

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) YG Pals Enterprises LLC Back River Arms 800 Poquoson Avenue Poquoson, VA 23662, Poquoson, City of		2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 768035-2016-0137-B1B		
		3. PERMIT/LICENSE NUMBER 154735016H12965	4a. TARGET DATE	4b. TARGET HOURS
		5. REQUESTED BY (SIGNATURE, TITLE AND DATE)		
6. ATF OFFICER(S) ASSIGNED (b) (6) - Lead Investigator				
7. ASSIGNED BY (SIGNATURE, TITLE AND DATE) (b) (6), Area Supervisor, 01/21/2016				
8. PURPOSE/SPECIAL INSTRUCTIONS Please conduct a recall inspection on this 01 FFL who received a Report of Violations with a recommendation of recall by inspection conducted by IOI (b) (6). Please verify that FFL is compliant with all ATF law and regulations and prior violations are not being repeated.				
9. INSPECTION RESULTS		<input type="checkbox"/> CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC		10. TRAVEL EXPENSES (OPTIONAL)
NO. OF VIOLATIONS	8	NO. OF REFERRALS		2111 - PER DIEM
NO. OF TECS CHECKS	14	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: 04/14/2016 Please update FLS to show Mr. Catlett as the only responsible person, whose home address is (b) (6). (b) (6). Viols WL ONLY and No Recall Inspection				
12. TIME ACCOUNTING DATA				
ATF OFFICER'S NAME (MONTH, YEAR, HOURS) (b) (6)				
MAR 2016		14.00		
APR 2016		21.00		
ATF OFFICER'S SUBTOTAL		35.00		
		ATF OFFICER'S SIGNATURE		
TOTAL HOURS		35.00		
13. REVIEW AND ROUTING				
REVIEW COMMENTS AND RECOMMENDATION Viols WL ONLY and No Recall Inspection				
<input checked="" type="checkbox"/> REVIEWED <input checked="" type="checkbox"/> CONCUR <input type="checkbox"/> SEE COMMENTS <input checked="" type="checkbox"/> FINAL DISPOSITION				
SIGNATURE AND TITLE (b) (6) - Area Supervisor			REVIEW DATE 04/18/2016	

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) YG Pals Enterprises LLC Back River Arms 800 Poquoson Avenue Poquoson, VA 23662, Poquoson, City of	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 768035-2016-0137-B1B		
	3. PERMIT/LICENSE NUMBER 154735016H12965	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 _____



U.S. Department of Justice

Bureau of Alcohol, Tobacco,
Firearms and Explosives
1011 Boulder Springs Drive
Suite 300, Richmond, VA 23225

April 21st, 2016

www.atf.gov

Y&S Pals Enterprises LLC
T/A Back River Arms
800 Poquoson Avenue
Poquoson, VA 23662

FFL No. 1-54-735-01-6H-12965

Dear Mr. Jonathan Catlett:

During a recent compliance inspection at your firearms business covering the audit review period 3/25/2015 through 3/25/2016 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 you by the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) Industry Operations Investigator (b) (6). 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.

If you have any questions regarding this matter, please contact (b) (6) or (b) (6).

Sincerely yours,

(b) (6)

4/5

(b) (6)

Area Supervisor

Enclosure

cc: Federal Firearms Licensing Center
Richmond Area Office

March 11 2019 Document Production

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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 YG Pals Enterprises LLC Back River Arms	Street Address 800 Poquoson Avenue	City Poquoson	State VA	Zip Code 23662-	County Poquoson, City of	Page 1 of 5 Pages
License/Permit/Registry Number (If any) 154735016H12965	Expiration Date 8/1/2016	Date(s) or Period of Inspection 03/25/2015 through 03/25/2016				

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:

The licensee, by and through its agents and employees, failed to obtain/execute Form 4473 as indicated by the headings on the form and the instructions on or pertaining to the form, (b) (3) - Public instances cited.

Obsolete Forms (b) (3) - Public Law 112-5 the licensee used Rev 2008 of ATF Form 4473

Question 18 (Certification date) was answered blank (b) (3) - Public Law

Question 30a (Number of firearms sold) was answered blank (b) (3) - Public Law

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 shall provide the correct and complete information for all errors identified. Make corrections to Forms 4473 on a copy of the affected Form 4473; corrections shall not be made to the original Form 4473.

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 YG Pals Enterprises LLC Back River Arms	Street Address 800 Poquoson Avenue	City Poquoson	State VA	Zip Code 23662-	County Poquoson, City of	Page 2 of 5 Pages
License/Permit/Registry Number (If any) 154735016H12965		Expiration Date 8/1/2016		Date(s) or Period of Inspection 03/25/2015 through 03/25/2016		

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:

The licensee, by and through its agents and employees, prior to making an over-the-counter transfer of a firearm to a non-licensee, failed to obtain the required information in Section A of the ATF Form 4473, questions 1 – 17, [REDACTED] forms with [REDACTED] instances cited.

Question 2 (Resident address) was answered in error [REDACTED] (b) (3) - Public Law 1

Question 3 (City and State) was answered in error [REDACTED] (b) (3) - Public Law 1

Question 11c (Have you ever been convicted of a felony...) was answered blank [REDACTED] (b) (3) - Public Law 1

Question 17 (Certification date) was answered in error [REDACTED] (b) (3) - Public Law 1

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 shall provide the correct and complete information for all errors identified. Make corrections to Forms 4473 on a copy of the affected Form 4473; corrections shall not be made to the original Form 4473.

Number: 3

Nature of Violation:

The licensee, by and through its agents and employees, transferred a firearm to a non-licensee without verifying the identification document presented and noting on the Form 4473 the type of identification used [REDACTED] forms with [REDACTED] instances cited.

Question 20a (Buyers ID) was answered in error [REDACTED] (b) (3) - Public Law 1

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

Licensee shall verify the identity of the buyer by examining the identification document and shall note on the ATF Form 4473 the type of identification used.

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 YG Pals Enterprises LLC Back River Arms	Street Address 800 Poquoson Avenue	City Poquoson	State VA	Zip Code 23662-	County Poquoson, City of	Page 3 of 5 Pages
License/Permit/Registry Number (If any) 154735016H12965	Expiration Date 8/1/2016	Date(s) or Period of Inspection 03/25/2015 through 03/25/2016				

Inspection Results

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

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

Number: 4

Nature of Violation:

The licensee, by and through its agents and employees, transferred a firearm to a non-licensee without recording required NICS information on the Form 4473 forms with instances cited.

Question 21a (Transmission date to NICS) was answered blank

Question 21b (NICS Transaction number) was answered in error

Question 21c (Response initially provided by NICS) was answered blank

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 shall obtain and enter the missing NICS information; obtain missing Form 4473 NICS information by referring to the NICS information on the corresponding SP-65. Make Forms 4473 corrections on a copy of the affected Form 4473; make no corrections to the original Form 4473.

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 YG Pals Enterprises LLC Back River Arms	Street Address 800 Poquoson Avenue	City Poquoson	State VA	Zip Code 23662-	County Poquoson, City of	Page 4 of 5 Pages
License/Permit/Registry Number (If any) 154735016H12965	Expiration Date 8/1/2016	Date(s) or Period of Inspection 03/25/2015 through 03/25/2016				

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:

The licensee, by and through its agents and employees, failed to sign and date the Form 4473 certifying that the licensee does not know or have reason to believe the transferee is disqualified by law from receiving the firearm described on the Form 4473. [REDACTED] forms with [REDACTED] instances cited.

Question 34 (Sellers signature) was answered blank. [REDACTED] (b) (3) - Public Law
Question 36 (Transfer date) was answered in error. [REDACTED] (b) (3) - Public Law

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 shall enter the missing information into the proper spaces on the Form 4473. Make corrections to Forms 4473 on a copy of the affected Form 4473; corrections shall not be made to the original Form 4473.

Number: 6

Nature of Violation:

The licensee, by and through its agents and employees, failed to timely and accurately report the sale or other disposition of two or more pistols and/or revolvers to an unlicensed person. [REDACTED] instances cited, involving [REDACTED] firearms.

Citation: 27 CFR 478.126a

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

Corrective Action to be Taken: (If not corrected immediately) Licensee shall immediately process an ATF Form 3310.4 to forward copies to the offices specified on the form.

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 YG Pals Enterprises LLC Back River Arms	Street Address 800 Poquoson Avenue	City Poquoson	State VA	Zip Code 23662-	County Poquoson, City of	Page 5 of 5 Pages
License/Permit/Registry Number (If any) 154735016H12965	Expiration Date 8/1/2016	Date(s) or Period of Inspection 03/25/2015 through 03/25/2016				

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:

The licensee, by and through its agents and employees, failed to accurately record the acquisition of ^{(b)(3)} firearm.

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

Citation: 27 CFR 478.125(e)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken: Licensee shall enter the correct acquisition information into the A&D Record.
(If not corrected immediately)

Number: 8

Nature of Violation:

The licensee, by and through its agents and employees, failed to give written notification to the Chief, National Licensing Center within 30 days of such change in control. Specifically, the deactivation of two Responsible Persons list on the FFL **(b) (6)**

(b) (6)

Citation: 27 CFR 478.54

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken: Investigator **(b) (6)** will initiate the deactivation of the two responsible persons through this report.
(If not corrected immediately)

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

Date

4/8/16

Signature and Title of ATF Officer

Date

4/8/16

FIREARMS INSPECTION REPORT

Name: YG Pals Enterprises LLC
Trade Name: Back River Arms

UI#: 768045.2016.0137.B1B
FFL#: 1.54.735.01.6H.12965

Address: 800 Poquoson Avenue
Poquoson, Virginia 23662-1023 (Poquoson City)

1 - Introduction

Inspection Profile:

On 3.25.2016, ATF Industry Operations Investigator (b)(6) initiated an on-site compliance inspection on Type 01, Federal Firearms Licensee (FFL) YG Pals Enterprises LLC d/b/a Back River Arms. The inclusive dates of the inspection were 3.25.2015- 3.25.2016. Investigator (b)(6) only contact during the inspection was Owner and Responsible Person, Mr. Jonathan Catlett. Due to the evening business hours, Investigator (b)(6) received approval from the Area Supervisor to schedule an appointment with the FFL.

The scope of this inspection is to conduct a recall inspection on this 01 FFL who received a Report of Violations with a recommendation of recall by the 2014 compliance inspection. Also, to verify that the FFL is compliant with all ATF laws and regulations and that prior violations are not being repeated.

Business Profile:

Back River Arms operates from a small, leased, commercial premises located in suburban Poquoson. Back River Arms retails new and used hand guns and long guns to the general public, friends and relatives, law enforcement, and other dealers. The licensee also sells ammunition, and some firearms accessories such as holsters. The licensee consigns firearms and transfers firearms to/from other FFLs. The licensee does not gunsmith and is not an NFA dealer.

During the inspection period the licensee acquired (b)(4) firearms; (b)(4) handguns, (b)(4) long guns, and (b)(4) receivers. The licensee disposed (b)(4) firearms; (b)(4) handguns, (b)(4) long guns, and (b)(4) receivers. In inventory were (b)(4) firearms, of which (b)(4) were new firearms.

Investigator (b)(6) verified that the business holds a Type 01 FFL which is appropriate for the type of business activity. The licensee's FFL originated 7.2.2013 and expires 8.1.2016. The licensee vends at Hampton Va. gun shows. The licensee's primary wholesale vendors are (b)(4). The licensee sells firearms on the internet via gunbroker.com. The licensee has the required State and Local licenses and permits and does not maintain off-site storage. The licensee's EIN is (b)(3) 26 USC § 6103 and DIN is (b)(3) 26 USC § 6103. The licensee's email address is backriverarms@gmail.com.

FIREARMS INSPECTION REPORT

Name: YG Pals Enterprises LLC
Trade Name: Back River Arms

UI#: 768045.2016.0137.B1B
FFL#: 1.54.735.01.6H.12965

Ownership and Control:

YG Pals Enterprises LLC was initially owned by three individuals. Since its inception in 2013, two partners have withdrawn from the LLC and the FFL. The Federal Licensing System, License Registration Report now incorrectly lists (b)(6) as responsible persons. Mr. Jonathan Wade Catlett is actively engaged in the business. Mr. Catlett has no employees.

Please update FLS to show Mr. Catlett as the only responsible person, whose home address is (b)(6) and business phone number is 757-320-7246.

Variance:

YG Pals Enterprises LLC has no variance and YG Pals Enterprises LLC did not request a variance during this inspection.

2 - Recommendation

Viols WL ONLY No Recall Inspection

Investigator (b)(6) recommends a WL based on a failure by the licensee to obtain complete and accurate information for any items on Forms 4473, sections 11a through section 12. A failure to file multiple sales reports when legally required to do so. And, a failure to notify ATF about a change of control and the FFL is still valid.

3 - Inspection History

This inspection was completed by IOI (b)(6).

Date of Inspection: 4.28.2014
Type of Inspection: Compliance
UI#: 768035.2014.0192.B1B
Inspection Results: *Violations; ROV Only; Recall Inspection*
Cited Violations: §478.125(e)-(b)(3) instances
§478.99(a)-(b)(3) instance
§478.21(a)-(b)(3) forms
§478.124(c)(1)-(b)(3) forms
§478.124(c)(3)(i)-(b)(3) forms
§478.124(c)(3)(iv)-(b)(3) forms
§478.103(c)- failure to distribute Youth Handgun pamphlets

FIREARMS INSPECTION REPORT

Name: YG Pals Enterprises LLC
Trade Name: Back River Arms

UI#: 768045.2016.0137.B1B
FFL#: 1.54.735.01.6H.12965

This inspection was completed by IOI (b)(6).

Date of Inspection: 5.28.2013
Type of Inspection: New application
UI#: 768035.2013.0258.B1B
Inspection Results: *Application Approved*
Cited Violations: None

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

On 3.25.2016, the licensee's manual sales and repair A&D Records revealed 28 open entries. Investigator (b)(6) completed a 100% inventory by firearm nomenclature and compared it against the A&D Record. The inventory consisted of 28 firearms. The A&D Record is in the proper format with entry incorrectly made as noted below.

By comparison of Investigator (b)(6) inventory against the A&D Record revealed firearm that was not accurately acquired into the A&D Record (**Worksheet 1, ROV, and Violation 7**). Investigator (b)(6) directed the licensee to make an immediate correction into the A&D Record.

➤ (b)(3) 112 Public Law 55 125 STAT 552

Investigator (b)(6) determined the licensee has no segregation of function or division of duties. The licensee has no written, sound system of practices, or policies demonstrated by a consistent application of formal or informal procedures to ensure the accuracy of the record keeping system. As a single person operation, the licensee is responsible for ensuring timely A&D Record entries, taking inventory, and ensuring the accuracy of the A&D book.

Mr. Catlett reported that a periodic inventory is not accomplished. Investigator (b)(6) encouraged the licensee to take a numbers count inventory every 6 months and compare the number with the open entry numbers.

Investigator (b)(6) traced the month of February and March 2016 Forms 4473 through the A&D book by comparing all of the Forms 4473 data to the A&D book and vice-versa; discrepancy as noted above.

The licensee did not file a theft/loss report during the past year or as a result of this inspection.

FIREARMS INSPECTION REPORT

Name: YG Pals Enterprises LLC
Trade Name: Back River Arms

UI#: 768045.2016.0137.B1B
FFL#: 1.54.735.01.6H.12965

5 - ATF Forms 4473 – NICS & Other Dispositions

During the reporting period, the licensee executed (b)(3) ATF Forms 4473 (b)(3) denied form). Investigator (b)(6) reviewed 100% of the Fs 4473 for errors. Investigator (b)(6) determined (b)(3) forms were in error (21%) with (b)(3) instances (**Worksheet 2, ROV, and Violations 1-6**). The licensee files Fs 4473 numerically.

Investigator (b)(6) identified (b)(3) Form 4473 with a “blank” answer in response to Section A, question 11c (Have you ever been convicted of a felony...) Investigator (b)(6) completed a criminal history check on the individual with negative results (**Worksheet 2, ROV, and Violation 2**).

There is no segregation of function or division of duties in processing and reviewing Fs 4473. The licensee is the only person reviewing the forms. The licensee has no sound system of practices or policies demonstrated by a consistent application of formal or informal procedures to ensure the accuracy of the Forms 4473. The forms are reviewed a second time by the licensee before filing.

Investigator (b)(6) contacted the Virginia State Police for the Firearms Transaction Program Statement Inquiries for the months of February and March 2016. Investigator (b)(6) cross-checked 10 transactions with no discrepancies.

The licensee correctly transferred firearms to other FFLs and uses FFL eZCheck.

6 - Multiple Sales

The Crime Gun Analysis Branch FFL Master Query listed zero (0) multiple sales during the inspection period. Investigator (b)(6) discovered (b)(3) unreported multiple sales, involving (b)(3) firearms. Investigator (b)(6) directed the licensee to complete an ATF Form 3310.4, Report of Multiple Handgun Sale and fax it to the appropriate agency (**Worksheet 2, ROV, and Violation 7**).

7 - Suspicious/Prohibited Purchasers

Investigator (b)(6) requested an analysis of firearms traces, theft or loss reports, and multiple sale information from the Violent Crimes Analysis Branch. Investigator (b)(6) analyzed the trace history of the licensee for the past three years.

Investigator (b)(6) examined the licensee’s records to determine if trafficking or straw purchase indicators were present. After analyzing the data, Investigator (b)(6) comprised a list of individuals and checked the individual’s criminal history r NCIC.NLETS to determine any prohibiting factors which may prevent them from possessing a firearm. Investigator (b)(6) determined there were no indicators of illegal transfers, trafficking or nexus to previous traces or Intel.

FIREARMS INSPECTION REPORT

Name: YG Pals Enterprises LLC
Trade Name: Back River Arms

UI#: 768045.2016.0137.B1B
FFL#: 1.54.735.01.6H.12965

8 - Trace Activity

The Violent Crimes Analysis Branch (VCAB) FFL Master Query reported [REDACTED] successful trace in the last twelve months, (b)(3) 112 Public Law 55 125 STAT 552. Investigator (b)(6) did not discover indicators of illegal transfers, trafficking or nexus to previous traces or Intel.

The licensee acquired (b)(4) used firearms and disposed of (b)(4) used firearms.

9 - NFA/Importer/Collector/Manufacturer

YG Pals Enterprises LLC is not an importer, collector, or manufacturer and does not deal in NFA weapons.

10 - Referrals

Investigator (b)(6) did not find any referral activity.

11 - Other

The Violent Crime Analysis Branch has processed your request to provide an FFL history query for YG Pals Enterprises, LLC (FFL #1-54-12965). Attached is a Word document revealing the activity for YG Pals Enterprises, LLC for the time period of March 24, 2015 to March 24, 2016. The results are as follows: YG Pals Enterprises, LLC was associated with (b)(3) firearm trace request.

The Violent Crime Analysis Branch has also processed your request to provide Individual/Address history queries for (b)(6) (DOB: (b)(6)) address listed as (b)(6); Jonathan Wade CATLETT (DOB: (b)(6)) address listed as (b)(6) and (b)(6) (DOB: (b)(6)) address listed as (b)(6).

There were no results to report for (b)(6); Jonathan Wade CATLETT or (b)(6).

The address history queries for (b)(6)

[REDACTED] did not reveal any results.

There was no Intel work-up submitted by Norfolk CE.

FIREARMS INSPECTION REPORT

Name: YG Pals Enterprises LLC
Trade Name: Back River Arms

UI#: 768045.2016.0137.B1B
FFL#: 1.54.735.01.6H.12965

12 - Closing Actions

On 4.8.2016 Investigator (b)(6) held a Closing Conference with Mr. Jonathan Catlett. Investigator (b)(6) summarized each item on the Acknowledgement of Federal Firearms Regulations to the licensee's satisfaction and answered all questions. Mr. Catlett signed the Acknowledgement verifying the information was explained and received a signed copy for his files (**Exhibit 1**).

Investigator (b)(6) issued a Report of Violations (ROV) to Mr. Catlett on 4.8.2016. Investigator (b)(6) discussed the violations and explained all violations found during this investigation. Investigator (b)(6) explained why they were violations, how to correct the violations and how to keep proper records in the future to avoid the violation from reoccurring. Mr. Catlett signed the ROV verifying that Investigator (b)(6) explained it to him. The licensee stated that he understood the ROV. Investigator (b)(6) provided Mr. Catlett a copy of the ROV.

13 - Violations

2. 27 C.F.R. § 478.124(c)(1)

REPEAT OF VIOLATION CITED APRIL 28, 2014

Nature of Violation:

The licensee, by and through its agents and employees, prior to making an over-the-counter transfer of a firearm to a non-licensee, failed to obtain the required information in Section A of the ATF Form 4473, questions 1 – 17, (b)(6) forms with (b)(6) instances cited.

Question 2 (Resident address) was answered in error (b)(6) time

Question 3 (City and State) was answered in error (b)(6) times

Question 11c (Have you ever been convicted of a felony...) was answered blank (b)(6) time

Question 17 (Certification date) was answered in error (b)(6) time

Licensees Response:

I am training another person for paperwork only at gun shows that will help to alleviate these errors.

Corrective Action:

Licensee shall provide the correct and complete information for all errors identified. Make corrections to Forms 4473 on a copy of the affected Form 4473; corrections shall not be made to the original Form 4473.

FIREARMS INSPECTION REPORT

Name: YG Pals Enterprises LLC
Trade Name: Back River Arms

UI#: 768045.2016.0137.B1B
FFL#: 1.54.735.01.6H.12965

Worksheet 2 and ROV

3. **27 C.F.R. § 478.124(c)(3)(i)**

REPEAT OF VIOLATION CITED APRIL 28, 2014

Nature of Violation:

The licensee, by and through its agents and employees, transferred a firearm to a non-licensee without verifying the identification document presented and noting on the Form 4473 the type of identification used: [REDACTED] forms with [REDACTED] instances cited.

Question 20a (Buyers ID) was answered in error [REDACTED] times

Licensees Response:

I now understand how to correctly document military sales.

Corrective Action:

Licensee shall verify the identity of the buyer by examining the identification document and shall note on the ATF Form 4473 the type of identification used.

Worksheet 2 and ROV

4. **27 C.F.R. § 478.124(c)(3)(iv)**

REPEAT OF VIOLATION CITED APRIL 28, 2014

Nature of Violation:

The licensee, by and through its agents and employees, transferred a firearm to a non-licensee without recording required NICS information on the Form 4473; 2 forms with [REDACTED] instances cited.

Question 21a (Transmission date to NICS)) was answered blank [REDACTED] time

Question 21b (NICS Transaction number) was answered in error [REDACTED] time

Question 21c (Response initially provided by NICS) was answered blank [REDACTED] times

Licensees Response:

I need to slow down and focus on my review.

FIREARMS INSPECTION REPORT

Name: YG Pals Enterprises LLC
Trade Name: Back River Arms

UI#: 768045.2016.0137.B1B
FFL#: 1.54.735.01.6H.12965

Corrective Action:

Licensee shall obtain and enter the missing NICS information; obtain missing Form 4473 NICS information by referring to the NICS information on the corresponding SP-65. Make Forms 4473 corrections on a copy of the affected Form 4473; make no corrections to the original Form 4473.

Worksheet 2 and ROV

5. **27 C.F.R. § 478.124(c)(5)**

Nature of Violation:

The licensee, by and through its agents and employees, failed to sign and date the Form 4473 certifying that the licensee does not know or have reason to believe the transferee is disqualified by law from receiving the firearm described on the Form 4473; [REDACTED] forms with [REDACTED] instances cited.

Question 34 (Sellers signature) was answered blank [REDACTED] time
Question 36 (Transfer date) was answered in error [REDACTED] time

Licensee's Response:

I will start double checking my forms in an effort to eliminate errors.

Corrective Action:

Licensee shall enter the missing information into the proper spaces on the Form 4473. Make corrections to Forms 4473 on a copy of the affected Form 4473; corrections shall not be made to the original Form 4473.

Worksheet 2 and ROV

6. **27 C.F.R. § 478.126a**

Nature of Violation:

The licensee, by and through its agents and employees, failed to timely and accurately report the sale or other disposition of two or more pistols and/or revolvers to an unlicensed person, [REDACTED] instances cited, involving [REDACTED] firearms.

Licensees Response:

FIREARMS INSPECTION REPORT

Name: YG Pals Enterprises LLC
Trade Name: Back River Arms

UI#: 768045.2016.0137.B1B
FFL#: 1.54.735.01.6H.12965

I forgot that I needed to do this. I will not forget in the future.

Corrective Action:

Licensee shall immediately process an ATF Form 3310.4 to forward copies to the offices specified on the form.

Worksheet 2 and ROV

7. **27 C.F.R. § 478.125(e)**

REPEAT OF VIOLATION CITED APRIL 28, 2014

Nature of Violation:

The licensee, by and through its agents and employees, failed to accurately record the acquisition of ^{(b)(3)} firearm.

➤ (b)(3) 112 Public Law 55 125 STAT 552

Licensee's Response:

I need to slow down and verify the correct serial number.

Corrective Action:

Licensee shall enter the correct acquisition information into the A&D Record.

Worksheet 1 and ROV

8. **27 C.F.R. § 478.54**

Nature of Violation:

The licensee, by and through its agents and employees, failed to give written notification to the Chief, National Licensing Center within 30 days of such change in control. Specifically, the deactivation of ^{(b)(3)} Responsible Persons list on the FFL, (b)(6)

Licensee's Response:

I did not notify ATF within 30 days because I could not get a decision from my partners on what they wanted to with the FFL and then time went by and here we are.

FIREARMS INSPECTION REPORT

Name: YG Pals Enterprises LLC
Trade Name: Back River Arms

UI#: 768045.2016.0137.B1B
FFL#: 1.54.735.01.6H.12965

Corrective Action:

Investigator (b)(6) will initiate the deactivation of the two responsible persons through this report.

ROV

X

Industry Operations Investigator

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