

Assignment and Report

1. OPERATING NAME AND ADDRESS
(INCLUDE ZIP CODE AND COUNTY)

Stevens Gun & Pawn LTD
7128 US Route 60
Ashland, KY 41101, Boyd

2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.)

775025-2016-0063-B1B

3. PERMIT/LICENSE NUMBER

461019027J04372

4a. TARGET DATE

9/30/2016

4b. TARGET HOURS

5. REQUESTED BY (SIGNATURE, TITLE AND DATE)

09/30/2016

6. ATF OFFICER(S) ASSIGNED

(b)(6) - Assigned Investigator

(b)(6) - Assigned Investigator

(b)(6) - Lead Investigator

7. ASSIGNED BY (SIGNATURE, TITLE AND DATE)

(b)(6) Area Supervisor, 10/03/2015

8. PURPOSE/SPECIAL INSTRUCTIONS

Discretionary targeted FFL for FY 16.
Conduct full Compliance Inspection.

9. INSPECTION RESULTS ☐ CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC

NO. OF VIOLATIONS	8	NO. OF REFERRALS	1
NO. OF TECS CHECKS	23	NO. OF TECS HITS	
NO. OF TAX ADJUSTMENTS		\$ VALUE OF TAX INCREASES	
		\$ VALUE OF TAX DECREASES	
NO. OF ASSESSMENTS		\$ VALUE OF ASSESSMENTS	
NO. OF CLAIMS		\$ VALUE OF CLAIMS	
NO. OF TAX PERIODS		\$ VALUE OF TAXES VERIFIED	

10. TRAVEL EXPENSES (OPTIONAL)

2111 - PER DIEM

2112 - P.O.A.

2113 - COMM. AIR

2114 - RENTAL CAR

2115 - GPV EXPENSES

2116 - MISC.

TOTAL \$ FOR INSP.

11. ATF OFFICER'S RECOMMENDATION

Submitted by (b)(6) - Industry Operations Investigator

Submitted on: 04/08/2016

Senior Investigator (SI) (b)(6) began a compliance inspection of Stevens Gun & Pawn, LTD (Stevens) on March 14, 2016 and held the closing conference on March 23, 2016. The inspection was conducted with the owner, Morris Feters and his wife, Linda Feters. SI (b)(6) was assisted by ATF Investigators (b)(6) and (b)(6). The period of inspection was March 23, 2015 to the present time.

In the past 12 months, Stevens acquired and transferred approximately (b)(4) firearms. Approximately (b)(4) the firearms business is in handguns and approximately (b)(4) are new. (b)(4) of their business is pawn.

SI (b)(6) recommends issuance of a Warning Letter due to the violations discovered during this inspection. Those violations are as follows:

- (b)(3) 112 PUBLIC LAW 55 125 (S) A in which firearms were transferred to a non-licensee who answered yes to one or more prohibiting question.
- Failure to properly maintain the acquisition and disposition (A&D) records. (b)(3) 112 disposition entries were not made and (b)(3) 112 acquisition entries were not made.
- Five violations were cited for errors and/or omissions found on (b)(3) 112 of the 2000 Forms 4473 reviewed.
- Failure to retain Forms 4473 for 20 years (b)(3) 112 - PUBLIC LAW forms could not be found when reconciling the inventory discrepancies

Viols WL ONLY and No Recall Inspection

12. TIME ACCOUNTING DATA

ATF OFFICER'S NAME (MONTH, YEAR, HOURS) (b)(6)

MAR 2016

18.00

ATF OFFICER'S SUBTOTAL

18.00

ATF OFFICER'S SIGNATURE

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2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.)

775025-2016-0063-B1B

3. PERMIT/LICENSE NUMBER

461019027J04372

4a. TARGET DATE

9/30/2016

4b. TARGET HOURS

5. REQUESTED BY (SIGNATURE, TITLE AND DATE)

09/30/2016

12. TIME ACCOUNTING DATA

ATF OFFICER'S NAME (MONTH, YEAR, HOURS) (b)(6)

MAR 2016 21.00

ATF OFFICER'S SUBTOTAL

21.00

ATF OFFICER'S SIGNATURE

ATF OFFICER'S NAME (MONTH, YEAR, HOURS) (b)(6)

OCT 2015 2.00

JAN 2016 13.00

FEB 2016 3.00

MAR 2016 76.00

APR 2016 20.00

ATF OFFICER'S SUBTOTAL

114.00

ATF OFFICER'S SIGNATURE

TOTAL HOURS

153.00

13. REVIEW AND ROUTING

REVIEW COMMENTS AND RECOMMENDATION

WL sent to licensee by certified mail with return receipt on 4/26/16. Copy forwarded to DIO. No Recall Inspection. PII sent to NLC Examiner (b)(6) on 4/25/16.

Viols WL ONLY and No Recall Inspection

☒ REVIEWED

☒ CONCUR

☒ SEE COMMENTS

☒ FINAL DISPOSITION

SIGNATURE AND TITLE

(b)(6) - Area Supervisor

REVIEW DATE

04/25/2016

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 Stevens Gun & Pawn LTD	Street Address 7128 US Route 60	City Ashland	State KY	Zip Code 41101-	County Boyd	Page 1 of 4 Pages
License/Permit/Registry Number <i>(If any)</i> 461019027J04372		Expiration Date 9/1/2017		Date(s) or Period of Inspection 03/14/2016 through 03/22/2016		

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:
Transfer of a firearm to a person, who at the time of transfer, appeared to be prohibited. In all (b)(3)(1)(2) instanses, the person answered "Yes" to prohibiting questions on the Form 4473. In (b)(3)(3) instance (b)(6) such questions were answered "yes". In the other (b)(3)(4) instances, (b)(6) and (b)(6) questions were answered with "yes".

Citation: 27 CFR 478.99(c)

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

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

A NICS check or valid State permit was recieved for each before the transfer took place. In addition, SI (b)(6) ran a criminal history check on all (b)(3)(7)(2) and found no prohibiting charges.

Number: 2

Nature of Violation:
Failure to properly maintain the A&D records. During this inspection, SI (b)(6) discovered that (b)(6) disposition entries were not made and seven acquisition entries were not made.

Citation: 27 CFR 478.125(e)

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

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

All correcting entries were made. SI (b)(6) provided Mr. and Mrs.Fetters with written recommendations for improved record keeping and both stated that they would implement the recommendations.

December 10 2018 Production

558

For Official Use Only

ATF E-Form 5030 5
Revised April 2005

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 Stevens Gun & Pawn LTD	Street Address 7128 US Route 60	City Ashland	State KY	Zip Code 41101-	County Boyd	Page 2 of 4 Pages
License/Permit/Registry Number <i>(If any)</i> 461019027J04372	Expiration Date 9/1/2017	Date(s) or Period of Inspection 03/14/2016 through 03/22/2016				

Inspection Results

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

Number: 3

Nature of Violation:

Failure to properly complete Forms 4473. XXX Forms contained errors and/or omissions in item 2 (residence address), items 11b-11l (blanks in prohibiting questions), and items 16-17 (buyers' signature and date).

Citation: 27 CFR 478.124(c)(1)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

Licensee will be more diligent about reviewing these Forms in the future both before and after the transfer takes place. SI (b) provided written guidance for improving record keeping which Mr. and Mrs. Fetters agreed will help avoid such mistakes in the future.

Number: 4

Nature of Violation:

Failure to properly complete Form 4473. XXX Forms had errors and/or omissions in items 11a (actual buyer), 18 (type of firearm), 30a (alpha number of firearms), 33 and 35 (name and title of transferor).

Citation: 27 CFR 478.21(a)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

Licensee will be more diligent about reviewing these Forms in the future both before and after the transfer takes place. SI (b) provided written guidance for improving record keeping which Mr. and Mrs. Fetters agreed will help avoid such mistakes in the future.

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Report of Violations

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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.

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License/Permit/Registry Number (If any) 461019027J04372	Expiration Date 9/1/2017	Date(s) or Period of Inspection 03/14/2016 through 03/22/2016				

Inspection Results

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

Number: 5

Nature of Violation:
Failure to properly complete Forms 4473. (b)(5) Forms contained errors and/or omissions in items 34 (transferor signature) and 36 (transfer date).

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)

Licensee will be more diligent about reviewing these Forms in the future both before and after the transfer takes place. SI (b) provided written guidance for improving record keeping which Mr. and Mrs. Fetters agreed will help avoid such mistakes in the future.

Number: 6

Nature of Violation:
Failure to properly complete Forms 4473. (b)(5) Forms contained omissions in items 21a-21d (NICS information).

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

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

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

Licensee will be more diligent about reviewing these Forms in the future both before and after the transfer takes place. SI (b) provided written guidance for improving record keeping which Mr. and Mrs. Fetters agreed will help avoid such mistakes in the future.

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For Official Use Only

ATF E-Form 5030 5
Revised April 2005

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 Stevens Gun & Pawn LTD	Street Address 7128 US Route 60	City Ashland	State KY	Zip Code 41101-	County Boyd	Page 4 of 4 Pages
License/Permit/Registry Number (If any) 461019027J04372		Expiration Date 9/1/2017	Date(s) or Period of Inspection 03/14/2016 through 03/22/2016			

Inspection Results

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

Number: 7

Nature of Violation:
Failure to properly complete Forms 4473. (b)(5) Form showed a North Carolina identification in item 20a for a buyer who listed a Virginia residence address.

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

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

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

Licensee will be more diligent about reviewing these Forms in the future both before and after the transfer takes place. SI (b) provided written guidance for improving record keeping which Mr. and Mrs. Feters agreed will help avoid such mistakes in the future.

Number: 8

Nature of Violation:
Failure to retain Forms 4473 for 20 years. During this inspection (b)(5) Forms 4473 could not be found. (b)(5) pawned firearms with open disposition entries could not be found in inventory but were acquired again at a later date from the same pawn customer. Forms 4473 could not be found for these (b)(5) acquisitions but since the firearms were later acquired again from the same person, the firearms were not considered to be missing for this inspection.

Citation: 27 CFR 478.129(b)

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

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

Disposition entries were made during this inspection. SI (b) provided Mr. and Mrs. Feters with written recommendations for improved record keeping and both stated that they would implement the recommendations. Mr. and Mrs. Feters stated that the Forms were completed for the (b)(5) transfers and showed SI (b) that the Form 4473 sequential serial number was missing from their files in all (b)(5) instances.

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

Date

Signature and Title of ATF Officer

Date

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For Official Use Only

ATF E-Form 5030 5
Revised April 2005



U.S. Department of Justice

**Bureau of Alcohol, Tobacco,
Firearms and Explosives**

**1040 Monarch Street, Suite 250
Lexington, Kentucky 40513**

www.atf.gov

4/25/16

**775025(b) (6)
5300**

**Stevens Gun & Pawn LTD
7128 US Route 60
Ashland, KY 41101**

Dear Mr. Fetters:

During a recent compliance inspection at your firearms business covering the period of March 2015 through March 2016, you were cited for violations of 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.

All violations were fully explained to by the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) inspector. 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.

Stevens Gun & Pawn LTD
7128 US RT 60
Ashland, KY 41101

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

Sincerely yours,

(b)(6)

Area Supervisor
Lexington IO Field Office

Enclosure

cc: National Licensing Center
Director, Industry Operations
Lexington IO Field Office

FIREARMS INSPECTION REPORT

Name: Stevens Gun & Pawn, LTD
Trade Name:

UI#: 775025-2016-0063
FFL#: 4-61-01-04372

Address: 7128 US Route 60
Ashland, KY 41101 Boyd County

1 - Introduction

Inspection Profile:

Senior Investigator (SI) (b)(6) began a compliance inspection of Stevens Gun & Pawn, LTD (Stevens) on March 14, 2016 and held the closing conference on March 23, 2016. The inspection was conducted with the owner, Morris Feters and his wife, Linda Feters. SI (b)(6) was assisted by ATF Investigators (b)(6) and (b)(6). The period of inspection was March 23, 2015 to the present time.

Business Profile:

Stevens buys, sells, pawns and trades handguns and long guns and firearms supplies. In the past 12 months, Stevens acquired and transferred approximately (b)(4) firearms. Approximately (b)(4) of the firearms business is in handguns and approximately (b)(4) are new. (b)(4) or less of their business is pawn. Stevens acquires firearms from (b)(4) (b)(4). Stevens has the required local permits to operate from this premises.

Approximately one week prior to beginning this inspection, Stevens requested an Application to Amend their FFL. Stevens is considering moving across the road to a larger building. SI (b)(6) explained that the application had to be submitted 30 days before the move but suggested sending it 60 days or more in advance if possible.

Ownership and Control:

Stevens is a limited liability company owned by Mr. Feters and SI (b)(6) does not suspect hidden ownership.

Mr. Feters originally purchased the business from (b)(6) in 2011. According to Mr. Feters, he kept the name "Stevens" to take advantage of the good name the previous owner had in the community. Before beginning this inspection, SI (b)(6) consulted with ATF Agent (b)(6) in Ashland, KY about possible hidden ownership as a magazine article from March 2015 referenced (b)(6) as the owner of the store. Agent (b)(6) checked into this issue and responded to SI (b)(6) saying that Mr. Feters is the true owner and that (b)(6) stayed on as an employee for several years but has been retired from the store since May 2015. (b)(6)

FIREARMS INSPECTION REPORT

Name: Stevens Gun & Pawn, LTD
Trade Name:

UI#: 775025-2016-0063
FFL#: 4-61-01-04372

Variance:

No variance is held or required.

2 - Recommendation

SI (b)(6) recommends issuance of a Warning Letter due to the violations discovered during this inspection. Those violations are as follows:

1. (b)(3) - 112 Pub instances in which firearms were transferred to a non-licensee who answered yes to one or more prohibiting question.
2. Failure to properly maintain the acquisition and disposition (A&D) records. (b)(3) disposition entries were not made and seven acquisition entries were not made.
3. Five violations were cited for errors and/or omissions found on (b)(3) - 112 Public Law 55 125 Stat 552 Forms 4473 reviewed.
4. Failure to retain Forms 4473 for 20 years. (b)(3) - 112 Pub Forms could not be found when reconciling the inventory discrepancies.

3 - Inspection History

June 2011 – Qualification inspection
775025-2011-0307
License issued

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

Investigators (b)(6) completed a full inventory verification comparing all firearms in stock to the A&D records. The findings revealed 658 open entries in the A&D records and 653 firearms in inventory. After reconciling the discrepancies, SI (b)(6) determined that 12 disposition entries had not been made and seven acquisition entries had not been made. Included in the seven acquisition entries not made were three repair firearms. SI (b)(6) documented five A&D discrepancies as follows:

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

FIREARMS INSPECTION REPORT

Name: Stevens Gun & Pawn, LTD
Trade Name:

UI#: 775025-2016-0063
FFL#: 4-61-01-04372

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

SI (b)(6) provided Mr. and Mrs. Fetters with written guidance (**Exhibit 40**) for improved record keeping. The Fetters agreed that the guidance would help organize and simplify maintenance of the A&D records and Forms 4473 and stated that they would implement the practices outlined.

See ROV violation 2, Worksheet 1 and Exhibits 2-7

5 - ATF Forms 4473 – NICS & Other Dispositions

Investigators (b)(6) reviewed (b)(3) - 112 Public L of the approximately (b)(3) - 112 P Forms completed for the inspection period. Violations were cited for errors and/or omissions found on (b)(3) - 112 Public Law 55 125 Stat 552 Forms as outlined below:

- 478.124(c)(1) 31 Forms had errors/omissions in items 2, 11b-11l, and 16-17 including (b)(3) - 112 P Forms which had YES answers to multiple prohibiting questions.
- 478.21(a) (b)(3) - 112 P Forms had errors/omissions in items 11a, 18, 30a and 33 and 35.
- 478.124(c)(5) (b)(3) - 112 Public Forms had errors/omissions in items 34 and 36.
- 478.124(c)(3)(iv) (b)(3) - 112 P Forms had errors/omissions in items 21a-21d, NICS information
- 478.124(c)(3)(i) (b)(3) - 112 P Form showed a NC identification in item 20a for a buyer who listed a VA residence address in Section A

In addition, (b)(3) - 112 P Forms 4473 could not be found. When looking through the Forms 4473 to reconcile (b)(3) - 112 P missing pawned firearms, it was found that all (b)(3) - 112 P were acquired again at a later date from the same customers. This verified that the open dispositions were not missing firearms, however the Forms 4473 for those specific acquisitions could not be located. Mr. and Mrs. Fetters explained that a Form had to be done for each of the (b)(3) - 112 P transfers but could not be located during this inspection.

SI (b)(6) documented a representative sample (b)(3) - 112 P errors and/or omissions on Forms 4473 as follows:

Exhibit 7 (b)(3) - 112 Public Law 55 125 Stat 552, (b)(6)
Exhibit 8
Exhibit 9
Exhibit 10

FIREARMS INSPECTION REPORT

Name: Stevens Gun & Pawn, LTD
Trade Name:

UI#: 775025-2016-0063
FFL#: 4-61-01-04372

Exhibit 11 (b)(3) - 112 Public Law 55 125 Stat 552, (b)(6)
Exhibit 12
Exhibit 13
Exhibit 14
Exhibit 15
Exhibit 16
Exhibit 17
Exhibit 18
Exhibit 19
Exhibit 20
Exhibit 21
Exhibit 22
Exhibit 23
Exhibit 24

Exhibit 25
Exhibit 26
Exhibit 27
Exhibit 28
Exhibit 29
Exhibit 30
Exhibit 31
Exhibit 32
Exhibit 33
Exhibit 34
Exhibit 35
Exhibit 36
Exhibit 37
Exhibit 38
Exhibit 39

SI (b)(6) provided Mr. and Mrs. Fetters with written guidance ([Exhibit 40](#)) for improved record keeping. The Fetters agreed that the guidance would help organize and simplify maintenance of the A&D records and Forms 4473 and stated that they would implement the practices outlined.

SI (b)(6) received a NICS Audit Log and verified approximately 50% of the 293 proceeds and all of the 5 denials for the inspection period.

See ROV violations 1 and 3-8, Worksheet 2 and Exhibits 7-39

6 – Multiple Sales

FIREARMS INSPECTION REPORT

Name: Stevens Gun & Pawn, LTD
Trade Name:

UI#: 775025-2016-0063
FFL#: 4-61-01-04372

Investigators (b)(6) and (b)(6) found no unreported multiple handgun sales.

7 - Suspicious/Prohibited Purchasers

SI (b)(6) prepared one Referral of Information based on information discovered by investigator (b)(6). (b)(3) - 112 Public Law 55 125 Stat 552, (b)(6)

8 - Trace Activity

Stevens had (b)(3) - 112 successful trace for the inspection period.

9 - NFA/Importer/Collector/Manufacturer

Stevens does not engage in these activities.

10 - Referrals

SI (b)(6) prepared one Referral of Information based on information discovered by investigator (b)(6). (b)(3) - 112 Public Law 55 125 Stat 552, (b)(6)

11 - Other

SI (b)(6) had no additional concerns or comments.

12 - Closing Actions

S(b)(6) held a closing conference with Mr. and Mrs. Fetters on March 23, 2016. The Report of Violations and Acknowledgement of Federal Firearms Regulations was reviewed and SI (b)(6) answered all of the Fetters' questions. (b)(6) also reviewed the written guidance provided to the Fetters (**Exhibit 40**) and reminded them about record keeping requirements (including A&D records) for gunsmithing/repairs.

13 - Violations

1. 27 CFR 478.99(c)

Nature of Violation

Transfer of a firearm to a person, who at the time of transfer, appeared to be prohibited. In all three instances, the person answered "Yes" to prohibiting questions on the Form 4473. (b)(3) - 112 Public Law 55 125 Stat 552

FIREARMS INSPECTION REPORT

Name: Stevens Gun & Pawn, LTD
Trade Name:

UI#: 775025-2016-0063
FFL#: 4-61-01-04372

Licensee Response

Mr. and Mrs. Feters stated that it has been more difficult to manage their records with the increased volume of sales experienced recently. SI (b)(6) provided Mr. and Mrs. Feters with written recommendations for improved record keeping and both stated that they would implement the recommendations. Mr. Feters was also very interested to hear that ATF has an automated Form 4473 and stated that he may set up a few terminals and begin using the automated Form when they move to their new location in the next couple of months.

Corrective Action

A NICS check or valid State permit was received for each before the transfer took place. In addition, SI (b)(6) ran a criminal history check on (b)(6) and found no prohibiting charges.

Reference ROV violation 1, Worksheet 2 Exhibits 16, 17 and 38

2. **27 CFR 478.125(e)**

Nature of Violation

Failure to properly maintain the A&D records. During this inspection, SI (b)(6) discovered that (b)(6) disposition entries were not made and (b)(6) acquisition entries were not made.

Licensee Response

Mr. and Mrs. Feters stated that it has been more difficult to manage their records with the increased volume of sales experienced recently. SI (b)(6) provided Mr. and Mrs. Feters with written recommendations for improved record keeping and both stated that they would implement the recommendations. Mr. Feters stated that he wants to begin using an automated A&D system, which will also improve their records.

Corrective Action

All correcting entries were made. SI (b)(6) provided Mr. and Mrs. Feters with written recommendations for improved record keeping and both stated that they would implement the recommendations.

Reference ROV violation #2, Worksheet 1 and Exhibits 2-6

FIREARMS INSPECTION REPORT

Name: Stevens Gun & Pawn, LTD
Trade Name:

UI#: 775025-2016-0063
FFL#: 4-61-01-04372

3. **27 CFR 478.124(c)(1)**

Nature of Violation

Failure to properly complete Forms 4473 (b)(3)-(6) Forms contained errors and/or omissions in item 2 (residence address), items 11b-11i (blanks in prohibiting questions), and items 16-17 (buyers' signature and date).

Licensee Response

Mr. and Mrs. Fetters stated that it has been more difficult to manage their records with the increased volume of sales experienced recently. SI (b)(6) provided Mr. and Mrs. Fetters with written recommendations for improved record keeping and both stated that they would implement the recommendations. Mr. Fetters was also very interested to hear that ATF has an automated Form 4473 and stated that he may set up a few terminals and begin using the automated Form when they move to their new location in the next couple of months.

Corrective Action

Licensee will be more diligent about reviewing these Forms in the future both before and after the transfer takes place. SI (b)(6) provided written guidance for improving record keeping which Mr. and Mrs. Fetters agreed will help avoid such mistakes in the future.

Reference ROV violation #3, Worksheet 2 and Exhibits 7-10, 17-24, 26 and 35

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

Nature of Violation

Failure to properly complete Form 4473. (b)(3) Forms had errors and/or omissions in items 11a (actual buyer), 18 (type of firearm), 30a (alpha number of firearms), 33 and 35 (name and title of transferor).

Licensee Response

Mr. and Mrs. Fetters stated that it has been more difficult to manage their records with the increased volume of sales experienced recently. SI (b)(6) provided Mr. and Mrs. Fetters with written recommendations for improved record keeping and both stated that they would implement the recommendations. Mr. Fetters was also very interested to hear that ATF has an automated Form 4473 and stated that he may set up a few terminals and begin using the automated Form when they move to their new location in the next couple of months.

Corrective Action

Licensee will be more diligent about reviewing these Forms in the future both before

FIREARMS INSPECTION REPORT

Name: Stevens Gun & Pawn, LTD
Trade Name:

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FFL#: 4-61-01-04372

and after the transfer takes place. SI (b)(6) provided written guidance for improving record keeping which Mr. and Mrs. Feters agreed will help avoid such mistakes in the future.

Reference ROV violation #4, Worksheet 2 and Exhibits 10-14, 26, 27-31, 32, 34, 36, and 39.

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

Nature of Violation

Failure to properly complete Forms 4473. Seven Forms contained errors and/or omissions in items 34 (transferor signature) and 36 (transfer date).

Licensee Response

Mr. and Mrs. Feters stated that it has been more difficult to manage their records with the increased volume of sales experienced recently. SI (b)(6) provided Mr. and Mrs. Feters with written recommendations for improved record keeping and both stated that they would implement the recommendations. Mr. Feters was also very interested to hear that ATF has an automated Form 4473 and stated that he may set up a few terminals and begin using the automated Form when they move to their new location in the next couple of months.

Corrective Action

Licensee will be more diligent about reviewing these Forms in the future both before and after the transfer takes place. SI (b)(6) provided written guidance for improving record keeping which Mr. and Mrs. Feters agreed will help avoid such mistakes in the future.

Reference ROV violation #5, Worksheet 2 and Exhibits 10-14

6. **27 CFR 478.124(c)(3)(iv)**

Nature of Violation

Failure to properly complete Forms 4473. (b)(3) Forms contained omissions in items 21a-21d (NICS information).

Licensee Response

Licensee Response

Mr. and Mrs. Feters stated that it has been more difficult to manage their records with the increased volume of sales experienced recently. SI (b)(6) provided Mr. and Mrs. Feters with written recommendations for improved record keeping and both stated that they would implement the recommendations. Mr. Feters was also very interested to hear that ATF has an automated Form 4473 and stated that he may set up a few

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terminals and begin using the automated Form when they move to their new location in the next couple of months.

Corrective Action

Licensee will be more diligent about reviewing these Forms in the future both before and after the transfer takes place. SI (b)(6) provided written guidance for improving record keeping which Mr. and Mrs. Fetters agreed will help avoid such mistakes in the future.

Reference ROV violation #6, Worksheet 2 and Exhibits 14, 15, 25 and 37

7. **27 CFR 478.124(b)**

Nature of Violation

Failure to properly complete Forms 4473 (b)(3) - 112 P01 Form showed a North Carolina identification in item 20a for a buyer who listed a Virginia residence address.

Licensee Response

Mr. and Mrs. Fetters stated that it has been more difficult to manage their records with the increased volume of sales experienced recently. SI (b)(6) provided Mr. and Mrs. Fetters with written recommendations for improved record keeping and both stated that they would implement the recommendations. Mr. Fetters was also very interested to hear that ATF has an automated Form 4473 and stated that he may set up a few terminals and begin using the automated Form when they move to their new location in the next couple of months.

Corrective Action

Licensee will be more diligent about reviewing these Forms in the future both before and after the transfer takes place. SI (b)(6) provided written guidance for improving record keeping which Mr. and Mrs. Fetters agreed will help avoid such mistakes in the future.

Reference ROV violation #7, Worksheet 2 and Exhibit 24

8. **27 CFR 478.129(b)**

Nature of Violation

Failure to retain Forms 4473 for 20 years. During this inspection three Forms 4473 could not be found. (b)(3) - 112 P01 pawned firearms with open disposition entries could not be found in inventory but were acquired again at a later date from the same pawn customer. Forms 4473 could not be found for these (b)(3) - 112 P01 acquisitions but since the firearms were later

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acquired again from the same person, the firearms were not considered to be missing for this inspection.

Licensee Response

Mr. and Mrs. Fetters stated that the Forms were completed for the three transfers and showed SI (b)(6) that the Form 4473 sequential serial number was missing from their files in all three instances.

Corrective Action

Disposition entries were made during this inspection. SI (b)(6) provided Mr. and Mrs. Fetters with written recommendations for improved record keeping and both stated that they would implement the recommendations. Mr. and Mrs. Fetters stated that the Forms were completed for the three transfers and showed SI (b)(6) that the Form 4473 sequential serial number was missing from their files in all (b)(6) instances.

Reference ROV violation #8

X

Industry Operations Investigator

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NICS Audit Log