

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) LITTLE, ROY JEFFRY 1512 SW 12TH AVE MINERAL WELLS, TX 76067, PALO PINTO	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 781080-2017-0165-B1B			
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%;">3. PERMIT/LICENSE NUMBER 575363017B05979</td> <td style="width: 33%;">4a. TARGET DATE</td> <td style="width: 33%;">4b. TARGET HOURS</td> </tr> </table>	3. PERMIT/LICENSE NUMBER 575363017B05979	4a. TARGET DATE	4b. TARGET HOURS
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5. REQUESTED BY (SIGNATURE, TITLE AND DATE)				

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

7. ASSIGNED BY (SIGNATURE, TITLE AND DATE)
 , 11/30/2016

8. PURPOSE/SPECIAL INSTRUCTIONS

9. INSPECTION RESULTS			<input type="checkbox"/> CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC	10. TRAVEL EXPENSES (OPTIONAL)	
NO. OF VIOLATIONS	1	NO. OF REFERRALS		2111 - PER DIEM	
NO. OF TECS CHECKS	9	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: 12/16/2016

 Viols WL ONLY and No Recall Inspection

12. TIME ACCOUNTING DATA		
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)	
NOV 2016	2.00	
DEC 2016	16.00	
ATF OFFICER'S SUBTOTAL	18.00	ATF OFFICER'S SIGNATURE
TOTAL HOURS	18.00	

13. REVIEW AND ROUTING

REVIEW COMMENTS AND RECOMMENDATION
 Viols WL ONLY and No Recall Inspection

REVIEWED
 CONCUR
 SEE COMMENTS
 FINAL DISPOSITION

SIGNATURE AND TITLE (b)(6) Acting DIO	REVIEW DATE 01/18/2017
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ROUTING SEQUENCE AND DATE

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

CONTROL FILE POSTED DATE _____

January 19, 2017

Certified/Return Receipt Requested

LITTLE, ROY JEFFRY
1512 SW 12TH AVE
MINERAL WELLS, TX 76067-0000
RE: 575363017B05979

Dear Mr. Little:

During a recent inspection at your firearms business covering the period 12/15/15 to 12/15/16 you were cited for violations of Title 27, Code of Federal Regulations, Part 478. A copy of the Report of Violations, ATF F 5030.5, issued at the time of the inspection is enclosed.

All violations were fully explained to you or your designated responsible person by the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) Industry Operations Investigator(s). You or your responsible person indicated that you understood the requirements of the firearms laws and regulations and 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 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 to ensure that criminals do not gain access to firearms. ATF appreciates the efforts you and other industry members make in this area. We look forward to continuing to work with you in that regard.

LITTLE, ROY JEFFRY

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.

Should you have any questions regarding this matter, please contact (b)(6) [REDACTED], Ft. Worth Area Office Supervisor at (b)(6) [REDACTED]

Sincerely yours,

(b)(6) [REDACTED]

Ft. Worth Area Office Supervisor

Enclosure

c: Federal Firearms Licensing Center
Fort Worth (IO) Field Office

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 LITTLE, ROY JEFFRY	Street Address 1512 SW 12TH AVE	City MINERAL WELLS	State TX	Zip Code 76067-	County PALO PINTO	Page 1 of 1 Pages
License/Permit/Registry Number <i>(If any)</i> 575363017B05979	Expiration Date 2/1/2017	Date(s) or Period of Inspection 12/15/2016 through 12/15/2016				

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:

Failure of the licensee to complete and submit at least ^{(b)(3), (b)(7)} ATF Forms 3310.4 for multiple sales involving ^{(b)(3)} handguns.

Citation: 27 CFR 478.126a

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

The licensee was instructed to complete and submit ATF Forms 3310.4 for the unreported multiple sales.

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

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 <i>Roy Jeffrey Little</i>	Street Address <i>1512 SW 12th Ave</i>	City <i>Mineral Wells</i>	State <i>TX</i>	ZIP Code <i>76067</i>	County <i>Dalo Pinto</i>	Page <u>1</u> of <u>1</u> Pages
License/Permit/Registry Number (if any) <i>5-75-363-01-7B-09979</i>		Expiration Date <i>02/01/2017</i>	Date(s) or Period of Inspection <i>12/15/15 - 12/15/16</i>			

Inspection Results

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

Number	USC or CFR Citation	Nature of Violation	Corrective Action to be Taken <i>(If not corrected immediately)</i>	Date Corrections to be Made <i>(If not corrected immediately)</i>
1	27 CFR 478.126a	Failure of the licensee to complete/submit at least (b)(3) 112 Public L ATF Forms 3310.4 for multiple sales involving at least (b)(3) 112 Public L handguns.	The licensee was instructed to complete/submit the ATF Forms 3310.4.	Immediately

I Have Received a Copy of This Report of Violations (Proprietor's signature and title) (b)(6)	Date <i>12/15/2016</i>
Signature and Title of ATF Officer <i>J. J. [redacted]</i> (b)(6)	Date <i>12/15/2016</i>

Address: 1512 SW 12th Avenue
Mineral Wells, Texas 76067

1 - Introduction

Inspection Profile:

On December 15, 2016, Investigator (IOI) (b) (6) conducted a full Compliance Firearms Inspection for Roy Jeffrey Little. There was no other Federal, State, or local agencies participating. Roy Jeffrey Little, owner, identified by (b) (6) was interviewed during the opening conference for the inspection period of December 15, 2015, through December 15, 2016.

Advanced notification was given for this inspection due to the home dealer's full-time job away from the licensed premises and the limited late posted business hours.

Business Profile:

The residential, suburban, retail business transfers new and used firearms for other dealers.

Approximately (b) (4) firearms were acquired and (b) (4) firearms were disposed in the last 12 months.

The primary suppliers are other dealers with no sales made at gun shows.

No internet sales are conducted.

Mrs. Little has a child care business on the premises. Mr. Little stated no firearms are transferred while a child is in the home. All firearms are kept in a locked area. No other ATF license is held by the licensee. Roy Little works for Southwire, a local company that manufactures electrical wiring.

This business was in compliance with State and local laws and met all zoning requirements with no off-site storage.

The industry member's original ATF license was issued on January 13, 2011.

Ownership and Control:

There were no unreported changes to this sole proprietorship. No hidden ownership is suspected.

The Responsible Person (RP) are correctly shown. The Federal Licensing System (FLS) has all information listed correctly.

Variance:

There is no variance and none was requested.

2 - Recommendation

Violation, WL ONLY, and No Recall Inspection

3 - Inspection History

The following inspections were conducted:

Date and Type of Inspection: June 05, 2013; Compliance Inspection

UI#: 781080-2013-0291

Inspection Results:

No Violation, No Further Action, No Referral

Cited Violations:

None

Date and Type of Inspection: December 14, 2010; Application Inspection

UI#: 781080-2011-0131

Inspection Results:

Application Approved

Cited Violations:

None

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

A full inventory was not conducted because there were no firearms in the inventory which corresponded with no open entry in the A&D.

A theft/loss report was not submitted during the inspection period or as a result of this inspection.

The A&D was in the proper format, all the required information was accurate, and the entries were timely made.

A sample of approximately [REDACTED] firearms were traced through the licensee's required records from acquisition through disposition with no discrepancy disclosed.

There were no trafficking issues relating to acquisitions and dispositions of firearms as directed by guidelines and special instructions.

No obliterated serial numbers or illegal firearms were discovered.

The licensee's standard operating procedures relevant to the A&D and inventory include entries are timely made into the A&D not later than the close of the next business day as required for acquisitions and within seven days as required for dispositions. The licensee performs a total gun to book inventory for every entry.

5 - ATF Forms 4473 – NICS & Other Dispositions

There were ^{(b)(4)} ATF Forms 4473 on file for the last 12 months which were all reviewed. No discrepancy was disclosed.

The licensee has not transferred firearms to other licensees. There were no sales to law enforcement officers under provisions of **27 CFR 478.134**.

There were two accurately documented NICS transaction numbers reported on the FFL Audit Log which were verified during the examination of the ATF Forms 4473.

ATF Forms 4473 are executed and double checked by the owner. NICS is contacted for all sales unless a Texas Handgun License (HL), License to Carry (LTC), or another Federal Firearm License (FFL) is offered as identification.

There was no denial for the inspection period.

6 – Multiple Sales

There was no multiple sale reported during the inspection period on the Violent Crime Analysis Branch FFL Mastery Query.

There were three unreported multiple sales identified during the inspection involving ^{(b)(3)} firearms. The ATF Forms 3310.4 were completed and submitted during the inspection. **See Section 13.**

7 – Suspicious/Prohibited Purchasers

No traffickers, straw purchasers, prohibited persons, or any other suspicious purchasers were identified during the last 12 months.

Three computerized criminal history checks resulted in no hits for persons; therefore, no Referral was generated.

8 – Trace Activity

There was no trace reported by the Violent Crime Analysis Branch for the last 12 months.

There were six used firearms traced through the secondary market and disposed by this licensee which were investigated. None were traced, reported as suspect, or reported stolen. Six computerized criminal history checks resulted in no hits for firearms.

9 - NFA/Importer/Collector/Manufacturer

This licensee holds a Type 01 license and is not a dealer of NFA weapons, nor an importer, collector, or manufacturer.

The licensee stated he had obtained his license in hopes to repair firearms; however, he had worked away from home until recently and has not had time to devote to gunsmithing activities. IOI (b) (6) provided information comparing gunsmithing and manufacturing. The licensee stated he understood the difference.

10 - Referrals

No referral was generated.

11 - Other

This licensee was in compliance with the Youth Handgun Safety Act poster and notice, had gun locks available for sale to the public, and was in compliance with age restriction requirements.

IOI (b) (6) asked the licensee if unregulated exploding targets were sold on the premises. They were not; however, the public safety advisory from the National Explosives Task Force regarding exploding targets was provided for future information.

Since the licensee is a sole proprietor, IOI (b) (6) explained to him if he purchases a firearm from another licensee he must advise the transferor licensee of his licensed status so that the transferor licensee's records may accurately reflect that this is a transaction between licensees. An ATF Form 4473 should not be completed for such a transaction, because this form is used only for a disposition to a non-licensee. The sole proprietor was reminded that even if a dealer acquires a firearm from a licensee by completing an ATF Form 4473, the firearm must be entered in the transferee dealer's records as an acquisition. The regulations appearing at 27 CFR 478.125(e) provide that licensed dealers are generally required to "enter into a record each receipt and disposition of firearms". Dealers must comply with this requirement by recording the acquisition of each firearm that they acquire while in possession of a license, regardless of the identity of the person from who they acquired the firearm. This requirement applies regardless of whether the dealer intends to sell the firearm or not.

For future reference, the sole proprietor was given the Questions and Answers in the FFL Newsletter, March 2006.

12 - Closing Actions

On December 15, 2016, Investigator (b) (6) conducted a closing conference with Roy Little, owner, to discuss the review of the regulatory requirements and the Report of Violation for this inspection.

The Acknowledgement of Federal Firearms Regulations was completed and signed. IOI (b) (6) provided instructions to obtain an electronic version of the regulation reference guide. **Exhibit 2**

This licensee has never attended a dealers' seminar.

The following reference materials were provided: ATF Phone Numbers/Addresses, ATF Form 3310.11 Federal Firearms Licensee Firearms Inventory Theft/Loss Report, Gun Show Guidelines, ATF Forms 3310.4 and 3310.12, FFL EZ Check Questions & Answers, Gunsmith and Manufacture Information, National Explosives Task Force Regarding Exploding Targets, and Important Notice: Selling Firearms AFTER Revocation, Expiration, or Surrender of an FFL.

13 - Violations

1. 27 CFR 478.126a

Nature of violation: Failure of the licensee to complete and submit at least (b)(3)Pub Law ATF Forms 3310.4 for multiple sales involving (b)(3)Pub L handguns.

Licensee's response: The licensee stated even though he has had his license since 2011, he just started completing several transfers in late 2015 and had just forgotten the requirement concerning multiple sales.

Corrective action: The licensee was instructed to complete and submit ATF Forms 3310.4 for the unreported multiple sales.

Worksheet 2, Exhibit 1

X

(b) (6)

Industry Operations Investigator

Index of Worksheets and Exhibits

WORKSHEETS

EXHIBITS

1. ATF Forms 4473 for ROV
2. Acknowledgement of Federal Firearms Regulations