasions licensee failed to document the serial number of a total of [] firearms on the ATF Form 4473, Section D, Item 28, Serial Number.
- On [] in Section D, Item 29, Type (pistol, revolver, rifle, shotgun, receiver, frame, etc.) were missing on the ATF Form 4473.

Citation: 27 CFR 478.124(c)(4)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken: Licensee to ensure ATF Forms 4473 are properly completed in future transactions.
(If not corrected immediately)

Number: 4

Nature of Violation:

On [] licensee omitted the date transferred in Section D, Item 36 of the ATF Form 4473, certifying that the answers in Section(s) B and D are true, correct, and complete.

Citation: 27 CFR 478.124(c)(5)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken: Licensee to ensure ATF Forms 4473 are properly completed in future transactions.
(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 Alias Smith & Jones Pawn Inc.	Street Address 2112 N Last Chance Gulch Street	City Helena	State MT	Zip Code 59601-	County Lewis & Clark	Page 3 of 4 Pages
License/Permit/Registry Number <i>(If any)</i> 981049026F00477	Expiration Date	Date(s) or Period of Inspection 02/02/2016 through 02/17/2016				

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:

Licensee could not account for He failed to properly record the disposition of

(b)(3) (112 Public Law 95 102 Stat 552)

Citation: 27 CFR 478.125(e)

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

Corrective Action to be Taken: Corrected immediately.
(If not corrected immediately)

Report of Violations

Instructions

Please write firmly with a [] 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 Alias Smith & Jones Pawn Inc.	Street Address 2112 N Last Chance Gulch Street	City Helena	State MT	Zip Code 59601-	County Lewis & Clark	Page 4 of 4 Pages
License/Permit/Registry Number (If any) 981049026F00477	Expiration Date	Date(s) or Period of Inspection 02/02/2016 through 02/17/2016				

Inspection Results

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

Number: 6

Nature of Violation:

Licensee failed to ensure ATF Forms 4473 were completed correctly on [] forms; the Violations are as follows:

- [] ATF Forms 4473s contained Errors in Section A, Item 1a where No was checked implying that the applicant was not the actual transferee/buyer of the firearm.
- In [] licensee failed to obtain a signature in Section C, Item 24 on the ATF Form 4473 recertifying that the questions in Section A were true and accurate after receiving a delayed response from NICS. The same ATF Form 4473 did not contain a date in Section C, Item 25 recertifying that the questions in Section A were true and accurate after receiving a delayed response from NICS.
- On [] Section D, Item 31 Trade/corporate name and address of transferor were left blank on the ATF Form 4473. The same ATF Form 4473 revealed that Section D, Item 32 Federal Firearms License Number were left blank.
- On [] licensee failed to print the Transferor's/Seller's Name in Section D, Item 33 on the ATF Form 4473 certifying that the answers in Section(s) B and D were true, correct, and complete.
- On [] Section D, Item 35 Transferor's/Seller's Title were left blank certifying that the answers in Section(s) B and D are true, correct, and complete.

Citation: 27 CFR 478.21(a)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

Licensee to ensure ATF Forms 4473 are properly completed in future transactions.

I Have Received a Copy of This Report of Violations (Proprietor's signature and title)		Date 7-5-16
Signature (b)(6)/(b)(7)(C)		Date 05 Jul 2016

FIREARMS INSPECTION REPORT

Name: Alias Smith and Jones Pawn, Inc.
Trade Name: None

UI#: 788060-2016-0124
FFL#: 9-81-049-02-6F-00477

Address: 2112 N Last Chance Gulch Street
Helena, MT 59601-0848
Lewis and Clark County

1 - Introduction

Inspection Profile:

On February 02, 2016, Industry Operations Investigators (b)(6)/(b)(7)(C) (b)(6)/(b)(7)(C) conducted a Compliance Inspection for Type 02, *Pawnbroker in Firearms Other Than Destructive Devices*, Federal Firearms License (FFL), for *Alias Smith and Jones Pawn, Inc.*, herein referred to as the “licensee”. The inspection was conducted at the business premises, a store-front business located at 2112 N Last Chance Gulch Street, Helena, MT 59601, in Lewis and Clark County.

IOIs (b)(6)/(b)(7)(C) met with Responsible Person (RP) and Manager, Mr. Nathan Socia. Mr. Socia was identified by his MT State issued Driver’s License. His information is as follows:

SOCIA, NATHAN PAUL

(b)(6)/(b)(7)(C)

Mr. Socia was present during the inspection and interviewed concerning the Type 02, *Pawnbroker in Firearms Other Than Destructive Devices*, FFL. The inspection was a full scope inspection covering the period of February 2015 through February 2016. A complete inventory was conducted and records were reviewed from February 2015 through February 2016. This was a no notice inspection.

Business Profile:

Alias Smith and Jones, Inc. is a pawn shop. In the past twelve months there were [] acquisitions and [] dispositions, 100% of these firearms were from pawns. The licensee did not participate at gun shows. There were no other businesses on the premises and the licensee does not conduct gun sales over the internet. According to the Federal Licensing Center (FLS), the licensee holds four other ATF licenses under 9-81-00477. The licensee has held an FFL since April 2004. Other licenses held by the licensee included:

9-81-00476 - Great Falls, MT
9-81-00477 - Helena, MT

FIREARMS INSPECTION REPORT

Name: Alias Smith and Jones Pawn, Inc.
Trade Name: None

UI#: 788060-2016-0124
FFL#: 9-81-049-02-6F-00477

9-81-00478 - Helena, MT
9-81-00479 – Great Falls, MT

There were no off-site storage locations.

Ownership and Control:

Alias Smith and Jones, Inc. is a corporation and had a total of four licensed premises. Two businesses were in Helena, MT and two were located in Great Falls, MT. The licensed premises for this inspection is located at 2112 North Last Chance Gulch St., Helena, MT 59601.

There were reported changes to the business structure since the last inspection which included a change of management. This change was reported to the FLC and was identified in the Federal Licensing System (FLS) database. Alias Smith and Jones, Inc. is owned by RP, Conley, Charles D., from Great Falls, MT. There were five employees identified at this location, all of which have keys to access the business. These employees were identified as:

Socia, Nathan Paul, Manager, RP, (b)(6)/(b)(7)(C)

(b)(6)/(b)(7)(C)

On February 03, 2016, IOI (b)(6)/(b)(7)(C) conducted a background check on each of the five employees, none of the employees were prohibited. The two RPs, Mr. Conley and Mr. Socia were correctly shown in the FLS database. There were no indications of hidden ownership during this investigation.

Variance:

There were no variances identified during this inspection.

2 - Recommendation

Violations require a Warning Letter only; no Recall Inspection is warranted.

3 - Inspection History

This is the licensee's third inspection.

Date of Inspection: 09/05/2005
Type of Inspection: Compliance Inspection
UI#: 778035-2005-0274-B1B

FIREARMS INSPECTION REPORT

Name: Alias Smith and Jones Pawn, Inc.
Trade Name: None

UI#: 788060-2016-0124
FFL#: 9-81-049-02-6F-00477

Inspection Results: No Further Action. No Referrals
Cited Violations: No Violations

Date of Inspection: 04/23/2004
Type of Inspection: Qualification Inspection
UI#: 778035-2004-0395B1B
Inspection Results: Approved. No Referrals
Cited Violations: No Violations

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

The licensee had 127 firearms in inventory, compared to [] open entries. IOIs [(b)(6)/(b)(7)(C)] conducted a 100% inventory against the Acquisition & Disposition (A & D) book. There were [] discrepancy noted during the inspection. The store manager, Mr. Socia stated that one of the handguns on the wall was found to be missing and believed that the handgun fell off the wall and landed in the trashcan (which was noted by IOIs to be located directly below where Mr. Socia stated the handgun was displayed). This firearm was a pistol revolver, manufactured by HARR & RICH, model: vest pocket, [(b)(6)/(b)(7)(C)], Cal/Gag: .22 Revolver. [(b)(3) (112 Public Law 55 125 Stat 552)] [(b)(3) (112 Public Law 55 125 Stat 552)]. On February 04, 2016, IOI: [(b)(6)/(b)(7)(C)] discussed with Mr. Socia that his records were off by one firearm [(b)(6)/(b)(7)(C)] and instructed him to file an ATF Form 3310.11, *Federal Firearms Licensee Firearms Inventory Theft/Loss Report*, which were completed during the inspection on 02/02/2016 (**Exhibit 2**). The licensee was cited for **27 CFR 478.125(e)**, licensee could not account for one firearms.

The Standard Operating Procedures (SOPs) practiced by the licensee included an electronic A & D Book which was in the proper format.

According to an email response from The Violent Crime Analysis Branch (VCAB) received on February 02, 2016, there were no traced firearms for this licensee (**Exhibit 3**). There were no trafficking issues noted during this inspection. There were no firearms with obliterated serial numbers and no referrals generated from this inspection.

The licensee stated that an annual inventory was not conducted and was not part of their SOP. The last inventory was unknown.

5 - ATF Forms 4473 – NICS & Other Dispositions

During the past twelve (12) months, there were [] ATF Forms 4473 generated and [] ATF Forms 4473 reviewed. The licensee properly transferred firearms to other licensees and correctly documented sales to law enforcement officers. There were no suspicious/prohibited purchasers suspected. According to the FFL audit log, there were

FIREARMS INSPECTION REPORT

Name: Alias Smith and Jones Pawn, Inc.
Trade Name: None

UI#: 788060-2016-0124
FFL#: 9-81-049-02-6F-00477

denied transactions and proceed responses during the past 12 months. IOI verified *proceed* responses against the NICS Audit Log and found no discrepancies.

The licensee's Standard Operating Procedures (SOPs) relevant to purchasing/pawning a firearm included first receiving the money for the firearm, second, having the customer fill out the ATF Form 4473, and third, running a National Instant Criminal Background Check System (NICS). If the customer's name came back prohibited, the licensee would inform the customer and refund their money.

The inspection resulted in ATF Forms 4473 with data missing or incomplete from Sections A, B, C and D of the transaction record. The following violations were identified during the course of this inspection with regards to the past 12 months of ATF Forms 4473s (see **Worksheet**).

(b)(3) (112 Public Law 55 125 Stat 552),(b)(6)/(b)(7)(C)

FIREARMS INSPECTION REPORT

Name: Alias Smith and Jones Pawn, Inc.
Trade Name: None

UI#: 788060-2016-0124
FFL#: 9-81-049-02-6F-00477

(b)(3) (112 Public Law 55 125 Stat 552),(b)(6)/(b)(7)(C)

FIREARMS INSPECTION REPORT

Name: Alias Smith and Jones Pawn, Inc.
Trade Name: None

UI#: 788060-2016-0124
FFL#: 9-81-049-02-6F-00477

(b)(3) (112 Public Law 55 125 Stat 552),(b)(6)/(b)(7)(C)

6 - Multiple Sales

Prior to the compliance inspection an Intelligence report was obtained from the ATFs VCAB division. The report showed the licensee was associated with [redacted] multiple sale involving [redacted] firearms (**Exhibit 3**). There were no unreported multiple sales identified during the inspection.

7 - Suspicious/Prohibited Purchasers

The licensee was asked if any suspicious or prohibited persons had attempted to make firearms purchases during the inspection period. The licensee stated that there were no suspicious or prohibited persons noted during the inspection period.

8 - Trace Activity

An intelligence report was obtained from ATFs VCAB division prior to the Inspection. The report revealed the above mentioned multiple sale and no other traces (**Exhibit 3**). On May 05, 2016, IOI [redacted] conducted an inquiry on [redacted] firearms through e-trace and OpenFox; out of the [redacted] firearms [redacted] came back as no response in OpenFox and traced to a purchaser through e-trace. E-trace showed the trace was completed. IOI [redacted] and IOI [redacted] called the licensee and spoke with [redacted] to

FIREARMS INSPECTION REPORT

Name: Alias Smith and Jones Pawn, Inc.
Trade Name: None

UI#: 788060-2016-0124
FFL#: 9-81-049-02-6F-00477

(b)(3) (112 Public Law 55 125 Stat 552),(b)(6)/(b)(7)(C)

9 - NFA/Importer/Collector/Manufacturer

National Firearms Act (NFA), Importer of firearms and Collector of firearms were not applicable to this inspection.

The licensee has a Type 02, *Pawnbroker in Firearms Other Than Destructive Devices*.

10 - Referrals

There were no findings during this Investigation which warranted a referral.

11 - Other

IOI (b)(6)/(b)(7)(C) confirmed that the licensee had their Federal Firearms License (FFL) and Youth Handgun Safety Act Poster prominently displayed in the business premise.

There were no other notable findings made as a result of this inspection.

12 - Closing Actions

On March 15, 2016, IOIs (b)(6)/(b)(7)(C) met in the Helena ATF Office with Mr. Charles Conley, Owner, (b)(6)/(b)(7)(C) Regional Manager, and Mr. Nathan Socia, Manager for the purpose of a closing conference. The Report of Violations was discussed and an amended ROV was sent to the licensee via email. Mr. Conley signed the ROV and faxed it back to IOI (b)(6)/(b)(7)(C). On March 23, 2016, IOI (b)(6)/(b)(7)(C) sent a hard copy of the ROV to the licensee for his records. During the closing conference, the applicant did not provide additional comments; the attendees stated that there would be additional training provided the staff members of Alias Smith and Jones Pawn, Inc. in the near future and that managers would verify the accuracy of the information provided on the ATF Forms 4473.

On July 5, 2016, IOI (b)(6)/(b)(7)(C) made corrections to the ROV. It was realized that the ATF F 4473 (b)(3) (112 Public Law 55 125 Stat 552),(b)(6)/(b)(7)(C) violation was duplicated because the *Transferor's Transaction Serial Number* was read as (b)(3) (112 Public Law 55 125 Stat 552),(b)(6)/(b)(7)(C) (due to difficulty reading the handwriting of the store employee) as such; a duplication of effort was made. (b)(6)/(b)(7)(C) of the ATF Forms 4473 contained errors in Section A, Item 11a where *No* was checked implying that the applicant was not the actual transferee/buyer of the firearm. Additionally, the ROV was corrected to reflect (b)(6)/(b)(7)(C) ATF Forms 4473 were incomplete on questions 11a, 24, 25, 31, 32, 33 and 35. IOI (b)(6)/(b)(7)(C) made the necessary corrections

FIREARMS INSPECTION REPORT

Name: Alias Smith and Jones Pawn, Inc.
Trade Name: None

UI#: 788060-2016-0124
FFL#: 9-81-049-02-6F-00477

to the ROV and met with RP Nathan Socia to discuss the changes made to the ROV. IOI (b)(6)/(b)(7)(C) obtained the RPs signature and left a copy for the licensee's office file.

On July 5, 2016, IOI (b)(6)/(b)(7)(C) concluded the inspection at the licensed premises.

IOI (b)(6)/(b)(7)(C) reviewed the regulatory requirements with the licensee, using the ATF *Acknowledgement of Federal Regulations* Form. The *Acknowledgement of Federal Regulations* Form was signed by Mr. Conley, (b)(6)/(b)(7)(C) and Mr. Socia (**Exhibit 15**). A copy was provided to each individual for their records. The following reference material was provided during the regulatory review:

- ATF *Federal Firearms Licensee Quick Reference and Best Practices Guide*
- ATF Ruling (2010-6) 27 CFR (Code of Federal Regulations) 478.11: *Definitions (Identification Document)*
- ATF Newsletter (March 2013) *Recording Identification Documents on the ATF Form 4473; Military Identification and PCS Orders*
- ATF Publication 3317.2 (February 2010) *How to Report a Theft or Loss of Firearms*
- ATF Open Letter (July 2009) pertaining to Frames and/or Receivers
- U.S. Department of Justice Open Letter (no date) pertaining to the Enrollment and Operations of NICS (National Instant Criminal Background Check System)
- *Youth Handgun Safety Act* Poster – with instructions to post in applicants business premises
- *Youth Handgun Safety Act Notice* (ATF Information 5300.2)
- Copy of FAQ's (Frequently Asked Questions) derived from *ATF Federal Firearms Regulations Reference Guide* (ATF Publication 5300.4, September 2014)
- *ATF Personal Firearms Record* (ATF Publication 3312.8, December 2003)
- ATF FFL Newsletter (April 2015)
- ATF Publication 3317.7 (December 2009) *Disaster Preparedness for Federal Firearms Licensees*

The applicant was advised of the Child Safety Lock Act of 2005 for handgun transfers.

13 – Violations

1) 27 CFR 478.124(c)(1)

Total Number of ATF Forms 4473 Involved: (b)(3) (112 Public Law 55 125 Stat 552)

Section and Item Number: A-2

FIREARMS INSPECTION REPORT

Name: Alias Smith and Jones Pawn, Inc.
Trade Name: None

UI#: 788060-2016-0124
FFL#: 9-81-049-02-6F-00477

Nature of Violation: On [redacted] occasions licensee failed to provide all required information; the *County* was left blank

Exhibits:

[redacted]
(b)(3) (112 Public Law 55 125 Stat 552),(b)(6)/(b)(7)(C)

Licensee's Response: No Response.

Corrective Action: In the future licensee must ensure that all Forms 4473 are fully and accurately completed.

Refer to ATF Form 5030.5 Report of Violations, and Worksheet 1. Per ATF policy, this violation warrants a Warning Letter.

2) 27 CFR 478.21(a)

Number of ATF Forms 4473 Involved: [redacted]
(b)(3) (112 Public Law 55 125 Stat 552)

Details of the [redacted] ATF Forms 4473 are outlined below:

Section and Item Number: **A-11a**

Nature of Violation:

- [redacted] ATF Forms 4473 contained errors whereas, *No* was checked implying that the applicant was not the actual transferee/buyer of the firearm

Exhibits:

[redacted]
(b)(3) (112 Public Law 55 125 Stat 552),(b)(6)/(b)(7)(C)

Section and Item Number: **C-24**

Nature of Violation:

- Licensee failed to obtain a signature recertifying that the questions in Section A were true and accurate after receiving a *delayed* response from NICS. On the same ATF Form 4473, licensee failed to include a date in Section C, Item 25 recertifying that the questions in Section A were true and accurate after receiving a *delayed* response from NICS

FIREARMS INSPECTION REPORT

Name: Alias Smith and Jones Pawn, Inc.
Trade Name: None

UI#: 788060-2016-0124
FFL#: 9-81-049-02-6F-00477

Exhibits:

(b)(3) (112 Public Law 55 125 Stat 552),(b)(6)/(b)(7)(C)

Section and Item Number: D-31

Nature of Violation:

- On (b)(3) (112 Public Law 55 125 Stat 552) *Trade/corporate name and address of transferor* were left blank on the ATF Form 4473.

Exhibits:

(b)(3) (112 Public Law 55 125 Stat 552),(b)(6)/(b)(7)(C)

Section and Item Number: D-32

Nature of Violation:

- On (b)(3) (112 Public Law 55 125 Stat 552) *Federal Firearms License Number* was left blank

Exhibits:

(b)(3) (112 Public Law 55 125 Stat 552),(b)(6)/(b)(7)(C)

Section and Item Number: D-33

Nature of Violation:

- On (b)(3) (112 Public Law 55 125 Stat 552) Section D, Item 33 *Transferor's/Seller's Name* was left blank.

Exhibits:

(b)(3) (112 Public Law 55 125 Stat 552),(b)(6)/(b)(7)(C)

Section and Item Number: D-35

Nature of Violation:

- On (b)(3) (112 Public Law 55 125 Stat 552) licensee failed to print the *Transferor's/Seller's Title*.

Exhibits:

(b)(3) (112 Public Law 55 125 Stat 552),(b)(6)/(b)(7)(C)

Licensees Response: No response.

Corrective Action: Licensee to ensure ATF Forms 4473 are properly completed in future transactions.

Refer to ATF Form 5030.5 Report of Violations, and Worksheet 1.

FIREARMS INSPECTION REPORT

Name: Alias Smith and Jones Pawn, Inc.
Trade Name: None

UI#: 788060-2016-0124
FFL#: 9-81-049-02-6F-00477

Per ATF Policy, O 5370.1B, this violation warrants a Warning Letter.

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

Total Number of ATF Forms 4473 Involved: (b)(3) (112 Public Law 55 125 Stat 552)

Section and Item Number: B-20a

Nature of Violation: On (b)(3) (112 Public Law 55 125 Stat 552) licensee failed to annotate the MT State issued Driver's License expiration date in Section B, Item 20a of the ATF Form 4473

Exhibits:

(b)(3) (112 Public Law 55 125 Stat 552), (b)(6)/(b)(7)(C)

Licensees Response: No Response

Corrective Action: Licensee to ensure ATF Forms 4473 are properly completed in future transactions.

Refer to ATF Form 5030.5 Report of Violations, and Worksheet 1.

Per ATF Policy, O 5370.1B, this violation warrants a Warning Letter.

4) 27 CFR 478.124(c)(4)

Total Number of ATF Forms 4473 Involved: (b)(3) (112 Public Law 55 125 Stat 552)

Section and Item Number: D-28

Nature of Violation: On () occasions licensee failed to document the serial number of a total of (b)(3) (112 Public Law 55 125 Stat 552) firearms on the ATF Form 4473, Section D, Item 28, *Serial Number*

Exhibits:

(b)(3) (112 Public Law 55 125 Stat 552), (b)(6)/(b)(7)(C)

Section and Item Number: D-29

Nature of Violation: On (b)(3) (112 Public Law 55 125 Stat 552) in Section D, Item 29, Type (*pistol, revolver, rifle, shotgun, receiver, frame, etc.*) was missing on the ATF Form 4473

FIREARMS INSPECTION REPORT

Name: Alias Smith and Jones Pawn, Inc.
Trade Name: None

UI#: 788060-2016-0124
FFL#: 9-81-049-02-6F-00477

Exhibits:

(b)(3) (112 Public Law 55 125 Stat 552),(b)(6)/(b)(7)(C)

Licensees Response: No Response.

Corrective Action: Licensee to ensure ATF Forms 4473 are properly completed in future transactions.

Refer to ATF Form 5030.5 Report of Violations, and Worksheet 1.

Per ATF Policy, O 5370.1B, this violation warrants a Warning Letter.

5) 27 CFR 478.124(c)(5)

Total Number of ATF Forms 4473 Involved: (b)(3) (112 Public Law 55 125 Stat 552)

Section and Item Number: D-34 and D-36

Nature of Violation: On (b)(3) (112 Public Law 55 125 Stat 552) the licensee omitted the *Transferor's/Sellers Signature* in Section D, Item 34, and the *date transferred* in Section D, Item 36 of the ATF Form 4473.

Exhibits:

(b)(3) (112 Public Law 55 125 Stat 552),(b)(6)/(b)(7)(C)

Licensees Response: No Response.

Corrective Action: Licensee to ensure ATF Forms 4473 are properly completed in future transactions.

Refer to ATF Form 5030.5 Report of Violations, and Worksheet 1.

Per ATF Policy, O 5370.1B, this violation warrants a Warning Letter.

6) 27 CFR 478.125(e)

Nature of Violation: On (b)(3) (112 Public Law 55 125 Stat 552) licensee could not account for (b)(3) (112 Public Law 55 125 Stat 552) He failed to properly record the disposition of (b)(3) (112 Public Law 55 125 Stat 552)

Licensees Response: Licensee believed the firearm fell into the trash receptacle which was located directly below the firearm (which was displayed on the wall above.)

Corrective Action: Corrected immediately.

FIREARMS INSPECTION REPORT

Name: Alias Smith and Jones Pawn, Inc.
Trade Name: None

UI#: 788060-2016-0124
FFL#: 9-81-049-02-6F-00477

X

Industry Operations Investigator

Index of Worksheets and Exhibits Firearms Worksheet

Exhibits:

Exhibit 1: Firearms Log Book p. 504

Exhibit 2: ATF Theft Loss Report

Exhibit 3: VCAB Report

Exhibit 4:

Exhibit 5:

Exhibit 6:

Exhibit 7:

Exhibit 8:

Exhibit 9: (b)(3) (112 Public Law 55 125 Stat 552),(b)(6)/(b)(7)(C)

Exhibit 10:

Exhibit 11:

Exhibit 12:

Exhibit 13:

Exhibit 14:

Exhibit 15: Acknowledgement

FIREARMS INSPECTION REPORT

Name: Alias Smith and Jones Pawn, Inc.
Trade Name: None

UI#: 788060-2016-0124
FFL#: 9-81-049-02-6F-00477



U.S. Department of Justice

Bureau of Alcohol, Tobacco,
Firearms and Explosives

Industry Operations

*Helena II (IO) Field Office
10 W. 15th Street, Suite 2400
Helena, Montana 59626*

www.atf.gov

April 1, 2016

788060: (b)(6);(b)(7)(C)
5373

CERTIFIED MAIL – RETURN RECEIPT REQUIRED

Mr. Nathan Socia-Manager
Alias Smith and Jones Pawn, Inc.
2112 N. Last Chance Gulch Street
Helena, MT. 59601-0848

RE: 9-81-049-02-6F-00477

Mr. Socia:

During a recent compliance inspection at your business location, 2112 N. Last Chance Gulch, Helena, Montana, covering the period of **Feb. 2015 through Feb .2016**, you were cited for violation of Title 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. You were cited for the following violations:

Violations

1. 27 CFR 478.124(c)(1)

Nature of Violation: On [REDACTED] occasions licensee failed to provide all required information on ATF Forms 4473. Section A, [REDACTED] 2, name of the County was left blank.

Licensee's Response: No Response.

Mr. Nathan Socia-Manager
Alias Smith and Jones Pawn, Inc.

Corrective Action: In the future licensee must ensure that all Forms 4473 are fully and accurately completed.

2. 27 CFR 478.21(a)

Number of ATF Forms 4473 Involved: [REDACTED]

Number of Instances [REDACTED]

Details of the [REDACTED] TF Forms 4473 and the 11 instances are outlined below:

Section and Item Number: A-11a

Nature of Violation:

- [REDACTED] ATF Forms 4473 contained errors whereas, No was checked implying that the applicant was not the actual transferee/buyer of the firearm

Section and Item Number: C-24

Nature of Violation:

- In [REDACTED] instance licensee failed to obtain a signature recertifying that the questions in Section A were true and accurate after receiving a delayed response from NICS.
- In the [REDACTED] instance, the same ATF Form 4473 did not contain a date in Section C, Item 25 recertifying that the questions in Section A were true and accurate after receiving a delayed response from NICS

Section and Item Number: D-31

Nature of Violation:

- On [REDACTED] occasion, Trade/corporate name and address of transferor were left blank on the ATF Form 4473.

Section and Item Number: D-32

Nature of Violation:

- On [REDACTED] occasion, Federal Firearms License Number were left blank.

Section and Item Number: D-33

Nature of Violation:

- On [REDACTED] occasion Section D, Item 35 Transferor's/Seller's Title were left blank certifying that the answers in Section(s) B and D are true and correct

Mr. Nathan Socia-Manager
Alias Smith and Jones Pawn, Inc.

Section and Item Number: D-35

Nature of Violation:

- On [REDACTED] occasion licensee failed to print the Transferor's/Seller's Name certifying that the answers in [REDACTED] on(s) B and D were true and correct

Licensees Response: No response.

Corrective Action: Licensee to ensure ATF Forms 4473 are properly completed in future transactions.

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

Total Number of ATF Forms 4473 Involved [REDACTED]

Number of Instance [REDACTED]

Section and Item Number: B-20a

Nature of Violation: On [REDACTED] occasion, licensee failed to annotate the MT State issued Driver's License expiration date in Section B, Item 20a of the ATF Form 4473

Licensees Response: No Response

Corrective Action: Licensee to ensure ATF Forms 4473 are properly completed in future transactions.

4. 27 CFR 478.124(c)(4)

Total Number of ATF Forms 4473 Involv [REDACTED]

Total Number of Instances [REDACTED]

Section and Item Number: D-28

Nature of Violation: On [REDACTED] occasions licensee failed to document the serial number of a total of [REDACTED] firearms on the ATF Form 4473, Section D, Item 28, Serial Number [REDACTED]

Section and Item Number: D-29

Nature of Violation: On [REDACTED] occasion, in Section D, Item 29, Type (pistol, revolver, rifle, shotgun, receiver, frame [REDACTED] were missing on the ATF Form 4473

Mr. Nathan Socia-Manager
Alias Smith and Jones Pawn, Inc.

Licenses Response: No Response.

Corrective Action: Licensee to ensure ATF Forms 4473 are properly completed in future transactions.

5. 27 CFR 478.124(c)(5)

Total Number of ATF Forms 4473 Involve

(b)(3) 112 PL 55 125 STAT 552

Number of Instance

(b)(3) 112 PL 55 125 STAT 552

Section and Item Number: D-34

Nature of Violation: On occasion licensee omitted the date transferred in Section D, Item 36 of the ATF Form 4473, saying that the answers in Section(s) B and D are true and correct

(b)(3) 112 PL

Licenses Response: No Response.

Corrective Action: Licensee to ensure ATF Forms 4473 are properly completed in future transactions.

6. 27 CFR 478.125(e)

Total Number of Instances:

(b)(3) 112 PL 55 125 S

Nature of Violation: Licensee could not account for one firearm. He failed to properly record the disposition of one firearm.

Licenses Response: Licensee believed the firearm fell into the trash receptacle which was located directly below the firearm (which was displayed on the wall above.)

Corrective Action: Corrected immediately.

The records you are required to maintain and the business operations conducted 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. 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.

Mr. Nathan Socia-Manager
Alias Smith and Jones Pawn, Inc.

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.

If you have any questions concerning your responsibilities as a Federal firearms licensee, or if you require further clarification about particular requirements of Federal firearms laws, please contact ATF at 406-441-3162.

(b)(6);(b)(7)(C)

Enclosure

cc: Federal Firearms Licensing Center
Helena II Field Office