

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) Viking Armament, Inc. 806 North Crest Drive, Unit #4 Grand Junction, CO 81506, Mesa	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 788020-2017-0122-B1B		
	3. PERMIT/LICENSE NUMBER 584077077K05794	4a. TARGET DATE 2/28/2017	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, 01/18/2017

8. PURPOSE/SPECIAL INSTRUCTIONS
DE:FRONTLINE: Full Scope Compliance Inspection - Type 07. (b)(3) - (26 USC 6103)
(b)(3) - (26 USC 6103)

Received a phone call from a (b) (6) on 7/28/2016 where (b) (6) complained this dealer had poor recordkeeping, possible illegal activity, and possible hidden ownership.

9. INSPECTION RESULTS		<input type="checkbox"/> CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC		10. TRAVEL EXPENSES (OPTIONAL)	
NO. OF VIOLATIONS	7	NO. OF REFERRALS		2111 - PER DIEM	
NO. OF TECS CHECKS	2	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: 03/31/2017

Viols WL ONLY and No Recall Inspection

12. TIME ACCOUNTING DATA			
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)		(b) (6)	
JAN 2017	13.00		
FEB 2017	34.00		
ATF OFFICER'S SUBTOTAL	47.00	ATF OFFICER'S SIGNATURE	
TOTAL HOURS	47.00		

13. REVIEW AND ROUTING	
REVIEW COMMENTS AND RECOMMENDATION An on-site full scope Type-07 Manufacturer of Firearms Other Than Destructive Devices compliance inspection was conducted on January 31, 2017. Licensee was cited for seven (7) violations. One of the violations merits a Warning Letter only. No recall inspection is recommended. A Warning Letter was issued and sent to the licensee, dated March 31, 2017.	
Viols WL ONLY and No Recall Inspection	
<input checked="" type="checkbox"/> REVIEWED <input checked="" type="checkbox"/> CONCUR <input checked="" type="checkbox"/> SEE COMMENTS <input checked="" type="checkbox"/> FINAL DISPOSITION	
SIGNATURE AND TITLE (b) (6) Area Supervisor	REVIEW DATE 03/31/2017

May 9 2018 Production

Assignment and Report

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ROUTING SEQUENCE AND DATE

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

CONTROL FILE POSTED DATE _____

U.S. Department of Justice

Bureau of Alcohol, Tobacco, Firearms and Explosives

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 Viking Armament, Inc.	Street Address 806 North Crest Drive, Unit #4	City Grand Junction	State CO	Zip Code 81506-	County Mesa	Page 1 of 6 Pages
License/Permit/Registry Number (If any) 584077077K05794		Expiration Date 10/1/2017	Date(s) or Period of Inspection 01/31/2016 through 01/30/2017			

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-licensed (b) (3) - FUDRO Law).

(b) (3) - FUDRO form the licensee failed to ensure the customer completed Block 13 (What is your State of residence).

(b) (3) - FUDRO form the licensee failed to ensure the customer completed Block 13 (What is your State of residence) and the licensee failed to ensure the customer completed Block 14 (What is your country of citizenship).

Citation: 27 CFR 478.124(c)(1)

Number: 3

Nature of Violation:

Failure to verify the identity of the transferee and note on the ATF Form 4473 the type of identification used (b) (3) - FUDRO Forms).

(b) (3) - FUDRO forms the licensee failed to complete block 20a (Identification).

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)

Going forward, the licensee will obtain a properly completed ATF Form 4473, Section A, prior to making an over-the-counter transfer of a firearm to a non-licensee. It is suggested that the licensee attempt to correct the violation on a copy of the ATF Form 4473.

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

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

Going forward, the licensee will verify the identity of the transferee and note on the ATF Form 4473 the type of identification used. It is suggested that the licensee correct the errors on a copy of the ATF Form 4473

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ATF E-Form 5030 5
Revised April 2005

Report of Violations

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License/Permit/Registry Number <i>(If any)</i> 584077077K05794		Expiration Date 10/1/2017	Date(s) or Period of Inspection 01/31/2016 through 01/30/2017			

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 comply with the requirements of Sec.478.102 and record on the ATF Form 4473 the date on which the licensee contacted CBI, as well as any responses or identification number provided by the system (b)(3) Forms).

(b)(3) - PUBLIC forms the licensee failed to complete block 21a (Date the transferee's identifying information in Section A was transmitted to NICS or the appropriate State agency).

(b)(3) - PUBLIC forms the licensee failed to complete block 21a (Date the transferee's identifying information in Section A was transmitted to NICS or the appropriate State agency) and the licensee failed to complete block 21c (The response initially provided by NICS or the appropriate State agency was).

(b)(3) - PUBLIC forms the licensee failed to complete block 21a (Date the transferee's identifying information in Section A was transmitted to NICS or the appropriate State agency), the licensee failed to complete block 21c (The response initially provided by NICS or the appropriate State agency was), and the licensee failed to complete block 21b (The NICS or State transaction number (if provided) was).

(b)(3) - PUBLIC forms the licensee failed to complete block 21c ((The response initially provided by NICS or the appropriate State agency was).

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

Going forward, the licensee will comply with the requirements of Sec.478.102 and record on the ATF Form 4473, the date on which the licensee contacted CBI, as well as any responses or identification number provided by the system. It is suggested that the licensee correct the errors on a copy of the ATF Form 4473.

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U.S. Department of Justice

Bureau of Alcohol, Tobacco, Firearms and Explosives

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Name of Proprietor Viking Armament, Inc.	Street Address 806 North Crest Drive, Unit #4	City Grand Junction	State CO	Zip Code 81506-	County Mesa	Page 3 of 6 Pages
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License/Permit/Registry Number (If any) 584077077K05794	Expiration Date 10/1/2017	Date(s) or Period of Inspection 01/31/2016 through 01/30/2017
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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:

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

Number: 5

Nature of Violation:

Failure to sign and/or date the ATF Form 4473 when the licensee does not know or have reasonable cause to believe that the transferee is disqualified by law from receiving the firearm (b)(3) - Public Law 101-646 Forms).

(b)(3) - Public Law 101-646 forms the licensee failed to complete block 34 (Transferor's/Seller's Signature) and the licensee failed to complete block 36 (Date Transferred).

(b)(3) - Public Law 101-646 forms the licensee failed to complete block 36 (Date Transferred).

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)

Going forward the licensee will sign and/or date the ATF Form 4473 when the licensee does not know or have reasonable cause to believe that the transferee is disqualified by law from receiving the firearm. It is suggested that the licensee attempt to correct the violation on a copy of the ATF Form 4473.

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Revised April 2005

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Bureau of Alcohol, Tobacco, Firearms and Explosives

Report of Violations

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License/Permit/Registry Number (If any) 584077077K05794	Expiration Date 10/1/2017	Date(s) or Period of Inspection 01/31/2016 through 01/30/2017				

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:

Failure to prepare and submit a report of multiple sales or other disposition (ATF Form 3310.4) whenever the licensee sells or otherwise disposes of, two or more pistols, or revolvers, or any combination of pistols or revolvers totaling two or more to an unlicensed person at one time or during any five consecutive business days (Form).

form the licensee failed to complete a Report of Multiple Sales when pistols were sold to the same customer on the same day.

Citation: 27 CFR 478.126(a)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

Going forward the licensee will prepare and submit a report of multiple sales or other disposition (ATF Form 3310.4) whenever the licensee sells or otherwise disposes of, two or more pistols, or revolvers, or any combination of pistols or revolvers totaling two or more to an unlicensed person at one time or during any five consecutive business days

Number: 7

Nature of Violation:

Failure to enter into a record every disposition of individual firearm instances).

I instances, the licensee had a firearm that showed open in the A & D book, but was not in physical inventory. The dispositions were reconciled with ATF Forms 4473.

Citation: 27 CFR 478.123(d)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

The licensee will immediately correct the disposition entries that are missing information. The licensee will immediately record the disposition information for the firearms open in the A & D book that are not in physical inventory.

May 9 2018 Production

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ATF E-Form 5030 5
Revised April 2005

Report of Violations

Instructions

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License/Permit/Registry Number <i>(If any)</i> 584077077K05794		Expiration Date 10/1/2017	Date(s) or Period of Inspection 01/31/2016 through 01/30/2017			

Inspection Results

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

Number: 8

Nature of Violation:

Failure to obtain and/or furnish all information required on each ATF Form 4473 as indicated by the headings on the form and the instructions on or pertaining to it (b)(3) - Public Law 107-153.

(b)(3) - Public Law 107-153 forms the licensee failed to ensure the customer filled out Block 10a (Ethnicity).

(b)(3) - Public Law 107-153 form the licensee failed to ensure the customer filled out Block 10a (Ethnicity) and the licensee failed to complete block 32 (Federal Firearms License Number).

(b)(3) - Public Law 107-153 form the licensee failed to complete block 18 (Type of Firearm(s) to be transferred) and failed to complete block 32 (Federal Firearms License Number).

(b)(3) - Public Law 107-153 forms the licensee failed to complete block 32 (Federal Firearms License Number).

(b)(3) - Public Law 107-153 forms the licensee failed to complete block 31 (Trade/corporate name and address of transferor) and the licensee failed to complete block 32 (Federal Firearms License Number).

(b)(3) - Public Law 107-153 forms the licensee failed to complete block 33 (Transferor's/Seller's Name) and the licensee failed to complete block 35 (Transferor's/Seller's Title).

(b)(3) - Public Law 107-153 form the licensee failed to complete block 32 (Federal Firearms License Number) the licensee failed to complete block 33 (Transferor's/Seller's Name) and the licensee failed to complete block 35 (Transferor's/Seller's Title).

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

Going forward, the licensee will obtain and/or furnish all information required on each ATF Form 4473 as indicated by the headings on the form and the instructions on or pertaining to it. It is suggested that the licensee attempts to correct the violations on a copy of the ATF Forms 4473.

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U.S. Department of Justice

Bureau of Alcohol, Tobacco, Firearms and Explosives

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License/Permit/Registry Number <i>(If any)</i> 584077077K05794		Expiration Date 10/1/2017	Date(s) or Period of Inspection 01/31/2016 through 01/30/2017			

Inspection Results

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

Citation: 27 CFR 478.21(a)

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

Date

Signature and Title of ATF Officer
May 9 2018 Production

Date

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ATF E-Form 5030 5
Revised April 2005



U.S. Department of Justice

Bureau of Alcohol, Tobacco,
Firearms and Explosives

www.atf.gov

March 31, 2017

788020 (b) (6)
5373

CERTIFIED MAIL – RETURN RECEIPT REQUIRED

Michael G. Neil, President
Viking Armament, Inc.
806 North Crest Drive, Unit #4
Grand Junction, CO 81506

RE: 5-84-077-07-7K-05794

Dear Mr. Neil:

During a recent compliance inspection at Viking Armament, Inc., 806 North Crest Drive #4, Grand Junction, Colorado, covering the period of January 31, 2016 through January 30, 2017, your corporation was 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. Your corporation was cited for:

27 CFR 478.21(a) – Failure to obtain and/or furnish all information required on each ATF Form 4473 as indicated by the headings on the form and the instructions on or pertaining to it (b) (3) - Public Arms)

27 CFR 478.124(c)(1) – 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-license (b) (3) - Public Arms)

27 CFR 478.124(c)(3)(i) – Failure to verify the identity of the transferee and note on the ATF Form 4473 the type of identification used (b) (3) - Public Law 112-5 forms)

27 CFR 478.124(c)(3)(iv) – Failure to comply with the requirements of Sec.478.102 and record on the ATF Form 4473 the date on which the licensee contacted CBI, as well as any responses or identification number provided by the system (b) (3) - Public Law 112-55 (1) forms)

27 CFR 478.124(c)(5) - Failure to sign and/or date the ATF Form 4473 when the licensee does not know or have reasonable cause to believe that the transferee is disqualified by law from receiving the firearm (b) (3) - Public Law 112-55 (1) forms)

27 CFR 478.126a – Failure to prepare and submit a report of multiple sales or other disposition (ATF Form 3310.4) whenever the licensee sells or otherwise disposes of, two or more pistols, or revolvers, or any combination of pistols or revolvers totaling two or more to an unlicensed person at one time or during any five consecutive business days (b) (3) - Public Law 112-55 (1) Form)

27 CFR 478.123(d) - Failure to enter into a record every disposition of individual firearms (b) (3) - Public Law 112-55 (1) instances)

These violations were explained fully to you by the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) Investigator. You indicated to the Investigator your understanding of the requirements of the Federal firearms laws and regulations, and that corrective actions would be taken to eliminate future violations.

The records your corporation is 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 corporation's 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 your corporation 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 corporation's Federal firearms license is conditioned upon your corporation's 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 corporation's license.

Michael G. Neil, President
Viking Armament, Inc.
Page 3

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 us at (b) (6)

(b) (6)

Area Supervisor
Denver III Field Office

Enclosure

cc: Federal Firearms Licensing Center
Denver III Field Office

FIREARMS INSPECTION REPORT

Name: Viking Armament, Inc.
Trade Name:

UI#: 788020-2017-0122-B1B
FFL#: 584077077K05794

Address: 806 North Crest Drive, Unit #4
Grand Junction, CO 81506, Mesa County

1 - Introduction

Inspection Profile:

On 01/31/2017, Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) Industry Operations Investigator (IOI) (b)(6) conducted an on-site full Type-07 Manufacturer of Firearms Other Than Destructive Devices compliance inspection of Viking Armament, Inc. Investigator (b)(6) interviewed Michael G. Neil, owner, who positively identified himself with his Colorado Driver's License number (b)(6). No other Federal, State, or local agencies were present during the inspection.

The inspection period covered 01/31/2016, through 01/30/2017. Advanced notification was not given prior to the inspection.

Prior to the inspection, Investigator (b)(6) queried Michael F. Neil and Michael G. Neil in the ATF NForce database in order to determine if they are currently a part of a criminal investigation, which did not return any hits.

Prior to the inspection, Investigator (b)(6) queried Michael F. Neil and Michael G. Neil in the FLS database in order to determine if they are associated with any other ATF licenses or permits that have received, or are currently receiving administrative action or revocation, which did not receive any hits.

Prior to the inspection, Investigator (b)(6) conducted an NCIC query on Michael F. Neil and Michael G. Neil. There was a hit on Michael F Neil for an incident in 2016. The severity of the incident was unknown. Investigator (b)(6) called the Henry County Sheriff's office in Tennessee. They stated they do not have Michael F Neil on record for any offenses.

Business Profile:

Mr. Neil currently possesses an ATF Type-07 Manufacturer of Firearms Other Than Destructive Devices Federal Firearms License (FFL). The business is located in an industrial area in Grand Junction, Colorado. Mr. Neil stated that he conducts transfers and sells firearms, including NFA firearms. Mr. Neil also manufactures firearms, mainly rifles. Mr. Neil does not participate in gun shows. Mr. Neil does not conduct Internet sales. Mr. Neil does not sell firearms on consignment. Mr. Neil does not deal in black powder. Mr. Neil's primary suppliers are (b) (4).

FIREARMS INSPECTION REPORT

Name: Viking Armament, Inc.
Trade Name:

UI#: 788020-2017-0122-B1B
FFL#: 584077077K05794

The licensee's Acquisition and Disposition (A&D) book indicates Mr. Neil acquired approximately (b)(4) firearms during the inspection period and disposed of approximately (b)(4) firearms during the inspection period.

Mr. Neil does not conduct any other business from the premises. Mr. Neil does not utilize any off-site storage locations. Mr. Neil does not hold any other ATF licenses or permits. Mr. Neil has held an ATF Type-07 FFL since 2014.

Ownership and Control:

Viking Armament, Inc., is a corporation owned by Michael Gene Neil and his Father Michael Floyd Neil. Prior to the inspection, Investigator (b)(6) queried the Colorado Secretary of State's website and found that Viking Armament, Inc., is in good standing [Exhibit 1].

Viking Armament, Inc., leases the storefront space from (b)(6) [Exhibit 2].

During the inspection, Mr. Neil did not request the addition or deletion of any Responsible Persons.

There have been no unreported changes in ownership. Hidden ownership was not suspected, and Mr. Neil did not make any statements that would suggest hidden ownership is present.

Variance:

The licensee currently holds an ATF approved marking variance [Exhibit 3].

2 - Recommendation

Violations, WL only and No Recall Inspection

The licensee has no compliance inspection history.

3 - Inspection History

Investigator (b)(6) review of the Area Office file revealed the following inspections:

Date of Inspection:	07/17/2014
Type of Inspection:	Firearms Application Inspection Type - 07
UI#:	788020-2014-0327-B1B
Inspection Results:	Application Approved
Cited Violations:	None

FIREARMS INSPECTION REPORT

Name: Viking Armament, Inc.
Trade Name:

UI#: 788020-2017-0122-B1B
FFL#: 584077077K05794

Date of Inspection: 07/17/2014
Type of Inspection: Firearms Application Inspection Type - 01
UI#: 788020-2014-0326-B1B
Inspection Results: Application Withdrawn
Cited Violations: None

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

Based on a review of the licensee's A&D book, the licensee showed (b)(3) open entries of firearms. Investigator (b)(6) completed a 100 percent inventory. The licensee had (b)(3) open entries and 34 firearms in physical inventory, resulting in (b)(3) inventory discrepancies.

The licensee's A&D book was in the proper format and contained all the required information. However all entries were not timely and/or correctly made.

In (b)(3) instances, the licensee had a firearm that showed open in the A&D Book, but was not in physical inventory. The dispositions were reconciled with ATF Form 4473s. The licensee failed to timely log the firearm out of the A&D book [Exhibit 14 and Worksheet 1].

The licensee made all of the necessary corrections to the A&D book for the above cited instances.

There were no theft/loss reports submitted by Michael Neil during the inspection period. No theft/loss reports were submitted as a result of the inspection.

Investigator (b)(6) compared (b)(3) ATF Forms 4473 to the corresponding A&D book entries and did not disclose any discrepancies. Investigator (b)(6) did not discover any trafficking issues relating to the licensee's A&D book. Investigator (b)(6) did not discover any obliterated serial numbers or illegal firearms.

The licensee was cited for the following violation:

ROV #7– 27 CFR 478.125(e) – Failure to enter into a record each receipt and every disposition of individual firearms (b)(3) instances) [ATF Form 5030.5, Worksheet 1, and Exhibit 14].

The licensee made all of the necessary corrections to the A&D book for the above cited instances.

5 - ATF Forms 4473 – NICS & Other Dispositions

FIREARMS INSPECTION REPORT

Name: Viking Armament, Inc.
Trade Name:

UI#: 788020-2017-0122-B1B
FFL#: 584077077K05794

The licensee had [REDACTED] ATF Forms 4473 on file for the period of the inspection. Investigator (b)(6) conducted a review of 100 percent of the ATF Forms 4473 completed during the 12 month review period. The licensee did not have any denied forms on file for the inspection period.

Based on a review of the licensee's records, the licensee properly conducted sales to other licensees and did not conduct any sales to law enforcement officers for duty purposes.

Based on a review of the licensee's ATF Forms 4473, the licensee was cited for the following violations:

ROV #1 – 27 CFR 478.21(a) – Failure to obtain and/or furnish all information required on each ATF Form 4473 as indicated by the headings on the form and the instructions on or pertaining to it [REDACTED] forms) [ATF Form 5030.5, Worksheet 2, and Exhibit 8].

ROV #2 – 27 CFR 478.124(c)(1) – 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 [REDACTED] forms) [see ATF Form 5030.5, Worksheet 2, and Exhibit 9].

ROV #3 – 27 CFR 478.124(c)(3)(i) – Failure to verify the identity of the transferee and note on the ATF Form 4473 the type of identification used [REDACTED] forms) [ATF Form 5030.5, Worksheet 2, and Exhibit 10].

ROV #4 – 27 CFR 478.124(c)(3)(iv) – Failure to comply with the requirements of Sec.478.102 and record on the ATF Form 4473 the date on which the licensee contacted CBI, as well as any responses or identification number provided by the system [REDACTED] forms) [ATF Form 5030.5, Worksheet 2, and Exhibit 11].

ROV #5 – 27 CFR 478.124(c)(5) – Failure to sign and/or date the ATF Form 4473 when the licensee does not know or have reasonable cause to believe that the transferee is disqualified by law from receiving the firearm [REDACTED] forms) [ATF Form 5030.5, Worksheet 2, and Exhibit 12].

Investigator (b)(6) suggested that Mr. Neil make contact with the customers in order to return to the premises to make the necessary corrections on a copy of the ATF Form 4473. Investigator (b)(6) suggested that Mr. Neil make the necessary corrections on the licensee's part of the ATF Form 4473 on a copy of the form.

6 - Multiple Sales

Prior to the inspection, Investigator (b)(6) obtained an FFL Master Query which showed that the licensee did not submit any multiple sales for the inspection period.

FIREARMS INSPECTION REPORT

Name: Viking Armament, Inc.
Trade Name:

UI#: 788020-2017-0122-B1B
FFL#: 584077077K05794

While reviewing the ATF Forms 4473, Investigator (b)(6) found the licensee had conducted a multiple sale and failed to complete a multiple sale or other disposition ATF Form 3310.4.

The licensee was cited for the following:

ROV #6 – 27 CFR 478.126(a) – Failure to prepare and submit a report of multiple sales or other disposition (ATF Form 3310.4) whenever the licensee sells or otherwise disposes of, two or pistols, or revolvers, or any combination of pistols or revolvers totaling two or more to an unlicensed person at one time or during any five consecutive business days (b)(6) form). [ATF Form 5030.5, Worksheet 2, and Exhibit 13].

The licensee filled out a multiple sale form and submitted it to the appropriate agencies for the above cited instance.

7 - Suspicious/Prohibited Purchasers

During the inspection, Investigator (b)(6) did not identify any suspicious or prohibited purchasers. No violations were discovered.

8 - Trace Activity

Prior to the inspection, Investigator (b)(6) obtained a FFL Master Query which did not show any traces to the licensee during the inspection period. Based on a review of the FFL Master Query, there were not any unsuccessful traces.

A secondary market analysis was not conducted as the licensee does not deal in used firearms.

9 - NFA/Importer/Collector/Manufacturer

The licensee does not import or collect firearms.

The licensee currently holds an active SOT stamp in order to deal NFA firearms. Prior to the inspection, Investigator (b)(6) obtained a National Firearm Registration and Transfer Record (NFRTR), which showed (b)(6) NFA firearms registered to the licensee [Exhibit 4]. Investigator (b)(6) compared the firearms listed on the NFRTR, the licensee had 18 NFA firearms at his shop.

Eleven of the NFA firearms were returned to the distributor due to warranty issues. Mr. Neil provided an email with the distributors contact information [Exhibit 5].

FIREARMS INSPECTION REPORT

Name: Viking Armament, Inc.
Trade Name:

UI#: 788020-2017-0122-B1B
FFL#: 584077077K05794

Investigator (b)(6) called (b)(4) and spoke to (b)(3) - 112 Public Law 9. She confirmed all Eleven NFA firearms were returned to them due to warranty issues.

Twenty of the NFA firearms had not shipped from the distributor because Mr. Neil had not paid for them yet. Mr. Neil provided invoices for the items that had not shipped from the distributor. [Exhibit 6].

Investigator (b)(6) found that the licensee is maintaining all of the required forms pertaining to the transfer of NFA firearms. No discrepancies were found.

Mr. Neil manufactured approximately 101 firearms during the inspection period. All firearms manufactured were rifles. Mr. Neil manufactures firearms on an order basis. There were approximately 25 receivers with Viking Armament's information on the premises. Investigator (b)(6) confirmed the receivers manufactured by the licensee were marked according to 27 CFR 478.92, 479.102, and ATF Rulings 2009-5, 2012-1, and 2013-3.

IOI (b)(6) verified that the licensee submitted ATF Form 5300.11, Annual Firearms Manufacturing and Exportation Report (AFMER) as called for under the regulations.

10 - Referrals

No referrals were generated as a result of the inspection.

11 - Other

During the inspection, Investigator (b)(6) obtained an email address for Mr. Neil: Mike@vikingarmament.com

12 - Closing Actions

On 02/01/2017, Investigator (b)(6) held a closing conference with Mr. Neil. Investigator (b)(6) issued the licensee a Report of Violations (ROV) and reviewed each violation and corrective action thoroughly with Mr. Neil, and afforded him the opportunity to ask questions. Investigator (b)(6) asked Mr. Neil to sign the ROV and he was provided a copy for the licensee's records.

Investigator (b)(6) reviewed the Acknowledgement of Federal Firearms Regulations with Mr. Neil and afforded him the opportunity to ask questions. Investigator (b)(6) asked Mr. Neil to sign the acknowledgement and he was provided a copy for the licensee's records [Exhibit 7].

FIREARMS INSPECTION REPORT

Name: Viking Armament, Inc.
Trade Name:

UI#: 788020-2017-0122-B1B
FFL#: 584077077K05794

13 - Violations

1. 27 CFR 478.21(a)

Nature of Violation: Failure to obtain and/or furnish all information required on each ATF Form 4473 as indicated by the headings on the form and the instructions on or pertaining to it (b)(3) forms) [Exhibit 8].

On (b)(3) forms the licensee failed to ensure the customer filled out Block 10a (Ethnicity) [ATF Forms 4473 for (b)(6) (b)(3) - 112 Public Law 55 125 Stat 552].

On (b)(3) form the licensee failed to ensure the customer filled out Block 10a (Ethnicity) and the licensee failed to complete block 32 (Federal Firearms License Number) [ATF Form 4473 for (b)(6) (b)(3) - 112 Public Law 55 125 Stat 552].

On (b)(3) form the licensee failed to complete block 18 (Type of Firearm(s) to be transferred) and failed to complete block 32 (Federal Firearms License Number) [ATF Form 4473 for (b)(6) (b)(3) - 112 Public Law 55 125 Stat 552].

On (b)(3) forms the licensee failed to complete block 32 (Federal Firearms License Number) [ATF Forms 4473 for (b)(6) (b)(3) - 112 Public Law 55 125 Stat 552].

On (b)(3) forms the licensee failed to complete block 31 (Trade/corporate name and address of transferor) and the licensee failed to complete block 32 (Federal Firearms License Number) [ATF Forms 4473 for (b)(6) (b)(3) - 112 Public Law 55 125 Stat 552].

On (b)(3) forms the licensee failed to complete block 33 (Transferor's/Seller's Name) and the licensee failed to complete block 35 (Transferor's/Seller's Title) [ATF Forms 4473 for (b)(6) (b)(3) - 112 Public Law 55 125 Stat 552].

On (b)(3) form the licensee failed to complete block 32 (Federal Firearms License Number) the licensee failed to complete block 33 (Transferor's/Seller's Name) and the licensee failed to complete block 35 (Transferor's/Seller's Title) [ATF Form 4473 for (b)(6) (b)(3) - 112 Public Law 55 125 Stat 552].

Licensee's Response: Mr. Neil stated that the violation occurred due to "personal issues this year, he got behind in his record keeping."

Corrective Action: Going forward, the licensee will obtain and/or furnish all information required on each ATF Form 4473 as indicated by the headings on the form and the instructions on or pertaining to it. It is suggested that the licensee attempts to correct the violations on a copy of the ATF Forms 4473.

FIREARMS INSPECTION REPORT

Name: Viking Armament, Inc.
Trade Name:

UI#: 788020-2017-0122-B1B
FFL#: 584077077K05794

Reference: Worksheet 2

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 (b)(3) forms) [Exhibit 9].

On (b)(3) - 1 form the licensee failed to ensure the customer completed Block 13 (What is your State of residence) [ATF Form 4473 for (b)(3) (b)(3) - 112 F].

On (b)(3) - 1 form the licensee failed to ensure the customer completed Block 13 (What is your State of residence) and the licensee failed to ensure the customer completed Block 14 (What is your country of citizenship) [ATF Form 4473 for (b)(3) (b)(3)].

Licensee's Response: Mr. Neil stated that the violation occurred due to "personal issues this year, he got behind in his record keeping."

Corrective Action: Going forward, the licensee will obtain a properly completed ATF Form 4473, Section A, prior to making an over-the-counter transfer of a firearm to a non-licensee. It is suggested that the customer correct the errors on a copy of the ATF Form 4473.

Reference: Worksheet 2

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

Nature of Violation: Failure to verify the identity of the transferee and note on the ATF Form 4473 the type of identification used ((b)(3) - 112 forms) [Exhibit 10].

On (b)(3) - 112 forms the licensee failed to complete block 20a (Identification) [ATF Forms 4473 for (b)(6) (b)(3) - 112 Public Law 55 125 Stat 552].

Licensee's Response: Mr. Neil stated that the violation occurred due to "personal issues this year, he got behind in his record keeping."

Corrective Action: Going forward, the licensee will verify the identity of the transferee and note on the ATF Form 4473 the type of identification used. It is suggested that the licensee correct the errors on a copy of the ATF Form 4473.

Reference: Worksheet 2

FIREARMS INSPECTION REPORT

Name: Viking Armament, Inc.
Trade Name:

UI#: 788020-2017-0122-B1B
FFL#: 584077077K05794

4. **27 CFR 478.124(c)(3)(iv)**

Nature of Violation: Failure to comply with the requirements of Sec.478.102 and record on the ATF Form 4473 the date on which the licensee contacted CBI, as well as any responses or identification number provided by the system (b)(6) (b)(3) - 112 Public Law 55 125 Stat 552 forms) [Exhibit 11].

On (b)(3) - 112 Public Law 55 125 Stat 552 forms the licensee failed to complete block 21a (Date the transferee's identifying information in Section A was transmitted to NICS or the appropriate State agency) [ATF Forms 4473 for (b)(6) (b)(3) - 112 Public Law 55 125 Stat 552].

On (b)(3) - 112 Public Law 55 125 Stat 552 forms the licensee failed to complete block 21a (Date the transferee's identifying information in Section A was transmitted to NICS or the appropriate State agency) and the licensee failed to complete block 21c (The response initially provided by NICS or the appropriate State agency was) [ATF Forms 4473 for (b)(6) (b)(3) - 112 Public Law 55 125 Stat 552].

On (b)(3) - 112 Public Law 55 125 Stat 552 forms the licensee failed to complete block 21a (Date the transferee's identifying information in Section A was transmitted to NICS or the appropriate State agency), the licensee failed to complete block 21c (The response initially provided by NICS or the appropriate State agency was), and the licensee failed to complete block 21b (The NICS or State transaction number (if provided) was) [ATF Forms 4473 for (b)(6) (b)(3) - 112 Public Law 55 125 Stat 552].

On (b)(3) - 112 Public Law 55 125 Stat 552 forms the licensee failed to complete block 21c ((The response initially provided by NICS or the appropriate State agency was) [ATF Forms 4473 for (b)(6) (b)(3) - 112 Public Law 55 125 Stat 552].

Licensee's Response: Mr. Neil stated that the violation occurred due to "personal issues this year, he got behind in his record keeping."

Corrective Action: Going forward, the licensee will comply with the requirements of Sec.478.102 and record on the ATF Form 4473 the date on which the licensee contacted CBI, as well as any responses or identification number provided by the system. It is suggested that the licensee correct the errors on a copy of the ATF Form 4473.

Reference: Worksheet 2

5. **27 CFR 478.124(c)(5)**

Nature of Violation: Failure to sign and/or date the ATF Form 4473 when the licensee does not know or have reasonable cause to believe that the transferee is disqualified by law from receiving the firearm (b)(3) - 112 Public Law 55 125 Stat 552 forms) [Exhibit 12].

FIREARMS INSPECTION REPORT

Name: Viking Armament, Inc.
Trade Name:

UI#: 788020-2017-0122-B1B
FFL#: 584077077K05794

On (b)(9) - 112 forms the licensee failed to complete block 34 (Transferor's/Seller's Signature) and the licensee failed to complete block 36 (Date Transferred) [ATF Forms 4473 for (b)(6) (b)(3) - 112 Public Law 55 125 Stat 552].

On (b)(9) - 112 forms the licensee failed to complete block 36 (Date Transferred) [ATF Forms 4473 for (b)(6) (b)(3) - 112 Public Law 55 125 Stat 552].

Licensee's Response: Mr. Neil stated that the violation occurred due to "personal issues this year, he got behind in his record keeping."

Corrective Action: Going forward, the licensee will sign and/or date the ATF Form 4473 when the licensee does not know or have reasonable cause to believe that the transferee is disqualified by law from receiving the firearm. It is suggested that the licensee correct the errors on a copy of the ATF Form 4473.

Reference: Worksheet 2

6. 27 CFR 478.126(a)

Nature of Violation: Failure to prepare and submit a report of multiple sales or other disposition (ATF Form 3310.4) whenever the licensee sells or otherwise disposes of, two or more pistols, or revolvers, or any combination of pistols or revolvers totaling two or more to an unlicensed person at one time or during any five consecutive business days (b)(9) - 112 Form) [Exhibit 13].

On (b)(9) - 112 form the licensee failed to complete a Report of Multiple Sales when two pistols were sold to the same customer on the same day [ATF Form 4473 for (b)(6) (b)(3) - 112 Public Law 55 125 Stat 552].

Licensee's Response: Mr. Neil stated that the violation occurred due to "personal issues this year, he got behind in his record keeping."

Corrective Action: Going forward the licensee will prepare and submit a report of multiple sales or other disposition (ATF Form 3310.4) whenever the licensee sells or otherwise disposes of, two or more pistols, or revolvers, or any combination of pistols or revolvers totaling two or more to an unlicensed person at one time or during any five consecutive business days.

Reference: Worksheet 2

7. 27 CFR 478.123(d)

FIREARMS INSPECTION REPORT

Name: Viking Armament, Inc.
Trade Name:

UI#: 788020-2017-0122-B1B
FFL#: 584077077K05794

Nature of Violation: Failure to enter into a record every disposition of individual firearms (b)(3)-112 instances) [Exhibit 14].

In (b)(3)-112 instances, the licensee had a firearm that showed open in the A & D book, but was not in physical inventory. The dispositions were reconciled with ATF Forms 4473.

Licensee's Response: Mr. Neil stated that the violation occurred due to "personal issues this year, he got behind in his record keeping."

Corrective Action: The licensee will immediately correct the disposition entries that are missing information. The licensee will immediately record the disposition information for the four firearms open in the A & D book that are not in physical inventory.

Reference: Worksheet 1

X

Industry Operations Investigator

Index of Worksheets and Exhibits

Firearms Inspection – Informational Page
Worksheet 1 – Inventory and A&D Review Worksheet
Worksheet 2 – ATF Form 4473 (2008 Edition) Review Worksheet
Worksheet 2 – ATF Form 4473 (2012 Edition) Review Worksheet
Firearms Inspection – Statistical Page

Exhibit 1 – Query from the Colorado Secretary of State's website for entity
Exhibit 2 – Query from the El Paso County Assessor Office's website
Exhibit 3 – Variance
Exhibit 4 – NFRTR
Exhibit 5 – NFA Item Email
Exhibit 6 – NFA Items Invoices
Exhibit 7 – Acknowledgement of Federal Firearms Regulations
Exhibit 8 – ATF Forms 4473 for ROV #1 – 27 CFR 478.21(a)
Exhibit 9 – ATF Forms 4473 for ROV #2 – 27 CFR 478.124(c)(1)
Exhibit 10 – ATF Forms 4473 for ROV #3 – 27 CFR 478.124(c)(3)(i)
Exhibit 11 – ATF Forms 4473 for ROV #4 – 27 CFR 478.124(c)(3)(iv)

FIREARMS INSPECTION REPORT

Name: Viking Armament, Inc.
Trade Name:

UI#: 788020-2017-0122-B1B
FFL#: 584077077K05794

Exhibit 12 – ATF Forms 4473 for ROV #5 – 27 CFR 478.124(c)(5)

Exhibit 13 – ATF Forms 4473 for ROV #6 - 27 CFR 478.126(a)

Exhibit 14 – ATF Forms 4473 for ROV #7 - 27 CFR 478.123(d)