

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) The Cop Shop Inc. 803 E. Baltimore St. Baltimore, MD 21202, Baltimore City	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 761025-2014-0160-B1B			
	<table border="1" style="width: 100%; border-collapse: collapse;"><tr><td style="width: 33%;">3. PERMIT/LICENSE NUMBER 852510016C10879</td><td style="width: 33%;">4a. TARGET DATE 9/30/2015</td><td style="width: 33%;">4b. TARGET HOURS 40</td></tr></table>	3. PERMIT/LICENSE NUMBER 852510016C10879	4a. TARGET DATE 9/30/2015	4b. TARGET HOURS 40
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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, 08/26/2015	
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8. PURPOSE/SPECIAL INSTRUCTIONS Conduct compliance inspection. Obtain corporation's EIN.	
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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%;">6</td><td style="width: 20%;">NO. OF REFERRALS</td><td style="width: 10%;"></td></tr><tr><td>NO. OF TECS CHECKS</td><td>52</td><td>NO. OF TECS HITS</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></tr><tr><td>\$ VALUE OF TAX DECREASES</td><td></td></tr><tr><td>NO. OF ASSESSMENTS</td><td></td><td>\$ VALUE OF ASSESSMENTS</td><td></td></tr><tr><td>NO. OF CLAIMS</td><td></td><td>\$ VALUE OF CLAIMS</td><td></td></tr><tr><td>NO. OF TAX PERIODS</td><td></td><td>\$ VALUE OF TAXES VERIFIED</td><td></td></tr></table>	NO. OF VIOLATIONS	6	NO. OF REFERRALS		NO. OF TECS CHECKS	52	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		<table border="1" style="width: 100%; border-collapse: collapse;"><tr><td style="width: 50%;">2111 - PER DIEM</td><td style="width: 50%;"></td></tr><tr><td>2112 - P.O.A.</td><td></td></tr><tr><td>2113 - COMM. AIR</td><td></td></tr><tr><td>2114 - RENTAL CAR</td><td></td></tr><tr><td>2115 - GPV EXPENSES</td><td></td></tr><tr><td>2116 - MISC.</td><td></td></tr><tr><td>TOTAL \$ FOR INSP.</td><td></td></tr></table>	2111 - PER DIEM		2112 - P.O.A.		2113 - COMM. AIR		2114 - RENTAL CAR		2115 - GPV EXPENSES		2116 - MISC.		TOTAL \$ FOR INSP.	
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11. ATF OFFICER'S RECOMMENDATION Submitted by (b)(6) - Industry Operations Investigator Submitted on: 11/19/2015 Viols WL ONLY and No Recall Inspection	
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12. TIME ACCOUNTING DATA	
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)
SEP 2015	35.00
OCT 2015	16.00
ATF OFFICER'S SUBTOTAL	51.00
ATF OFFICER'S SIGNATURE	
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)
SEP 2015	66.00
OCT 2015	65.00
NOV 2015	11.00
ATF OFFICER'S SUBTOTAL	142.00
ATF OFFICER'S SIGNATURE	
TOTAL HOURS	193.00

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) The Cop Shop Inc. 803 E. Baltimore St. Baltimore, MD 21202, Baltimore City	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 761025-2014-0160-B1B		
	3. PERMIT/LICENSE NUMBER 852510016C10879	4a. TARGET DATE 9/30/2015	4b. TARGET HOURS 40
	5. REQUESTED BY (SIGNATURE, TITLE AND DATE)		

13. REVIEW AND ROUTING

REVIEW COMMENTS AND RECOMMENDATION

WL issued 11-20-15.

Viols WL ONLY and No Recall Inspection

☒ REVIEWED

☒ CONCUR

☐ SEE COMMENTS

☒ FINAL DISPOSITION

SIGNATURE AND TITLE

(b)(6) - Area Supervisor

(b)(6)

REVIEW DATE

11/20/2015

ROUTING SEQUENCE AND DATE

- ☒ 1. FFLC 11-20-15
- ☒ 2. A/O FILE 11-20-15
- ☐ 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 The Cop Shop Inc.	Street Address 803 E. Baltimore St.	City Baltimore	State MD	Zip Code 21202-	County Baltimore City	Page 1 of 7 Pages
License/Permit/Registry Number <i>(If any)</i> 852510016C10879		Expiration Date 3/1/2016		Date(s) or Period of Inspection 09/16/2015 through 10/09/2015		

Inspection Results

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

Number: 1

Nature of Violation:

In (b)(3) 112 Public Law 55 125 STAT 552 (b)(6) instances the licensee failed to obtain a completed ATF Form 4473.
(b)(3) 112 Public Law 55 125 STAT 552 (b)(6) instances-licensee failed to have transferee complete ATF Form 4473 required item 10(b), "Transferee's Race".

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

(b)(3) 112 Public Law 55 125 STAT 552 (b)(6) instances-licensee failed to have transferee complete ATF Form 4473 required item 11(j), "Have you ever renounced your United States Citizenship?".

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

(b)(3) 112 Public Law 55 125 STAT 552 (b)(6) instance-licensee failed to have transferee complete ATF Form 4473 required item 11(k), "Are you an alien illegally in the United States?".

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

(b)(3) 112 Public Law 55 125 STAT 552 (b)(6) instance- licensee failed to have transferee complete ATF Form 4473 required item 5, "Transferee's Weight".

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

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

In the future, licensee will ensure the receipt of a fully completed ATF Form 4473 prior to the completion of background checks and transfer of firearms. The licensee will document all necessary information when accepting a military identification (i.d) of active duty military members. Additionally, it was explained to the licensee that active duty military members who live off base must list both their physical address as well as the base address listed on their PCS Orders under item 2 on the ATF Form 4473. IOI (b)(6) also provided the licensee with written guidance on conducting transfers to active duty military members who utilize military i.d. cards as the photo identification requirement for ATF Form 4473 completion.

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License/Permit/Registry Number <i>(If any)</i> 852510016C10879		Expiration Date 3/1/2016	Date(s) or Period of Inspection 09/16/2015 through 10/09/2015			

Inspection Results

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

(b)(3) 112 Public instance- licensee failed to have transferee complete ATF Form 4473 required item 6, "Transferee's Gender".

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

(b)(3) 112 Public instances-licensee failed to obtain complete information on ATF Form 4473 item 2 "transferee address" for active duty military members. Military members base address must be documented in addition to their physical address.

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



Citation: 27 CFR 478.124(c)(1)

Report of Violations

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License/Permit/Registry Number <i>(If any)</i> 852510016C10879		Expiration Date 3/1/2016		Date(s) or Period of Inspection 09/16/2015 through 10/09/2015		

Inspection Results

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

Number: 2

Nature of Violation:

In (b)(3) 112 Public Law instances the licensee failed to record the receipt PCS orders of the active duty military member transferee in ATF Form 4473 item 20(b).

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

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)

In the future, licensee will ensure the receipt of a fully completed ATF Form 4473 prior to the completion of a background check and transfer of firearms. The licensee will document receipt and review of military i.d. and PCS orders of active duty military members.

Number: 3

Nature of Violation:

The licensee failed to maintain ATF Forms 4473 in alphabetical, chronological, or numerical order.

The licensee filed the ATF Forms 4473 by transaction serial number broken down by month.

Citation: 27 CFR 478.124(b)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

The licensee has been advised to file ATF Forms 4473 in chronological, numerical, or alphabetical order as required by the Federal Regulations.

Report of Violations

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License/Permit/Registry Number <i>(If any)</i> 852510016C10879		Expiration Date 3/1/2016		Date(s) or Period of Inspection 09/16/2015 through 10/09/2015		

Inspection Results

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

Report of Violations

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License/Permit/Registry Number <i>(If any)</i> 852510016C10879		Expiration Date 3/1/2016		Date(s) or Period of Inspection 09/16/2015 through 10/09/2015		

Inspection Results

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

Number: 4

Nature of Violation:

The licensee failed to accurately maintain the required Acquisition and Disposition record (A&D) as specified in (b)(3) instances.

(b)(3) 112 Public L instance licensee documented in error the acquisition of a Remington firearm that was never actually acquired.

(b)(3) 112 Public L instances acquisition of firearm was not recorded in the A&D record within the close of the next business day. The firearms were found in inventory but not logged into the A&D record.

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

(b)(3) 112 Public L instances licensee failed to accurately record the acquisition of firearm in the A&D record. Acquisition entries failed to include required information including manufacturer/importer, model, serial number and/or caliber.

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

(b)(3) 112 Public L recorded within seven (7) days following firearms transfer in A&D record.

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

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

Through the review of commercial invoices, ATF Forms 4473, and sales receipts, the licensee was able to amend the Acquisition and Disposition record (A&D) to determine the information necessary to complete the A&D entries. Going forward the licensee will ensure that all acquisitions and dispositions are accurately recorded when acquired and disposed of, as required by the regulations. Additionally, the licensee is advised to complete at least one minimum annual inspection of firearms inventory. The licensee has notified local law enforcement of missing inventory, and completed and filed an ATF Form 3310.11, Firearms Theft Loss Report.

Report of Violations

Instructions

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License/Permit/Registry Number <i>(If any)</i> 852510016C10879		Expiration Date 3/1/2016		Date(s) or Period of Inspection 09/16/2015 through 10/09/2015		

Inspection Results

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

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

(b)(3) 112 Public
firearms missing as a result of inspection.

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

Citation: 27 CFR 478.125(e)

Number: 5

Nature of Violation:

In (b)(3) 112 Public instances the licensee failed to record the firearm information in required items 26 thru 30 on the ATF Forms 4473 for all multiple sales during the past twelve (12) months. In lieu of recording the required information on the ATF Forms 4473, the licensee recorded a reference to see the attached ATF Form 3310.4, Multiple Handgun Sales form.

Citation: 27 CFR 478.124(c)(4)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

The licensee will ensure that all required information is accurately and completely recorded on the ATF Form 4473 prior to the transfer of firearms.

Report of Violations

Instructions

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License/Permit/Registry Number (If any) 852510016C10879	Expiration Date 3/1/2016	Date(s) or Period of Inspection 09/16/2015 through 10/09/2015				

Inspection Results

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

Number: 6

Nature of Violation:

In (b)(3) 112 PLE instance the licensee failed to complete item 21(c) on the ATF Form 4473, "Date the transferee's identifying information in Section A was transmitted to NICS or the appropriate State agency" (b)(3) 112 Public Law 55 125 STAT 552 (b)(6)

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)

The licensee will ensure that all background check information is documented prior to the transfer of firearms.

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

Signature and Title of ATF Officer

For Official Use Only

(b)(6)
(b)(6)

PRESIDENT

IOI

Date

11/19/15

Date

11/19/15

ATF E-Form 5030.5

Revised April 2005



U.S. Department of Justice

Bureau of Alcohol, Tobacco,
Firearms and Explosives

Baltimore, MD 21201

www.atf.gov

November 20, 2015

761025 (b)(6)

Mr. James Samuel Walters Jr.
The Cop Shop Inc.
803 East Baltimore Street
Baltimore, Maryland 21202

Re: FFL # 8-52-510-01-6C-10879

Dear Mr. Walters Jr:

During a recent compliance inspection at your firearms business covering the period of September 16, 2014, through September 16, 2015, you were cited for violations of 27 Code of Federal Regulations, Part 478. The violations were discussed with you during the inspection. 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 Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) Industry Operations Investigators (b)(6). You indicated that you understood the requirements of the firearms laws and regulations and that corrective actions would be taken to eliminate future violations.

The records you are required to maintain and the business operations you conduct are important to law enforcement in our continuing efforts to reduce violent crime and protect the public. It is essential that you comply with all Federal laws and regulations that govern your firearms business. This is critical to carrying out our mission to protect the public and to ensure that criminals do not gain access to firearms. ATF appreciates the efforts you and other industry members make in this area. We look forward to continuing to work with you in that regard.

You are reminded that retention of your Federal firearms license is conditional upon your compliance with Federal laws and regulations. Any future violations, either repeat or otherwise,

The Cop Shop Inc.
FFL # 8-52-510-01-6C-10879

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 Industry Operations Investigator (b)(6).

Sincerely,

(b)(6)

Area Supervisor
Baltimore Field Division

Enclosure: Report of Violations

cc: Federal Firearms Licensing Center
Baltimore V (IOI) Field Office

FIREARMS INSPECTION REPORT

Name: The Cop Shop
Trade Name: N/A

UI#: 761025-2014-0160
FFL#: 8-52-510-01-6C-10879

Address: 803 East Baltimore Street
Baltimore, Maryland 21202

1 - Introduction

Inspection Profile:

On September 16, 2015 Industry Operations Investigators (IOI) (b) (6) and (b) (6) conducted an unannounced firearms compliance inspection on The Cop Shop. The inspection covered period of September 16, 2014 to September 16, 2015. IOI (b) (6) identified and interviewed, President, James Samuel Walters Jr. and Office Manager (b) (6) by reviewing their current driver's licenses.

Business Profile:

The Cop Shop is located in a commercial storefront in Baltimore City, Maryland. The business premise is one level with a basement storeroom and is in compliance with Baltimore City Zoning. The Cop Shop has held a Federal Firearms License (FFL) Type 01, dealer in firearms, since February 11, 1986.

The space is shared with an embroidery business operated by Mr. Walter's (b) (6) (b) (6) and Chesapeake Armory, owned by (b) (6) Chesapeake Armory operates at the premises as a gunsmith on behalf of The Cop Shop. IOIs (b) (6) and (b) (6) have not determined at the close of the inspection whether an additional license is needed on behalf of Chesapeake Armory. IOI (b) (6) has left two (2) messages for (b) (6) and has not yet received a response.

The Cop Shop is a dealer of firearms, ammunition, and other police supplies. The Cop Shop customer base is primarily current and retired, local, state, and federal law enforcement agencies and security firms, as well as the general public. The FFL does not hold any other ATF licenses or permits. The licensee does sell firearms regulated by the Maryland State Police and is compliant with the state requirements. The FFL holds the following state issued licenses.

- Maryland Regulated Firearms Dealers License
- Maryland Sales and Use Tax License
- State of Maryland Traders License

During the past 12 months, the licensee acquired (b) (4) firearms and disposed of (b) (4) firearms. For the inspection period covered, the total firearms inventoried was (b) (4). The licensee is not a wholesaler and (b) (4) if the firearms business is retail sales. Approximately (b) (4) of the firearms inventory are handguns and (b) (4) of the inventory are long guns. (b) (4) of the inventory is new and (b) (4) of the inventory is used. The primary suppliers for the firearms business are (b) (4).

FIREARMS INSPECTION REPORT

Name: The Cop Shop
Trade Name: N/A

UI#: 761025-2014-0160
FFL#: 8-52-510-01-6C-10879

(b) (4)

The company's website is, www.copshopmd.com. Firearms sales are not conducted via the internet. Patrons are informed that all firearms sales are conducted at the store front only. The licensee does not conduct business at gun shows and offsite storage is not used.

Ownership and Control:

The Cop Shop is an incorporated entity registered with the State of Maryland (Department ID (b) (6)) IOIs (b) (6) and (b) (6) queried the Maryland State Department of Assessments and Taxation (SDAT) website and found the company to be active and in good standing. The Resident Agent, James Samuel Walters Jr., serves as the President. There are no other corporate officers. There have not been any unreported changes and no hidden ownership is suspected. IOIs (b) (6) and (b) (6) queried the Federal Licensing System (FLS) and the database is correct listing James Walters as the only listed responsible person.

Variance:

No variances are held by this licensee. After receiving notification of a recordkeeping violation for the maintenance of ATF Forms 4473, The licensee submitted a draft variance request to IOI (b) (6) for review prior to submission to ATF Headquarters. After IOI (b) (6) reviewed the draft and discussed the options with the licensee, the request was officially withdrawn.

2 - Recommendation

Viols WL ONLY and No Recall Inspection.

3 - Inspection History

Date and Type of Inspection: 4/1/2009 Compliance Inspection

UI#: 761025-2009-0083

Inspection Results: Violations, WL Only and No Recall Inspection

Cited Violations:

27 CFR 478.21(a)

03 Public
Law
112-55
1225 Stat.

Instance-Failure to ensure proper completion of ATF Form 4473, Section A, Prohibiting.

27 CFR 478.124 (c)(1)

03 Public
Law
112-55
1125 Stat.

Instances-Failure to ensure proper completion of ATF Form 4473, Section A.

27 CFR 478.124(c)(4)

03 Public
Law 112-55
1125 Stat.
552)

Instance- Failure to ensure proper completion of ATF Form 4473, Section C.

FIREARMS INSPECTION REPORT

Name: The Cop Shop
Trade Name: N/A

UI#: 761025-2014-0160
FFL#: 8-52-510-01-6C-10879

Date and Type of Inspection: 7/1/2007 Compliance Inspection

UI#:

Inspection Results: Warning Conference

Cited Violations:

27 CFR 478.125(e)

23 Public Law
112-55 (125
Stat. 552)

instances- Failure to accurately maintain acquisition and disposition record.

27 CFR 478.21(a)

23 Public
Law 112-55
(125 Stat.
552)

instances- Failure to ensure proper completion of ATF Form 4473.

27 CFR 478.124(c)(1)

23 Public
Law 112-55
(125 Stat.
552)

instances- Failure to ensure proper completion of ATF Form 4473, Section A.

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

23 Public
Law 112-55
(125 Stat.
552)

instances- Failure to ensure proper completion of transferees' identification on ATF Form 4473.

27 CFR 478.124(c)(3)(iii)

23 Public
Law 112-55
(125 Stat.
552)

instance- Failure to ensure record of transferees' documentation of exception to prohibition.

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

23 Public
Law 112-55
(125 Stat.
552)

instances- Failure to ensure proper completion of NICS on ATF Form 4473.

27 CFR 478.124(c)(4)

23 Public Law
112-55 (125
Stat. 552)

instances- Failure to ensure proper completion of ATF Form 4473, Section C #28 and #30.

27 CFR 478.124(c)(5)

23 Public
Law 112-55
(125 Stat.
552)

instances- Failure to ensure proper completion of ATF Form 4473, Section C #36.

27 CFR 478.102(a)

23 Public
Law 112-55
(125 Stat.
552)

instance- Failure to conduct NICS re-check for expired transaction.

Date and Type of Inspection: 12/1/2005 Compliance Inspection

UI#:

Inspection Results: Warning Conference

Cited Violations:

27 CFR 478.125(e)

FIREARMS INSPECTION REPORT

Name: The Cop Shop
Trade Name: N/A

UI#: 761025-2014-0160
FFL#: 8-52-510-01-6C-10879

b3 Public Law 112-55 (125 Stat. 552) instances- Failure to accurately maintain acquisition and disposition record.

27 CFR 478.124(c)(1)
b3 Public Law 112-55 (125 Stat. 552) instances- Failure to ensure proper completion of ATF Form 4473, Section A.

27 CFR 478.124(c)(3)(i)
b3 Public Law 112-55 (125 Stat. 552) instances- Failure to ensure proper completion of transferees' identification on ATF Form 4473.

27 CFR 478.124(c)(3)(iv)
b3 Public Law 112-55 (125 Stat. 552) instances- Failure to ensure proper completion of NICS on ATF Form 4473.

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

The licensee maintains a handwritten acquisition and disposition record (A&D) as its primary record. An electronic version is maintained as a backup. The A&D record is maintained in the proper format. Generally the licensee accurately and timely maintained the A&D record. During the course of this inspection it was discovered that the licensee failed to accurately and/or timely maintain A&D record entries in **b3 Public Law 112-55 (125 Stat. 552)** instances. (Violation 4, Worksheet 1)

DIO Mike Fronczak granted IOIs **(b) (6)** and **(b) (6)** the permission to conduct a less than full physical inventory. However, upon the discovery of discrepancies IOIs were instructed to conduct a full physical inventory. 502 firearms were found in inventory. A review of the A&D record revealed **b3 Public Law 112-55 (125 Stat. 552)** open dispositions with a total of **b3 Public Law 112-55 (125 Stat. 552)** discrepancies before reconciliation. The licensee determined that **b3 Public Law 112-55 (125 Stat. 552)** open entry was opened in error. **b3 Public Law 112-55 (125 Stat. 552)** of the discrepancies were unresolved resulting in **b3 Public Law 112-55 (125 Stat. 552)** unaccounted for firearms which were reported as losses to ATF prior to the close of this inspection.

As a result of this inspection **b3 Public Law 112-55 (125 Stat. 552)** firearms, **b3 Public Law 112-55 (125 Stat. 552)**
b3 Public Law 112-55 (125 Stat. 552)

There was **b3 Public Law 112-55 (125 Stat. 552)** reported theft during the inspection period. On **b3 Public Law 112-55 (125 Stat. 552)**
b3 Public Law 112-55 (125 Stat. 552)

No firearms with obliterated serial numbers or illegal firearms were found in inventory during the course of this inspection.

IOIs **(b) (6)** and **(b) (6)** observed the following standard operating procedures for the

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Cop Shop, (b) (6) primarily records the acquisitions and dispositions in the A&D record. Back-up records are kept on a computer which President James Walters is responsible for maintaining. The licensee assigns a sequential number to each firearm acquired. This sequential number corresponds to its respective line of entry recorded in the A&D record. The sequential number is also used as the ATF Form 4473 transaction serial number. The licensee also records the corresponding A&D page entry on the ATF Form 4473 for easy referencing when needed.

The licensee stated that they intend to conduct a regular inventory of firearms but had not yet completed one this calendar year.

5 - ATF Forms 4473 – NICS & Other Dispositions

There were (b) (6) TF Forms 4473 on file for the inspection period. Approval was given by DIO Fronczak, to complete a review of at least (b) (6) ATF Forms 4473. IOI (b) (6) and Area Supervisor (b) (6) reviewed (b) (6) TF Forms 4473.

The licensee maintains the forms first by year and month and then by firearms inventory number. The licensee was cited for not fully maintaining the ATF Forms 4473 chronologically, alphabetically, or numerically, as required by the regulations. The licensee considered submitting a variance to continue storing the ATF Forms 4473 in the current format. However, upon consultation with IOI (b) (6) the licensee decided to reorganize the forms to achieve regulatory compliance. (Violation 3)

A review of the forms disclosed the following violations:

(b) (6) instances-licensee failed to have transferee complete ATF Form 4473 required item 10(b), "Transferee's Race". (Violation 1, Worksheet 2-2012 edition)

(b) (6) instances-licensee failed to have transferee complete ATF Form 4473 required item 11(j), "Have you ever renounced your United States Citizenship?". (Violation 1, Worksheet 2-2012 edition)

(b) (6) instance-licensee failed to have transferee complete ATF Form 4473 required item 11(k), "Are you an alien illegally in the United States?". (Violation 1, Worksheet 2-2012 edition)

(b) (6) instance- licensee failed to have transferee complete ATF Form 4473 required item 5, "Transferee's Weight". (Violation 1, Worksheet 2-2012 edition)

(b) (6) instance- licensee failed to have transferee complete ATF Form 4473 required item 6, "Transferee's Gender". (Violation 1, Worksheet 2-2012 edition)

(b) (6) instances-licensee failed to obtain complete information on ATF Form 4473

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item 2 "transferee address" for active duty military members. Military members' base address must be documented in addition to their physical address. (Violation 1, Worksheet 2-2012 edition)

(b) (6) Public Law 112-55 (125 Stat. 552) instance the licensee failed to complete item 21(c) on the ATF Form 4473, "Date the transferee's identifying information in Section A was transmitted to NICS or the appropriate State agency". (Violation 6, Worksheet 2-2012 edition)

(b) (6) Public Law 112-55 (125 Stat. 552) instances the licensee failed to record the receipt PCS orders of the active duty military member transferee in ATF Form 4473 item 20(b). (Violation 2, Worksheet 2-2012 edition)

(b) (6) Public Law 112-55 (125 Stat. 552) instances the licensee failed to record the firearm information in required items 26 thru 30 on the ATF Forms 4473 for all multiple sales during the past twelve (12) months. In lieu of recording the required information on the ATF Forms 4473, the licensee recorded a reference to see the attached ATF Form 3310.4, Multiple Handgun Sales form. (Violation 5)

The licensee maintains a separate file, as required of denied ATF Form 4473. There were (b) (6) Public Law 112-55 (125 Stat. 552) denied transactions during the inspection period. IOI (b) (6) reviewed each denied ATF Form 4473, searched for possible straw purchase (b) (6) conducted gun queries on the attempted firearm purchases. No results were yielded.

IOI (b) (6) requested the FFL Audit Logs for the last 60 days of the inspection period, from both the Maryland State Licensing Unit for Maryland state regulated transactions and the Crime Gun Analysis Branch for NICS transactions. Twelve (12) audit log transactions occurred during the last 60 days of the inspection period. Nine (9) of those transactions were Maryland state transactions and three (3) were FBI NICS transactions. All nine (9) of the Maryland state transactions resulted in "not disapproved". The three (3) FBI NICS transactions resulted in two (2) proceed and one (1) denied transaction. IOI (b) (6) and Area Supervisor (b) (6) verified that all firearms transactions were properly maintained by the licensee and that no possible straw purchase was identified for the denied transaction.

Other dispositions conducted by the licensee included transfers to both other licensees and law enforcement agencies. The transfers were found to be in compliance with the regulations and the licensee demonstrates knowledge of how to conduct these transfers.

IOIs (b) (6) and (b) (6) observed the internal controls that the licensee utilizes to maintain compliance with firearms regulations. President, James Walters (b) (6) Sales Associate, (b) (6) and Salesmen (b) (6) and (b) (6) (b) (6) conducted firearms transactions, completed the required forms and maintained control of the inventory for the inspection period.

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(b) (6) primarily records the acquisitions and dispositions in the A&D record. Back-up records are kept on a computer which President James Walters is responsible for maintaining. James and (b) (6) Walters double-check the ATF Forms 4473 for accuracy and completeness.

The licensee assigns a sequential number to each firearm acquired. This sequential number corresponds to its respective line of entry recorded in the A&D record. The sequential number is also used as the ATF Form 4473 transaction serial number. The licensee also records the corresponding A&D page entry on the ATF Form 4473 for easy referencing when needed.

Security at the business premise consists of a monitored alarm system with four hidden call buttons in the event of a robbery, four (4) concrete reinforced steel beams as part of the front wall of the business premise, one entrance/exit, a steel cage just inside the door that is locked when the business is closed and two locked safes. Additionally, there is a metal gate on the exterior of the front entrance and glass display cases. There are also fire sensors on the premises.

6 – Multiple Sales

There were (b) (6) multiple sales transactions during the inspection period of September 16, 2014 to September 16, 2015. There were no unreported multiple sales found during the course of this inspection. Per regulatory requirements the licensee is attaching a copy of multiple sales form to each ATF Form 4473. However, it was discovered that the licensee was failing to fully record the multiple sales information as required onto the actual ATF Form 4473. (Report of Violations #5)

7 – Suspicious/Prohibited Purchasers

IOI (b) (6) conducted background checks on (b) (6) denied firearms purchasers and conducted eTrace and OpenFox gun queries on the firearms that were attempted to be purchased. No hits were found and no straw purchases are suspected.

IOI (b) (6) conducted background checks on (b) (6) purchasers and their firearms based on, foreign born status, distance traveled to the store, and type of firearms being purchased. No prohibiting information was found on any person queried and no gun acquired by these purchasers was found to be stolen or traced.

Background checks were conducted on the following databases:

- Open Fox NCIC
- Open Fox, query gun
- e-Trace, query gun

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8 - Trace Activity

There were [REDACTED] successful traces to the licensee and no unsuccessful traces during the investigation period of September 16, 2014 to September 16, 2015. During the past 12 months, the licensee acquired [REDACTED] firearms. Approximately [REDACTED] of the firearms acquired were new and approximately [REDACTED] were used. The licensee disposed [REDACTED] firearms during the past 12 months. Approximately [REDACTED] of the disposed firearms were new and [REDACTED] were used.

9 - NFA/Importer/Collector/Manufacturer

Prior to conducting the inspection, IOI (b) (6) contacted the NFA Branch to determine if the FFL has any registered NFA weapons. The NFA Branch determined that there are no firearms registered to this licensee. The licensee does not conduct NFA, Importer, Collector, or Manufacturer activities.

10 - Referrals

No referrals were made during the course of this inspection.

11 - Other

[REDACTED] firearms, serial numbers [REDACTED] were reported missing as a result of this inspection.

The licensee meets the requirements of secure gun storage and the Youth Handgun Safety Act Notice by providing gun locks on all handgun sales.

12 - Closing Actions

On October 9, 2015 IOIs (b) (6) conducted a closing conference with the licensee. Mr. James Walters, President, and (b) (6) Office Manager, were present for the conference.

On October 9, 2015 IOI (b) (6) issued a Report of Violations and reviewed it with the Mr. and (b) (6) Walters. Mr. Walters signed the form and was provided with a copy.

On October 9, 2015 IOI (b) (6) reviewed the federal firearms laws and regulations utilizing the Acknowledgement of Federal Firearms Regulations worksheet. IOI (b) (6) explained the protocol for recording background check dates for Maryland State Police checks, correct data to record when accepting active duty military members' identification, and accurately recording information on ATF Form 4473 for multiple sales. Mr. Walters signed and dated the Acknowledgement of Federal Firearms Regulations worksheet certifying his understanding of the regulations that were explained to him. IOI (b) (6) also signed the form and provided Mr. Walters with a copy of the acknowledgment sheet. (Exhibit 1)
Additional material was not provided. However, the licensee was encouraged to use the ATF.gov website to stay abreast of federal regulatory changes and industry updates.

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13 - Violations

1. 27 CFR 478.124(c)(1) (REPEAT)

Nature of violation:

In [REDACTED] instances the licensee failed to obtain a completed ATF Form 4473.
[REDACTED] instances-licensee failed to have transferee complete ATF Form 4473 required item 10(b), "Transferee's Race".

b3 Public Law 112-55 (125 Stat. 552)

[REDACTED] instances-licensee failed to have transferee complete ATF Form 4473 required item 11(i), "Have you ever renounced your United States Citizenship?".

b3 Public Law 112-55 (125 Stat. 552)

[REDACTED] instance-licensee failed to have transferee complete ATF Form 4473 required item 11(k), "Are you an alien illegally in the United States?".

b3 Public Law 112-55 (125 Stat. 552)

[REDACTED] instance- licensee failed to have transferee complete ATF Form 4473 required item 5, "Transferee's Weight".

b3 Public Law 112-55 (125 Stat. 552)

[REDACTED] instance- licensee failed to have transferee complete ATF Form 4473 required item 6, "Transferee's Gender".

b3 Public Law 112-55 (125 Stat. 552)

[REDACTED] instances-licensee failed to obtain complete information on ATF Form 4473 item 2 "transferee address" for active duty military members. Military members' base address must be documented in addition to their physical address.

b3 Public Law 112-55 (125 Stat. 552)

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Licensee's response:

The licensee states that he was unaware of the requirement to record dual addresses (both current physical address and base address cited on PCS Orders) for active duty military members.


Corrective action:

In the future, licensee will ensure the receipt of a fully completed ATF Form 4473 prior to the completion of background checks and transfer of firearms. The licensee will document all necessary information when accepting a military identification (i.d) of active duty military members. Additionally, it was explained to the licensee that active duty military members who live off base must list both their physical address as well as the base address listed on their PCS Orders under item 2 on the ATF Form 4473. IOI(b)(6) also provided the licensee with written guidance on conducting transfers to active duty military members who utilize military i.d cards as the photo identification requirement for ATF Form 4473 completion.

Reference: Worksheet 2 (2012 edition)

2. 27 CFR 478.124(c)(3)(i) (REPEAT)

Nature of violation:

I  instances the licensee failed to record the receipt of PCS orders for active duty military member transferees on ATF Form 4473 item 20(b), alternate documentation.

b3 Public Law 112-55 (125 Stat. 552)



Licensee's response:

The licensee did not respond to this violation.

Corrective action:

In the future, licensee will ensure the receipt of a fully completed ATF Form 4473 prior to the completion of a background check and transfer of firearms. The licensee

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will document receipt and review of military i.d. and PCS orders of active duty military members.

Reference: Worksheet 2 (2012 edition)

3. **27 CFR 478.124(b)**

Nature of violation:

The licensee failed to maintain ATF Forms 4473 in alphabetical, chronological, or numerical order.

The licensee filed the ATF Forms 4473 by transaction serial number broken down by month.

Licensee's response:

The licensee thought the records were being kept in compliance with Federal Regulations.

Corrective action:

The licensee has been advised to file ATF Forms 4473 in chronological, numerical, or alphabetical order as required by the Federal Regulations.

Reference: Report of Violations (ROV) # 3

4. **27 CFR 478.125(e) (REPEAT)**

Nature of violation:

The licensee failed to accurately maintain the required Acquisition and Disposition record (A&D) as specified in [REDACTED] instances.

b3 Public Law 112-55
(125 Stat. 552)

[REDACTED] instance licensee documented in error the acquisition of a Remington firearm that was never actually acquired.

b3 Public Law 112-55
(125 Stat. 552)

[REDACTED] -instances acquisition of firearm was not recorded in the A&D record within the close of the next business day. The firearms were found in inventory but not logged into the A&D record.

b3 Public Law 112-55 (125 Stat. 552)

b3 Public Law 112-55
(125 Stat. 552)

[REDACTED] instances licensee failed to accurately record the acquisition of firearm in the A&D record. Acquisition entries failed to include required information including

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manufacturer/importer, model, serial number and/or caliber.

b3 Public Law 112-55 (125 Stat. 552)

b3 Public Law 112-55 (125 Stat. 552)

instances disposition of firearm was not recorded within seven (7) days following firearms transfer in A&D record.

b3 Public Law 112-55 (125 Stat. 552)

b3 Public Law 112-55 (125 Stat. 552)

firearms missing as a result of inspection.

b3 Public Law 112-55 (125 Stat. 552)

Licensee's response:

The licensee cited large volume of sales as the reason for incorrect and unrecorded acquisition and disposition entries. However, The licensee seemed surprised that inventory was unaccounted for and apologized for the oversight. The licensee also detailed the circumstances regarding the record of an acquisition that was never acquired. The licensee recorded initial firearms information of a customer inquiring about a possible transfer. However, the customer never went through with the transfer and the licensee failed to remove the entry from the A&D record.

Corrective action:

Through the review of commercial invoices, ATF Forms 4473, and sales receipts, the licensee was able to amend the A&D record to reflect the information necessary to complete the A&D entries. Going forward the licensee will ensure that all acquisitions and dispositions are accurately recorded when acquired and disposed of, as required by the regulations. Additionally, the licensee is advised to complete at least one minimum annual inspection of firearms inventory. The licensee has notified local law enforcement of missing inventory, and completed and filed an ATF Form 3310.11, Theft Loss Report.

Reference: Worksheet 1, Exhibit 2

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5. **27 CFR 478.124(c)(4) (REPEAT)**

Nature of violation:

In ^{b3 Public Law 112-55 (125 Stat. 552)} instances the licensee failed to record the firearm information in required items 26 thru 30 on the ATF Forms 4473 for all multiple sales during the past 12 months. In lieu of recording the required information on the ATF Forms 4473, the licensee recorded a reference to see the attached ATF Form 3310.4, Multiple Handgun Sales form.

Licensee's response:

The licensee said they were previously advised that attaching the ATF Form 3310.4, Multiple Sales form to the ATF Form 4473 was acceptable and in compliance with record keeping regulations.

Corrective action:

The licensee will ensure that all required information is accurately and completely recorded on the ATF Form 4473 prior to the transfer of firearms.

Reference: Report of Violations (ROV) #5

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

Nature of violation:

In ^{b3 Public Law 112-55 (125 Stat. 552)} instance the licensee failed to complete item 21(c) on the ATF Form 4473, "Date the transferee's identifying information in Section A was transmitted to NICS or the appropriate State agency".

^{b3 Public Law 112-55 (125 Stat. 552)}

Licensee's response:

The licensee did not respond to this violation.

Corrective action:

The licensee will ensure that all background check information is documented prior to the transfer of firearms.

Reference: Worksheet 2 (2012 edition)

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X

(b) (6)

Industry Operations Investigator

Index of Worksheets and Exhibits

Worksheet 1, Inventory, A&D
Worksheet 2, 4473 (2012 edition)

Exhibit #1: Signed Acknowledgement of Federal Firearms Regulations
Exhibit #2: ATF Form 3310.11, October 7, 2015