

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) SJT INC ROCKPORT PAWN & JEWELRY 1700 HWY 35N ROCKPORT, TX 78382, ARANSAS	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) <p style="text-align: center;">782110-2016-0018-B1B</p> 3. PERMIT/LICENSE NUMBER 4a. TARGET DATE 4b. TARGET HOURS <p style="text-align: center;">574007028B03645</p> 5. REQUESTED BY (SIGNATURE, TITLE AND DATE)
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6. ATF OFFICER(S) ASSIGNED

(b)(6) - Lead Investigator
(b)(6) Assigned Investigator

7. ASSIGNED BY (SIGNATURE, TITLE AND DATE)

(b)(6), Area Supervisor, 10/01/2015

8. PURPOSE/SPECIAL INSTRUCTIONS

9. INSPECTION RESULTS		<input type="checkbox"/> CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC	10. TRAVEL EXPENSES (OPTIONAL)	
NO. OF VIOLATIONS	2	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: 11/02/2015

Viols WL ONLY and No Recall Inspection

12. TIME ACCOUNTING DATA			
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)		(b)(6)	
	OCT 2015	28.00	
ATF OFFICER'S SUBTOTAL	28.00	ATF OFFICER'S SIGNATURE	
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)		(b)(6)	
	OCT 2015	16.00	
ATF OFFICER'S SUBTOTAL	16.00	ATF OFFICER'S SIGNATURE	
TOTAL HOURS		44.00	

13. REVIEW AND ROUTING

REVIEW COMMENTS AND RECOMMENDATION

Viols WL ONLY and No Recall Inspection

REVIEWED
 CONCUR
 SEE COMMENTS
 FINAL DISPOSITION

SIGNATURE AND TITLE	REVIEW DATE
(b)(6) - Area Supervisor (b)(6) <small>Date: 2015 11 02 13:24:01 -0500</small>	11/02/2015

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	3. PERMIT/LICENSE NUMBER 574007028B03645	4a. TARGET DATE	4b. TARGET HOURS
	5. REQUESTED BY (SIGNATURE, TITLE AND DATE)		

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 SJT INC ROCKPORT PAWN & JEWELRY	Street Address 1700 HWY 35N	City ROCKPORT	State TX	Zip Code 78382-	County ARANSAS	Page 1 of 2 Pages
License/Permit/Registry Number <i>(If any)</i> 574007028B03645		Expiration Date 2/1/2018	Date(s) or Period of Inspection 10/13/2015 through 10/14/2015			

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 contact NICS or obtain a valid exception to NICS prior to transferring a firearm(s) to a licensee in [redacted] instances;

(b)(3), Public Law 112-55, 125 STAT 552, (b)(6)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

Licensee is to obtain a valid Texas Conceal Permit when conducting firearm (handguns) transfers at any time when transferring to a non-licensee.

Citation: 27 CFR 478.102(a)

Report of Violations

Instructions

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

Name of Proprietor SJT INC ROCKPORT PAWN & JEWELRY	Street Address 1700 HWY 35N	City ROCKPORT	State TX	Zip Code 78382-	County ARANSAS	Page 2 of 2 Pages
License/Permit/Registry Number <i>(If any)</i> 574007028B03645		Expiration Date 2/1/2018	Date(s) or Period of Inspection 10/13/2015 through 10/14/2015			

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 retain the ATF Form 4473 for the prescribed period and failure to record any NICS transaction number on the form, where the licensee initiated a NICS check for a proposed firearm transaction but the sale, delivery or transfer of the firearm was not made in instances;

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

Licensee is to retain ATF Forms 4473 as prescribed under ATF GCA regulations.

(b)(3), Public Law 112-55, 125 STAT 552, (b)(6)



Citation: 27 CFR 478.129(b)

I Have Received a Copy of This Report of Violations <i>(Proprietor's signature and title)</i>	Date
Signature and Title of ATF Officer	Date



U.S. Department of Justice

Bureau of Alcohol, Tobacco,
Firearms and Explosives

McAllen II Field Office

NOV 02 2015

McAllen, TX 78504

www.atf.gov

CERTIFIED

782110: EDS
1000

SJT Inc.
Rockport Pawn & Jewelry
1700 Hwy 35 North
Rockport, TX 78382

Dear Ms. Murphy:

During a recent compliance inspection at your firearms business covering the period of October 13, 2014 to October 12, 2015 you were cited for violations of 27 Code of Federal Regulations, Part 48. 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) IO Investigator(s). 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.

SJT Inc.

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

(b)(6)

Area Supervisor, McAllen II

Enclosure

c: National Firearms Licensing Center
McAllen II Area Office

FIREARMS INSPECTION REPORT

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

UI#: 782110-2016-0018
FFL#: 5-74-007-02-8B-03645

Address: 1700 Hwy 35 North
Rockport, TX 78382

1 - Introduction

Inspection Profile:

On October 13, 2015, Industry Operations Investigators (b)(6) and (b)(6) conducted a Southwest Border DE compliance inspection at the business premises of SJT Inc., DBA as Rockport Pawn & Jewelry a type 02 Federal Firearms Licensee. (b)(6), Store Manager was the representative at the closing and was identified by his TXDL# (b)(6) DOB: (b)(6) Ms. Maureen Murphy, Responsible Person, attended telephonically. The period of inspection was from October 13, 2014 through October 12, 2015. The closing was done on 10/15/2015 with Ms. Murphy. No other Federal, State, or local agencies participated in the inspection. Advanced notification was not given.

Business Profile:

The licensee operates the business from a commercial building within the city limits of Rockport, TX. The licensee's business premises are leased and the agreement was obtained by IOI (b)(6) (Exhibit 2). The business operates as a pawn shop and is engaged in pawning and selling of electronics, tools, firearms, and various other items. Rockport Pawn & Jewelry sells and pawns used firearms. The licensee does sell ammunition and firearms accessories but does not participate in gunsmithing activities. Firearms are supplied by the general public. During the period of inspection the licensee acquired (b)(4) firearms and disposed of (b)(4) firearms. Rockport Pawn & Jewelry does not participate in gun shows. There is no offsite storage of firearms. The licensee does not hold any other licenses at this location with ATF. Investigator (b)(6) explained ATF's right of entry to Ms. Maureen Murphy.

Ownership and Control:

The business operates as a corporation (Exhibit# 3). The licensee conducts business as Rockport Pawn & Jewelry however IOI (b)(6) was unable to obtain an active assumed name certificate from the licensee. A certified letter was sent to the licensee to obtain an assumed name registration with the county (Exhibit 4). Investigator (b)(6) also obtained a copy of Rockport Pawn & Jewelry Texas Sales Tax Registration showing Taxpayer # (b)(3) - 26 USC 6103 (Exhibit# 5). The street address of the registered office is 1700 Highway 35 North, Rockport, Texas 78232-3321 and the State of Texas Pawn License# is 7504. The licensee is also in good standing with the Office of Consumer Credit Commissioner (Exhibit# 6). There have been no unreported changes in ownership or control. No hidden

FIREARMS INSPECTION REPORT

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ownership is suspected. Officers for Rockport Pawn & Jewelry are as follows:

Secretary/Treasurer-Maureen E Murphy

Variance:

The licensee does not hold any variances with ATF.

2 - Recommendation

Viols, WL Only and No Recall Inspection

3 - Inspection History

Compliance Inspection

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

Compliance Inspection

Date: March 2, 2011
UI#: 782110-2011-0098
Inspection Results: Viols, ROV Only, Recall
Cited Violations: 27 CFR 478.126a/27 CFR 478.124(c)(3)(iv)
27 CFR 478.21(c)(1)

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

At the time of inspection the licensee had 284 firearms in inventory. The Acquisition and Disposition Record book had (b)(3) open entries at the time of inspection. A review of the Acquisition and Disposition book disclosed no discrepancies. During the period of the inspection the licensee acquired (b)(4) firearms to include FFL transfers and disposed of (b)(4) firearms. Acquisition and Disposition Record was in proper format, and entries were timely recorded. No thefts or losses were reported during the inspection period, and no thefts or losses were discovered. No illegal firearms or firearms with obliterated serial numbers were discovered.

The licensee currently utilizes computerized A&D records. System utilized is Pawndex.

FIREARMS INSPECTION REPORT

Name: SJT Inc.
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5 - ATF Forms 4473 – NICS & Other Dispositions

A total of [REDACTED] ATF Forms 4473 were on file for the inspection period. A review of the ATF Forms 4473 disclosed some discrepancies. The FFL Audit report indicated that there were 52 proceed responses, 61 denied transactions 2 open transaction from the NICS Audit Log. A total of 65 NICS responses were cross checked with ATF Forms 4473 for verification. No transfers to law enforcement officers were conducted during the scope of the inspection. The following violations were cited:

27 CFR 478.102(a) [REDACTED] TF Forms 4473 (ROV 1, WS 2, Exhibit 7)
27 CFR 478.129(b) [REDACTED] TF Forms 4473 (ROV 1, WS 2, Exhibit 7)

6 – Multiple Sales

The Violent Crime Analysis Branch FFL Master Query disclosed [REDACTED] multiple sales for the licensee during the inspection period. No unreported multiple sales were discovered during the period of inspection.

7 – Suspicious/Prohibited Purchasers

No suspicious or prohibited purchasers were identified during the inspection.

8 – Trace Activity

A Violent Crime Analysis Branch (VCAB) query indicated that there wa [REDACTED] firearms trace to the licensee as indicated in the data sheet during the inspection period.

9 - NFA/Importer/Collector/Manufacturer

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

10 - Referrals

No referrals were generated as a result of the inspection.

11 - Other

Investigator [REDACTED] ensured that the licensee was aware of and understood the requirement to submit ATF Form 3310.12 Report of Multiple Sales or Other Disposition of Certain Rifles when more than one semiautomatic rifle capable of

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accepting a detachable magazine with a caliber greater than .22 is disposed of to an unlicensed person at one time or during any five consecutive business days. Investigator (b)(6) also explained the requirements effective July 9th, 2012 to use the revised ATF Form 4473 (April 2012 edition) and ensured that the licensee understood changes to the form. First Cash Pawn LTD has the Youth Handgun Safety Act Poster displayed on the wall at the business premises along with his Federal Firearms License. The licensee stated that safety locks are provided with all handgun transfers.

12 - Closing Actions

On October 15, 2015, a closing conference was held with Store Manager (b)(6) (b)(6) and Responsible Person Maureen Murphy to discuss the inspection results. Report of Violations was discussed with the management team and a copy was provided for their records. The acknowledgement of Federal Firearms Regulations was discussed with management. (Exhibit# 8). Management was provided a copy for their records. (b)(6) read and understood that the Acknowledgement of Federal Firearms Regulations was only a general overview and that he would be responsible for familiarizing himself with all of the laws and regulations governing the licensed firearms business. Reference material provided to the licensee included:

ATF Publication 5300.5- State Laws and Published Ordinances
ATF Information 5300.1- Youth Handbook Safety Act
ATF Publication 5300.4- Notice of Errata to all FFL's
ATF Publication 3317.6- Project Gunrunner
ATF Publication 3317.7- ATF Disaster Preparedness for FFL's
ATF Publication 5300.18- Non Immigrant Pamphlet
ATF Form 3310.11- Theft Loss Report
ATF Publication 3312.8- Personal Firearms Record
ATF Information 5300.2- Youth Handgun Safety Act Notice
ATF 5300.9- ATF Form 4473
ATF Form 3310.12- Multiple Sales Report Rifles
ATF Form 3310.4- Multiple Sales Report Pistols
ATF Publication 3717.2- Theft Loss Report Publication

The licensee was given the opportunity to ask questions and asked the following:

1. Transfers to law enforcement officers?

All questions were answered by Investigator (b)(6) in accordance with ATF Regulations.

13 - Violations

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FFL#: 5-74-007-02-8B-03645

1. 27 CFR 478.102(a)

Nature of Violation:

Failure to contact NICS or obtain a valid exception to NICS prior to transferring a firearm(s) to a licensee in ^{(b)(3)} instances;

(b)(3) - 112 Public Law 55 125 Stat 552, (b)(6)



Licensee's Response:

Licensee stated that they overlooked the out of state license since the non-licensee initially showed a Texas Driver's License. Licensee now understands that only Texas ID's and Texas Concealed Handgun Permits are to be obtained for handgun transfers.

Corrective Action:

Licensee is to obtain a valid Texas Conceal Permit when conducting firearm (handguns) transfers at any time when transferring to a non-licensee.

2. 27 CFR 478.129(b)

Nature of Violation:

Failure to retain the ATF Form 4473 for the prescribed period and failure to record any NICS transaction number on the form, where the licensee initiated a NICS check for a proposed firearm transaction but the sale, delivery or transfer of the firearm was not made in ^{(b)(3)} instances;

(b)(3) - 112 Public Law 55 125 Stat 552, (b)(6)



Licensee's Response:

Licensee stated that denied ATF Forms 4473 were simply misplaced. Licensee stated that they have initiated a process to retain all ATF Forms 4473

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and employees have been notified of the process.

Corrective Action:

Licensee is to retain ATF Forms 4473 as prescribed under ATF GCA Regulations.

X

Industry Operations Investigator

Index of Worksheets and Exhibits

ATF Form 5030.5, Report of Violations

Worksheets

- Exhibit 1: Texas Driver's License Image**
- Exhibit 2: Property Lease**
- Exhibit 3: Corporate Filing**
- Exhibit 4: DBA Notification Letter**
- Exhibit 5: State Tax Registration**
- Exhibit 6: Office of Consumer Credit Commissioner**
- Exhibit 7: ATF Forms 4473 Violations/Denials**
- Exhibit 8: FFL Acknowledgement**