

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) SAFLY, TODD C SAFLY & SONS SPORTING GOODS 56043 180TH ST AMES, IA 50010, STORY (169)	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 779080-2016-0461-B1B			
	<table border="1" style="width: 100%; border-collapse: collapse;"><tr><td style="width: 33%;">3. PERMIT/LICENSE NUMBER 542169017K16312</td><td style="width: 33%;">4a. TARGET DATE 9/30/2016</td><td style="width: 33%;">4b. TARGET HOURS</td></tr></table>	3. PERMIT/LICENSE NUMBER 542169017K16312	4a. TARGET DATE 9/30/2016	4b. TARGET HOURS
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	5. REQUESTED BY (SIGNATURE, TITLE AND DATE)			

6. ATF OFFICER(S) ASSIGNED (b)(6) - Assigned Investigator (b)(6) - Lead Investigator	
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7. ASSIGNED BY (SIGNATURE, TITLE AND DATE) (b)(6), Area Supervisor, 07/18/2016	
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8. PURPOSE/SPECIAL INSTRUCTIONS DE AND AMENDED-QUALIFICATION, TYPE 01 APP. DETERMINE COMPLIANCE WITH LOCAL LAW. BASED ON INFORMATION CONTAINED IN E-MAIL, CONTACT ORIGINATOR OF EMAIL TO DETERMINE TYPE OF FIREARM TRANSFERRED FROM FFL THRU GUNBROKER TO DETERMINE IF ACQUISITION / DISPOSITION WAS RECORDED.	
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9. INSPECTION RESULTS <input type="checkbox"/> CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC	10. TRAVEL EXPENSES (OPTIONAL)																																								
<table border="1" style="width: 100%; border-collapse: collapse;"><tr><td style="width: 20%;">NO. OF VIOLATIONS</td><td style="width: 10%;">9</td><td style="width: 20%;">NO. OF REFERRALS</td><td style="width: 10%;"></td><td style="width: 20%;">2111 - PER DIEM</td><td style="width: 10%;"></td></tr><tr><td>NO. OF TECS CHECKS</td><td>3</td><td>NO. OF TECS HITS</td><td></td><td>2112 - P.O.A.</td><td></td></tr><tr><td rowspan="2">NO. OF TAX ADJUSTMENTS</td><td rowspan="2"></td><td>\$ VALUE OF TAX INCREASES</td><td></td><td>2113 - COMM. AIR</td><td></td></tr><tr><td>\$ VALUE OF TAX DECREASES</td><td></td><td>2114 - RENTAL CAR</td><td></td></tr><tr><td>NO. OF ASSESSMENTS</td><td></td><td>\$ VALUE OF ASSESSMENTS</td><td></td><td>2115 - GPV EXPENSES</td><td></td></tr><tr><td>NO. OF CLAIMS</td><td></td><td>\$ VALUE OF CLAIMS</td><td></td><td>2116 - MISC.</td><td></td></tr><tr><td>NO. OF TAX PERIODS</td><td></td><td>\$ VALUE OF TAXES VERIFIED</td><td></td><td>TOTAL \$ FOR INSP.</td><td></td></tr></table>	NO. OF VIOLATIONS	9	NO. OF REFERRALS		2111 - PER DIEM		NO. OF TECS CHECKS	3	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.		
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11. ATF OFFICER'S RECOMMENDATION Submitted by (b)(6) - Industry Operations Investigator Submitted on: 10/20/2016 Violts WL ONLY and No Recall Inspection	
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12. TIME ACCOUNTING DATA			
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)		
SEP 2016	13.00		
ATF OFFICER'S SUBTOTAL	13.00	ATF OFFICER'S SIGNATURE	
ATF OFFICER'S NAME (MONTH, YEAR, HOURS) (b)(6)			
JUL 2016	4.00		
SEP 2016	31.00		
OCT 2016	29.00		
ATF OFFICER'S SUBTOTAL	64.00	ATF OFFICER'S SIGNATURE	
TOTAL HOURS	77.00		

Assignment and Report

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	3. PERMIT/LICENSE NUMBER 542169017K16312	4a. TARGET DATE 9/30/2016	4b. TARGET HOURS
	5. REQUESTED BY (SIGNATURE, TITLE AND DATE)		

13. REVIEW AND ROUTING

REVIEW COMMENTS AND RECOMMENDATION

SYNOPSIS OF VIOLATIONS:

- 1) 27 CFR 478.125(e) - DOES NOT MEET CRITERIA FOR ADVERSE ACTION
- 2) 27 CFR 478.124(c)(1) - DOES NOT MEET CRITERIA FOR ADVERSE ACTION
- 3) 27 CFR 478.124(c)(3)(i) - MEETS CRITERIA FOR WARNING LETTER
- 4) 27 CFR 478.21a - DOES NOT MEET CRITERIA FOR ADVERSE ACTION
- 5) 27 CFR 478.131(a)(2) - MEETS CRITERIA FOR WARNING CONFERENCE
- 6) 27 CFR 478.124(c)(4) - DOES NOT MEET CRITERIA FOR ADVERSE ACTION
- 7) 27 CFR 478.124(c)(5) - DOES NOT MEET CRITERIA FOR ADVERSE ACTION
- 8) 27 CFR 478.102(a) - MEETS CRITERIA FOR WARNING LETTER
- 9) 27 CFR 478.126 - MEETS CRITERIA FOR WARNING LETTER

CONCUR WITH IOI RECOMMENDATION

Viols WL ONLY and No Recall Inspection

☒ REVIEWED ☒ CONCUR ☒ SEE COMMENTS ☐ FINAL DISPOSITION

SIGNATURE AND TITLE (b)(6) - Area Supervisor	REVIEW DATE 10/17/2016
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REVIEW COMMENTS AND RECOMMENDATION

Viols WL ONLY and No Recall Inspection

☒ REVIEWED ☒ CONCUR ☐ SEE COMMENTS ☒ FINAL DISPOSITION

SIGNATURE AND TITLE WLBOWERS - Director Industry Operations	REVIEW DATE 11/04/2016
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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 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 Todd C. Saffy d/b/a Saffy & Sons Sporting Goods	Street Address 53765 180th Street	City Gilbert	State IA	ZIP Code 50105	County Story	Page 1 of 3 Pages
License/Permit/Registry Number (if any) 5-42-169-01-7K-16312		Expiration Date 10/1/17	Date(s) or Period of Inspection September 19, 2016			

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 (If not corrected immediately)	Date Corrections to be Made (If not corrected immediately)
1	27 CFR 478.125(e)	Failure to properly maintain an accurate acquisition and disposition record. In approximately (b)(3) 112 Public Law 112-55 instances, the licensee incorrectly recorded a serial number of a firearm in inventory (b)(3) 112 Public Law 112-55. In approximately (b)(3) 112 Public Law 112-55 instances, the licensee failed to record the disposition of a firearm as personal (b)(3) 112 Public Law 112-55. In approximately (b)(3) 112 Public Law 112-55 instances, the licensee failed to record firearms in the A&D record which had been in the licensee's possession overnight prior to the inspection (b)(3) - Public Law 112-55 (125 Stat. 552).	A&D record corrected immediately.	N/A
2	27 CFR 478.124(c)(1)	Failure to ensure the transferee/buyer accurately completes the Form 4473. In approximately (b)(3) 112 Public Law 112-55 instances, the licensee failed to ensure the buyer accurately completed the ATF Form 4473: Item 1 - (b)(3) times, Item 2 - (b)(3) times, Item 3 - (b)(3) times, Item III - (b)(3) time.	Ensure the buyer completes the ATF Form 4473 as directed.	N/A
3	27 CFR 478.124(c)(3)(i)	Failure to verify the identity of the transferee by examining the identification document presented and noting on the Form 4473 the type of identification used. In approximately (b)(3) 112 Public Law 112-55 instances, the licensee failed to accurately record the type of identification used on the Form 4473.	For future transactions, slow down while completing the ATF Form 4473 and accurately record all required information relating to identification documents.	N/A

I Have Read (b)(6) (Proprietor's signature and title) owner	Date 9-26-16
Signature and Title of ATF Officer: (b)(6) Industry Operations Investigator	Date 9/26/16

ATF E-Form 5030.1
Revised April 2005

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Name of Proprietor Todd C. Saffly d/b/a Saffly & Sons Sporting Goods	Street Address 53765 180th Street	City Gilbert	State IA	ZIP Code 50105	County Story	Page <u>2</u> of <u>3</u> Pages
License/Permit/Registry Number (if any) 5-42-169-01-7K-16312		Expiration Date 10/1/17	Date(s) or Period of Inspection September 19, 2016			

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 (If not corrected immediately)	Date Corrections to be Made (If not corrected immediately)
4	27 CFR 478.21(a)	Failure to complete the ATF Form 4473 per the instructions. In approximately (b)(3) 112 Public Law 55-1 instances, the licensee failed to accurately record information in: Item 18 - (b)(3) times, Item 19 - (b)(3) times, Item 30a-5 times, Item 31 - (b)(3) times, Item 32 - (b)(3) times, Item 33 - (b)(3) times, Item 35 - (b)(3) time.	Ensure the ATF Form 4473 is completed accurately and correctly per the directions.	N/A
5	27 CFR 478.131(a)(2)	Failure to accurately record or document a NICS exemption document. In approximately (b)(3) 112 Public Law 55-1 instances, the licensee failed to completely record a NICS exemption document (either recording a state or type of permit).	For future transactions, either make a copy of a NICS exemption document and staple to the Form 4473 - OR - completely and accurately record permit information.	N/A
6	27 CFR 478.124(c)(4)	Failure to identify the firearm to be transferred by listing on the Form 4473 the name of the manufacturer, the name of importer (if any), the type, model, caliber or gauge and the serial number of the firearm. In approximately (b)(3) 112 Public Law 55-1 instances, the licensee failed to record information in Item 29 - Type of Firearm.	In future transactions, the licensee must record the Type of Firearm to be transferred on the ATF Form 4473.	N/A
7	27 CFR 478.124(c)(5)	Failure to sign and date the Form 4473. In approximately (b)(3) 112 Public Law 55-1 instances, the licensee failed to sign and date the Form 4473 in Items 34 and/or 36.	In future transactions, the licensee must sign and date the Form 4473.	N/A
8	27 CFR 478.102(a)	Failure to accept a valid NICS exemption document. In approximately (b)(3) 112 Public Law 55-1 instance, the licensee accepted an Iowa Peace Officer ID which was not issued within the last five years.	In future transactions, ensure all NICS exemption documents are issued within the last five years.	N/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 Todd C. Saffly d/b/a Saffly & Sons Sporting Goods	Street Address 53765 180th Street	City Gilbert	State IA	ZIP Code 50105	County Story	Page <u>3</u> of <u>3</u> Pages
License/Permit/Registry Number (if any) 5-42-169-01-7K-16312		Expiration Date 10/1/17	Date(s) or Period of Inspection September 19, 2016			

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 (If not corrected immediately)	Date Corrections to be Made (If not corrected immediately)
9	27 CFR 478.126a	Failure to complete an ATF Form 3310.4 when required. In approximately (b)(3) 112 Public Law 55 125 STAT 552 (b)(3) instance, the licensee failed to complete a Multiple Handgun Sale form prior to the close of business when the multiple sale occurred (8/21/16 - (b)(3) 112 Public Law 55 125 STAT 552 (b)(3)	By the close of business on 9/26/16, complete an ATF Form 3310.4 reporting the multiple sale of handguns.	9/26/16



U.S. Department of Justice

Bureau of Alcohol, Tobacco,
Firearms and Explosives
17310 Wright St
Suite 204
Omaha, NE 68130

www.atf.gov

October 18, 2016

CERTIFIED MAIL
Return Receipt Requested

TODD SAFLY
SAFLY & SONS SPORTING GOODS
56043 180TH STREET
AMES, IA 50010

RE: 5-42-169-01-7K-16312

Dear Mr. Safly:

During a recent inspection at your firearms business covering the period September 1, 2015 to September 19, 2016, 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 action 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.

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),
Area Supervisor at (b)(6).

Sincerely yours,

(b)(6)

Area Supervisor

Enclosure

cc: Federal Firearms Licensing Center
Omaha II Field Office

Address: 56043 180th Street
Ames, IA 50105

1 - Introduction

Inspection Profile:

On September 19, 2016, Industry Operations Investigators (b)(6) and (b)(6) initiated a Compliance inspection at the licensee's above-listed proposed premises. The licensee initially submitted an Application for an Amended FFL which was received by the Omaha II Area Office on July 18, 2016. See **Exhibit 1**.

On September 6, 2016, Inv. (b)(6) received additional instructions to conduct a full-compliance inspection on the above-listed licensee due to information received by ATF HQ – Firearms Industry Programs Branch. (b)(7)(E) See **Exhibit 2**.

Owner Todd Safly (IADI (b)(6), exp. 07/19/2018) was identified, interviewed and assisted with the inspection. The licensee called Inv. (b)(6) (b)(6) approximately two business days prior to the inspection to verify she received local zoning documentation. At that time, Inv. (b)(6) informed Mr. Safly that ATF would be coming to the newly-proposed business premises the following Monday to conduct a compliance inspection. The inspection period was set from September 1, 2015 to present.

Business Profile:

The licensee operated a gun shop from a residential location in rural Story County, Iowa. The proposed business location is also a rural residential location in Story County, Iowa. The licensee sells new and used firearms, firearms accessories and suppressors. Mr. Safly acquired approximately 940 firearms and disposed of (b)(4) firearms in the last twelve months. All firearms were retail. Used firearms account for less than (b)(4) percent of the licensee's business. Approximately (b)(4) percent of sales are made at gun shows with another (b)(4) percent at qualifying events such as Ducks Unlimited Banquets.

No other business on the premises. Mr. Safly is employed full-time as a (b)(4). No other ATF licenses held by the licensee. Zoning requirements are met for the proposed business location. See **Exhibit 3** for a copy of the approval letter. Mr. Safly has held this license since 1987. This is the licensee's first compliance inspection. Mr. Safly is the central Iowa representative for Sig Sauer Firearms and approximately (b)(4) of sales are Sig Sauer-branded items.

Ownership and Control:

Mr. Safly operates this license as a sole proprietor. No changes in ownership discovered and no indications of hidden ownership encountered. No changes in RPs – all are correctly listed in FLS.

Variance:

The licensee does not currently possess any variances. He is aware of how to obtain one.

2 - Recommendation

Viols WL ONLY and NO Recall Inspection

Application Approved

3 - Inspection History

A review of the Area Office File reveals this is the first on-site inspection for the licensee.

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

A full inventory was conducted September 19, 2016. At the time of inspection, the licensee had 152 firearms in inventory. There were (b)(3) - 11 open entries in the Acquisition and Disposition record. See **Worksheet #1** and **Violation 1**.

The A&D record was reconciled while Investigators were on site. No theft loss forms were completed or submitted during the inspection period. The A&D record is in the proper format as the licensee maintains an electronic format. See **Exhibit 4** for example pages. It appears that entries are timely made and required information is accurate with the exception of one serial number which was incorrect at the time of inspection. See **Violation 1**.

No firearms with obliterated serial numbers were located in inventory.

5 - ATF Forms 4473 – NICS & Other Dispositions

At the time of inspection, approximately (b)(3) - 11 ATF Forms 4473 were completed over the previous twelve (12) months. Forms are filed chronologically. All forms on file were reviewed. Discrepancies (discussed below) are noted on **Worksheet 2**.

In approximately (b)(3) - 112 Public Law 85 125 Stat 552 instances, the licensee failed to ensure the buyer accurately completed the ATF Form 4473: Item 1 - (b)(3) times, Item 2 - (b)(3) times, Item 3 - (b)(3) times, Item 111 - (b)(3) time. See **Violation 2** and **Exhibit 5**.

In approximately seventeen (b)(3)-1 instances, the licensee failed to accurately record the type of identification used on the Form 4473. See **Violation 3** and **Exhibit 5**.

In approximately sixteen (b)(3)-1 instances, the licensee failed to accurately record information in: Item 18- (b)(3)-1 times, Item 19 - (b)(3)-1 times, Item 30a- (b)(3)-1 times, Item 31- (b)(3)-1 times, Item 32- (b)(3)-1 times, Item 33- (b)(3)-1 times, Item 35- (b)(3)-1 time. See **Violation 4** and **Exhibit 5**.

In approximately (b)(3)-112 PUBLIC LAW 55 125 SIGN instances, the licensee failed to completely record a NICS exemption document (either recording a state or type of permit). See **Violation 5** and **Exhibit 5**.

In approximately (b)(3)-112 Public La instances, the licensee failed to record information in Item 29 - Type of Firearm. See **Violation 6** and **Exhibit 5**.

In approximately (b)(3)-112 Public La instances, the licensee failed to sign and date the Form 4473 in Items 34 and/or 36. See **Violation 7** and **Exhibit 5**.

In approximately (b)(3)-112 PUBLIC instances, the licensee accepted an Iowa Peace Officer ID which was not issued within the last five years. See **Violation 8** and **Exhibit 5**.

No transfers to law enforcement agencies conducted. Transfers to other licensees appear to be properly conducted.

The FFL Audit Log (submitted as **Exhibit 6**) does not show any NTN's for this licensee. This could be due to the changeover of the FBI system to "new NICS". NICS checks appear to be conducted by the licensee when required as evidenced on Forms 4473. See **Exhibit 5**. The licensee was counseled concerning the incomplete recording of NICS exemption documents. He is now aware he can obtain a copy of the document and attach to the Form 4473 which would eliminate errors relating to this section.

6 - Multiple Sales

Per the VCAB Report (submitted as **Exhibit 7**), the licensee has (b)(3)-1 multiple sale transaction involving (b)(3)-1 firearms. (b)(3)-112 unreported multiple sale discovered involving (b)(3)-11 firearms. See **Violation 9** and **Exhibit 5**. The licensee reported this multiple sale on September 26, 2016. See **Exhibit 8**.

7 - Suspicious/Prohibited Purchasers

A total of four (4) individuals selected as suspicious purchasers. These individuals and the firearms they purchased queried through NCIC/NLETS and E-Trace. No hits on either the firearms or the individuals.

8 - Trace Activity

Per the VCAB Report (submitted as **Exhibit 7**), (b)(6) firearm has been traced to the licensee over the past 12 months. The licensee was able to provide disposition information to all traces.

Over the past twelve months, the licensee acquired approximately (b)(4) used firearms and disposed of (b)(4) used firearms.

9 - NFA/Importer/Collector/Manufacturer

The licensee has 44 NFA items in inventory to include SBRs, full-auto firearms and suppressors. The NFRTR (submitted as **Exhibit 9**) lists (b)(3) items registered to the licensee. (b)(3) - 26 USC 6103

On October 5, 2016, Inv. (b)(6) spoke with the (b)(6) who confirmed this company is still in possession of the suppressor. NFA Branch has been made aware of this and is attempting to void this transfer. See **Exhibit 10**.

With the exception of the above discrepancy, all items registered to the licensee were inventoried and Forms 3 or 4 were verified to be in the possession of Mr. Safly.

10 - Referrals

No referrals generated.

11 - Other

The Youth Handgun Safety Act notice was posted and visible at the proposed residence. The pamphlets were available on the front counter. The licensee is aware that he must provide a secure gun storage or safety device for the transfer of all handguns to non-licensees.

Mr. Safly's Application for an Amended Federal Firearms License was reviewed with him. No changes made. See **Exhibit 1**.

(b)(4), (b)(6)

He stated he had a "falling out" with them. Further

information was not given when Mr. Safly was asked to expand upon his relationship with the (b)(6).

12 - Closing Actions

On September 19, 2016 Invs. (b)(6) and (b)(6) conducted a closing conference with the licensee. Violations were identified and corrective actions discussed with the licensee. A Report of Violations would be forthcoming. Federal Firearms regulations were reviewed and a signed acknowledgment has been inserted into NSPECT and is submitted as **Exhibit 11**.

On September 26, 2016, a Report of Violations was issued to the licensee via email. On September 28, 2016, Inv. (b)(6) spoke with the licensee regarding the Report of Violations.

13 - Violations

1. **27 CFR 478.125(e)**

Nature of Violation: Failure to accurately maintain an Acquisition and Disposition record.

In approximately (b)(3) - 112 Public Law 55 instances, the licensee incorrectly recorded a serial number of a firearm in inventory (b)(3) - 112 Public Law 55. In approximately (b)(3) - 112 Public Law 55 instance, the licensee failed to record the disposition of (b)(3) - 112 Public Law 55 125 Stat 552). In approximately (b)(3) - 112 Public Law instances, the licensee failed to record firearms in the A&D record which had been in the licensee's possession overnight prior to the inspection (b)(3) - 112 Public Law 55 125 Stat 552

Licensee's Response: The licensee stated he had the serial number recorded incorrectly. The licensee acknowledged he needed to write clearly. "I got the three logged in. I apologize. I hadn't even looked for in those old books for personal guns."

Corrective Action: The acquisition and disposition record was corrected immediately.

See **Worksheet 1** and **Exhibit 4**.

2. **27 CFR 478.124(c)(1)**

Nature of Violation: Failure to ensure the transferee/buyer accurately completes the Form 4473.

In approximately (b)(3) - 112 Public Law 55 125 Stat 552 instances, the licensee failed to ensure the buyer accurately completed the ATF Form 4473: Item 1 - (b)(3) times, Item 2 - (b)(3) times, Item 3 - (b)(3) times, Item 111 - (b)(3) time.

Licensee's Response: The licensee acknowledged the violation. "I will try to be better at it."

Corrective Action: Licensee was instructed to ensure the buyer completes an ATF Form 4473 as directed.

See **Worksheet 2** and **Exhibit 5**.

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

Nature of Violation: Failure to verify the identity of the transferee by examining the identification document presented and noting on the Form 4473 the type of identification used.

In approximately (b)(3) - 112 Public Law 55 125 Stat 552 instances, the licensee failed to accurately record the type of identification used on the Form 4473.

Licensee's Response: The licensee acknowledged the violation. "The ID must be government issued."

Corrective Action: Licensee was instructed to slow down while completing the ATF Form 4473 and accurately record all required information relating to identification documents.

See **Worksheet 2** and **Exhibit 5**.

4. **27 CFR 478.21(a)**

Nature of Violation: Failure to complete the ATF Form 4473 per the instructions.

In approximately (b)(3) - 112 Public Law 55 125 Stat 552 instances, the licensee failed to accurately record information in: Item 18-5 times, Item 19 - (b)(3) times, Item 30a- (b)(3) times, Item 31- (b)(3) times, Item 32- (b)(3) times, Item 33- (b)(3) times, Item 35- (b)(3) time.

Licensee's Response: The licensee acknowledged the violation.

Corrective Action: The licensee was instructed to ensure the ATF Form 4473 is completed accurately and correctly per the directions.

See **Worksheet 2** and **Exhibit 5**.

5. **27 CFR 478.131(a)(2)**

Nature of Violation: Failure to accurately record or document a NICS exemption document.

In approximately (b)(3) - 112 Public Law 95 125 Stat instances, the licensee failed to completely record a NICS exemption document (either recording a state or type of permit).

Licensee's Response: The licensee acknowledged the violation.

Corrective Action: The licensee was instructed to either make a copy of a NICS exemption document and staple to the Form 4473 - OR - completely and accurately record permit information.

See **Worksheet 2** and **Exhibit 5**.

6. **27 CFR 478.124(c)(4)**

Nature of Violation: Failure to identify the firearm to be transferred by listing on the Form 4473 the name of the manufacturer, the name of importer (if any), the type, model, caliber or gauge and the serial number of the firearm.

In approximately (b)(3) - 112 Public Law instances, the licensee failed to record information in Item 29 - Type of Firearm.

Licensee's Response: The licensee acknowledged the violation. "I had it on one and didn't on the other."

Corrective Action: The licensee was instructed to record the Type of Firearm to be transferred on the ATF Form 4473.

See **Worksheet 2** and **Exhibit 5**.

7. **27 CFR 478.124(c)(5)**

Nature of Violation: Failure to sign and date the Form 4473.

In approximately (b)(3) - 112 Public Law instances, the licensee failed to sign and date the Form 4473 in Items 34 and/or 36.

Licensee's Response: The licensee acknowledged the violation.

Corrective Action: The licensee was instructed to sign and date the Form 4473.

See **Worksheet 2** and **Exhibit 5**.

8. **27 CFR 478.102(a)**

Nature of Violation: Failure to accept a valid NICS exemption document.

In approximately (b)(3) - 112 Public Law instance, the licensee accepted an Iowa Peace Officer ID which was not issued within the last five years.

Licensee's Response: The licensee acknowledged the violation.

Corrective Action: The licensee was instructed ensure all NICS exemption documents are issued within the last five years.

See **Worksheet 2** and **Exhibit 5**.

9. **27 CFR 478.126a**

Nature of Violation: Failure to complete an ATF Form 3310.4 when required.

In approximately [REDACTED] instance, the licensee failed to complete a Multiple Handgun Sale form prior to the close of business when the multiple sale occurred [REDACTED]

Licensee's Response: The licensee acknowledged the violation. "It needs to be attached to the Form 4473."

Corrective Action: The licensee was instructed to complete an ATF Form 3310.4 reporting the multiple sale of handguns. The form was to be completed before the close of business on 9/26/16.

See **Worksheet 2** and **Exhibits 5** and **8**.

X

Industry Operations Investigator

Index of Worksheets and Exhibits

Worksheets:

1. A&D Review
2. Form 4473 Review

Exhibits:

1. Amended Application
2. Email from FIPB
3. Zoning approval documents
4. Example A&D pages
5. ATF Forms 4473 with errors
6. FFL Audit Log
7. VCAB Report

8. Corrective Action for Violation #9 (Reported Multiple Sale)
9. NFRTR
10. Email chain with NFA Branch Examiner re: void entry
11. Signed Acknowledgement of Federal Firearms Regulations