

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) Hill Top Pawn, Inc. 1882 Athens Highway Snellville, GA 30078, Gwinnett	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) <p style="text-align: center;">760530-2016-0033-B1B</p> 3. PERMIT/LICENSE NUMBER 4a. TARGET DATE 4b. TARGET HOURS <p style="text-align: center;">158135028B01520 8/15/2016</p> 5. REQUESTED BY (SIGNATURE, TITLE AND DATE)
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6. ATF OFFICER(S) ASSIGNED

(b)(6) - Assigned Investigator
 (b)(6) - Assigned Investigator
 (b)(6) Lead Investigator
 (b)(6) - Assigned Investigator

7. ASSIGNED BY (SIGNATURE, TITLE AND DATE)

(b)(6) Area Supervisor, 10/16/2015

8. PURPOSE/SPECIAL INSTRUCTIONS

Conduct Recall Firearms Compliance Inspection. Last inspection resulted in adverse action or a recommended recall. Obtain printout from NTC. Identify and refer potential traffickers.

NOTE:
 Last inspection date: 08/14/2014
 WC held: 01/22/2015

9. INSPECTION RESULTS <input type="checkbox"/> CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC			10. TRAVEL EXPENSES (OPTIONAL)	
NO. OF VIOLATIONS	7	NO. OF REFERRALS		2111 - PER DIEM
NO. OF TECS CHECKS	91	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: 07/26/2016

In accordance with the Federal Firearms Administrative Action Policy (ATF O 5370.1B), paragraph 6.d (18), the results of the current inspection warrant a warning conference based on the compliance history and repeat violations. On January 21, 2015, the Licensee attended a warning conference for violations of 27 CFR 478.124(c)(3)(i), and 27 CFR 478.126a and the current inspection warrants a warning letter for repeated similar violations. In accordance with the ATF O 5370.1B, paragraph 9.a.(2), IOI (b)(6) recommends a warning letter as an alternate recommendation to the warning conference based on the following

There was (b)(3) 112 Public instance of 27 CFR 478.124(c)(3)(i) versus (b)(3) 112 Public instances cited during the previous inspection, and there was (b)(3) 112 Public instance of 27 CFR 478.126a versus (b)(3) 112 Public Law 55 125 STAT instances cited during the previous inspection. The Licensee has effectively reduced the number of instances for each violation. Of the four remaining violations cited, one warrants a Warning Letter (27 CFR 478.102(a)(1)) and three warrant a Report of Violations only (27 CFR 478.21(a), 478.124(c)(1), & 478.124(c)(3)(iv)).

 Viols WL ONLY and No Recall Inspection

12. TIME ACCOUNTING DATA			
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)		
MAY 2016	19.00		
ATF OFFICER'S SUBTOTAL	19.00	ATF OFFICER'S SIGNATURE	
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)		
MAY 2016	24.00		
ATF OFFICER'S SUBTOTAL	24.00	ATF OFFICER'S SIGNATURE	

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) Hill Top Pawn, Inc. 1882 Athens Highway Snellville, GA 30078, Gwinnett	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) <p style="text-align: center;">760530-2016-0033-B1B</p> 3. PERMIT/LICENSE NUMBER 4a. TARGET DATE 4b. TARGET HOURS <p style="text-align: center;">158135028B01520 8/15/2016</p> 5. REQUESTED BY (SIGNATURE, TITLE AND DATE)
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12. TIME ACCOUNTING DATA		
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)	
FEB 2016	.50	
MAY 2016	51.00	
JUN 2016	.25	
JUL 2016	13.50	
ATF OFFICER'S SUBTOTAL	65.25	ATF OFFICER'S SIGNATURE
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)	
MAY 2016	24.00	
ATF OFFICER'S SUBTOTAL	24.00	ATF OFFICER'S SIGNATURE
TOTAL HOURS	132.25	

13. REVIEW AND ROUTING

REVIEW COMMENTS AND RECOMMENDATION

Recommendation: Violations Warning Letter ONLY No Recall Inspection - In accordance with the ATF O 5370.1B, paragraph 9.a.(2) an Alternate Recommendation of Warning Letter instead of a Warning Conference is based on the following:

In accordance with the Federal Firearms Administrative Action Policy (ATF O 5370.1B), paragraph 6.d (18), the results of the current inspection warrant a warning conference based on the compliance history and repeat violations of 27 CFR 478.124(c)(3)(i), and 27 CFR 478.126a. In addition, the Licensee has effectively reduced the number of instances for each violation, i.e. (b)(3) 112 Pub instance of 27 CFR 478.124(c)(3)(i) versus (b)(3) 112 P instances cited during the previous inspection, and (b)(3) 112 Pub instance of 27 CFR 478.126a versus (b)(3) 112 Public Law 55 125 instances cited during the previous inspection. Of the four remaining violations cited, one warrants a Warning Letter (27 CFR 478.102(a)(1)) and three warrant a Report of Violations only (27 CFR 478.21(a), 478.124(c)(1), & 478.124(c)(3)(iv)).

Viols WL ONLY and No Recall Inspection

REVIEWED
 CONCUR
 SEE COMMENTS
 FINAL DISPOSITION

SIGNATURE AND TITLE (b)(6) - Area Supervisor	REVIEW DATE 09/02/2016
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REVIEW COMMENTS AND RECOMMENDATION

Three violations warrant an administrative action involving a warning letter for 27 CFR 478.102(a)(1) in (b)(3) 111 instance; 27 CFR 478.126a in (b)(3) 1 instance, and 27 CFR 478.124(c)(3)(i). The latter two violations also warrant a warning conference as they are repeat violations from the 2015 investigation; however, due to the significant reduction in the number of instances the citations were violation, a warning letter is recommended.

Viols WL ONLY and No Recall Inspection

REVIEWED
 CONCUR
 SEE COMMENTS
 FINAL DISPOSITION

SIGNATURE AND TITLE DDMITCHEL2 - Director, Industry Operations	REVIEW DATE 09/07/2016
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ROUTING SEQUENCE AND DATE

1. _____

2. _____

3. _____

4. _____

CONTROL FILE POSTED DATE _____

Report of Violations

Instructions

Please write firmly with a ball point pen when completing this form. ATF officers will prepare this form in triplicate. The original copy will be given to the proprietor or a responsible representative. The remaining copies will be submitted with the completed inspection report. Supervisors will detach one copy from the completed report for their files.

Name of Proprietor Hill Top Pawn, Inc.	Street Address 1882 Athens Highway	City Snellville	State GA	Zip Code 30078-	County Gwinnett	Page 1 of 5 Pages
License/Permit/Registry Number (If any) 158135028B01520	Expiration Date 2/1/2018	Date(s) or Period of Inspection 07/27/2014 through 05/16/2016				

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:

Licensee failed to obtain all the information called for in each ATF Form 4473 as indicated by the headings on the form and the instructions on or pertaining to the form in the following (b)(3) 112 instances:

- Item 18 was incorrect or incomplete on ATF Form 4473, transaction numbers (b)(3) 112 Public Law 55 125 (b)(3) 112 Public Law 55 125 STAT 552 (b)(6)
- Section C, Items 24 and 25 were blank on ATF Form 4473, Transaction numbers (b)(3) 112 Public Law 55 (b)(3) 112 Public Law 55 125 STAT 552 (b)(6)

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 obtain all the information on each form as indicated by the headings on the form and the instructions on or pertaining to the form in future transactions.

Number: 2

Nature of Violation:

Licensee failed to meet the requirements for sales or deliveries of firearms on and after November 30, 1998. Specifically, the licensee documented a non-qualifying (expired) exception to the NICS check (Georgia Firearms Carry License) and therefore failed to contact the NICS system before the completion of the transfer (b)(3) 112 Public La (b)(3) 112 Public Law 55 125 STAT 552 ATF Form 4473, transaction

Citation: 27 CFR 478.102(a)(1)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

In the future, licensee shall comply with the NICS requirements for transactions to individuals or meet the requirements for an exception to the NICS. The only exception to the NICS check in Georgia is a valid Georgia Firearms Carry License.

Report of Violations

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Name of Proprietor Hill Top Pawn, Inc.	Street Address 1882 Athens Highway	City Snellville	State GA	Zip Code 30078-	County Gwinnett	Page 2 of 5 Pages
License/Permit/Registry Number <i>(If any)</i> 158135028B01520		Expiration Date 2/1/2018	Date(s) or Period of Inspection 07/27/2014 through 05/16/2016			

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:

Licensee failed to obtain complete transferee (buyer) information and/or certification in Section A of the following (b)(3) 112 P.L. ATF Form 4473 transactions:

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

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 obtain completed ATF Forms 4473 with complete transferee information and certification prior to the transfer of a firearm in future transactions.

Report of Violations

Instructions

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Name of Proprietor Hill Top Pawn, Inc.	Street Address 1882 Athens Highway	City Snellville	State GA	Zip Code 30078-	County Gwinnett	Page 3 of 5 Pages
License/Permit/Registry Number <i>(If any)</i> 158135028B01520	Expiration Date 2/1/2018	Date(s) or Period of Inspection 07/27/2014 through 05/16/2016				

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:

Licensee failed to verify the identity of the transferee by examining the identification document (as defined in section 478.11) presented, and note on the Form 4473 the type of identification used on ^{(b)(3) 112 PD} ATF Form 4473 transaction as follows:

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

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

Number: 5

Nature of Violation:

Licensee failed to comply with the requirements of 478.102 and record on the form the date on which the licensee contacted the NICS, as well as, any response provided by the system, including any identification number provided by the system in the following ^{(b)(3) 112 PD} instance:

(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, the licensee shall verify the identity of the transferee by examining an identification document(s) as defined in section 478.11 and note the type, number, and expiration date on the ATF Form 4473. See ATF Form 4473 instructions to Items 20a, 20b, & 20c. The identification document(s) shall be valid government-issued photo identification that contains the transferee's name, residence address and date of birth. Licensee may accept a combination of valid government-issued documents to satisfy the identification document requirements.

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

Licensee shall record the date licensee contacted NICS as well as all responses provided by NICS, to include, "No resolution provided within 3 business days" when the initial NICS response was "Delayed".

Report of Violations

Instructions

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Name of Proprietor Hill Top Pawn, Inc.	Street Address 1882 Athens Highway	City Snellville	State GA	Zip Code 30078-	County Gwinnett	Page 4 of 5 Pages
License/Permit/Registry Number (If any) 158135028B01520	Expiration Date 2/1/2018	Date(s) or Period of Inspection 07/27/2014 through 05/16/2016				

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)(iv)

Number: 6

Nature of Violation:

Licensee failed to record in the Acquisition and Disposition (A&D) Record the sale or other disposition of ^{(b)(3) 112 Public} firearms not later than 7 days following the date of such transaction in the following instances:

(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)

Licensee researched their available records and determined the entries were duplicate entries created by a recent computer software update done where the updated software did not recognize and transfer the previous version's disposition of the erroneous entries.

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

(b)(6)
5/13/16

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 Hill Top Pawn, Inc.	Street Address 1882 Athens Highway	City Snellville	State GA	Zip Code 30078-	County Gwinnett	Page 5 of 5 Pages
License/Permit/Registry Number (If any) 158135028B01520	Expiration Date 2/1/2018	Date(s) or Period of Inspection 07/27/2014 through 05/16/2016				

Inspection Results

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

Citation: 27 CFR 478.125(e)

Number: 7

Nature of Violation:

Licensee failed to prepare a report of multiple sales or other disposition whenever the licensee sells or otherwise disposes of, at one time or during any five consecutive business days, two or more pistols, or revolvers, or any combination of pistols and revolvers totaling two or more, to an unlicensed person in the following ^{(b)(3) 112 PJ} instance:

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

Citation: 27 CFR 478.126a

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken: Licensee completed and submitted the ATF Forms 3310.4

(If not corrected immediately) during the inspection on 05/17/16.

I Have Received a Copy of This Report of Violations (Proprietor's signature and title) Paul Slifko, CEO <i>Paul Slifko</i>	Date 5-31-16
Signature and Title of ATF Officer (b)(6) Investigator (b)(6)	Date 05/31/2016



U.S. Department of Justice

Bureau of Alcohol, Tobacco,
Firearms and Explosives

Atlanta, Georgia 30345

SEP 06 2016

www.atf.gov

760530:(b)(6)
5373

Mr. Paul Slifko, CEO/CFO/Secretary
Hill Top Pawn, Inc.
1882 Athens Highway
Snellville, Georgia 30078

1-58-135-02-8B-01520

Dear Mr. Slifko:

During a recent compliance inspection at your firearms business covering the period May 16, 2015 to May 16, 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) 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

Mr. Paul Slifko, CEO/CFO/Secretary
Hill Top Pawn, Inc.

willful and may result in the revocation of your license. Please ensure that future compliance is achieved.

Please contact us if you have any questions concerning your responsibilities as a licensee or if you require further clarification about particular requirements of Federal firearms laws.

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

Sincerely yours,

(b)(6)

Area Supervisor, Atlanta V (IO)

Enclosure

c: DIO, Atlanta Field Division
Federal Firearms Licensing Center

FIREARMS INSPECTION REPORT

Name: Hill Top Pawn, Inc.
Trade Name:

UI#: 760530-2016-0033 B1B
FFL#: 1-58-135-02-8B-01520

Address: 1882 Athens Highway
Snellville, Georgia 30078 (Gwinnett County)

1 - Introduction

Inspection Profile:

A query of the Federal Licensing System (FLS) disclosed four Special Attention Flags (SAF) – (b)(3) - 112 Public Law 55 125 Stat 552, Warning Conference Held (N), Warning Letter Sent (M) and Recall Inspection Recommended (P)”. Industry Operations Investigator (IOI) (b)(6) queried N-Force for active investigations associated with the Federal Firearms Licensee (FFL) and/or the address which disclosed no active investigations.

On May 16, 2016, IOI (b)(6) initiated a Recall Disposition Emphasis (DE) firearms compliance inspection on Hill Top Pawn, Inc. at 1882 Athens Highway, Snellville, Georgia 30078 (referred to herein as the “Licensee”). IOI Patrick’s inspection team included IOI (b)(6) (May 16-18, 2016), IOI (b)(6) (May 16-18, 2016), IOI (b)(6) (May 16-17, 2016) and Intern (b)(3) - 112 PUBLIC LA (May 16-19, 2016). Paul Slifko, CEO/CFO/Secretary was identified, interviewed, and available during the inspection. The recall inspection period is from the end date of the last inspection on July 27, 2014 to May 16, 2016; however, since no significant findings warranting revocation were identified, the inspection period of review focused on the last 12 months covering the period from May 16, 2015 to May 16, 2016. IOI (b)(6) conducted the onsite inspection on May 16-19, 2016 and concluded the onsite inspection on May 31, 2016 with the closing conference held with the Licensee.

Business Profile:

The Licensee holds a Type 02 license as a Dealer, including Pawnbroker in Firearms Other Than Destructive Devices. The Licensee has been in business since January 15, 2003. The premises is a commercial property located in the City of Snellville, Gwinnett County. During the 12-month inspection period, the Licensee acquired (b)(4) firearms and disposed of (b)(4) firearms. The Licensee had (b)(4) firearms in inventory. The firearms acquired consisted of (b)(4) handguns and (b)(4) other firearms (b)(4) and (b)(4) long guns (b)(4) which were (b)(4) new firearms versus (b)(4) used firearms. The firearms dispositions for last 12-months averaged 77% individual retail transactions, 21% pawn transactions, and 2% dealer-to-dealer and law enforcement transactions. The Licensee’s source of firearms includes individuals and federally licensed dealers such as (b) (4). The Licensee does not conduct business at Gun Shows. The Licensee does handle firearm transfers for individual

FIREARMS INSPECTION REPORT

Name: Hill Top Pawn, Inc.
Trade Name:

UI#: 760530-2016-0033 B1B
FFL#: 1-58-135-02-8B-01520

customers who purchase firearms through internet sources, such as, www.Gunbroker.com. The Licensee does not operate any other businesses from the premises. The Licensee does hold an active 2016 ATF Special Occupational Tax Certificate, Control Number: (b)(3) - 26 USC 6103. The Licensee has a 2016 City of Snellville Occupational Tax License, Number: (b)(3) - 26 USC 6103. The Licensee has a State of Georgia Certificate of Registration for Sales and Use Tax, Certificate Number (b)(3) - 26 USC 6103. The Licensee does not utilize any off-site storage locations.

Ownership and Control:

Hill Top Pawn, Inc. is registered with the State of Georgia as a Domestic Profit Corporation formed on February 14, 1994 (Control Number K404464). The Licensee's business status is active and in compliance with the State of Georgia. The annual registration filed for 2016 shows Paul E. Slifko as the CEO, CFO and Secretary. The Federal Licensing System (FLS) record shows Paul Slifko as the sole responsible person on the license. On July 25, 2016, Industry Operations Investigator (IOI) (b)(6) conducted an NCIC criminal record check on Paul Slifko disclosing no records. The FLS database information is accurate.

Variance:

The Licensee does not having any approved variances associated with this Federal firearms license. The Licensee did not request any variances. The Licensee uses a computerized Acquisition and Disposition (A&D) record. IOI (b)(6) provided a copy of ATF Ruling 2016-1, which provides the conditions for a computerized acquisition and disposition (A&D) record. IOI (b)(6) reminded the Licensee of the requirement to print or save to a storage device their A&D record report every 6 months.

2 - Recommendation

Violations Warning Letter No Recall

In accordance with the Federal Firearms Administrative Action Policy (ATF O 5370.1B), paragraph 6.d. (18), the results of the current inspection warrant a warning conference based on the compliance history and repeat violations. On January 21, 2015, the Licensee attended a warning conference for violations of 27 CFR 478.124(c)(3)(i), and 27 CFR 478.126a and the current inspection warrants a warning letter for repeated similar violations. In accordance with the ATF O 5370.1B, paragraph 9.a.(2), IOI (b)(6) recommends a warning letter as an alternate recommendation to the warning conference based on the following:

FIREARMS INSPECTION REPORT

Name: Hill Top Pawn, Inc.
Trade Name:

UI#: 760530-2016-0033 B1B
FFL#: 1-58-135-02-8B-01520

There was [REDACTED] instance of 27 CFR 478.124(c)(3)(i) versus [REDACTED] instances cited during the previous inspection, and there was [REDACTED] instance of 27 CFR 478.126a versus [REDACTED] instances cited during the previous inspection. The Licensee has effectively reduced the number of instances for each violation. Of the [REDACTED] remaining violations cited, [REDACTED] warrants a Warning Letter (27 CFR 478.102(a)(1)) and [REDACTED] warrant a Report of Violations only (27 CFR 478.21(a), 478.124(c)(1), & 478.124(c)(3)(iv)).

3 - Inspection History

The Licensee has the following inspection history. The current inspection is the fourth compliance inspection.

Date of Inspection: July 28, 2014 through August 1, 2014, August 4-6, 2014, August 14, 2014
Type of Inspection: Firearms Compliance Inspection
UI#: 760530-2014-0060 B1B
Inspection Results: Violations, Warning Conference with Warning Letter and Recall Inspection. Report of Violations dated August 14, 2014. Warning Conference held January 21, 2015 followed by Warning Letter dated January 22, 2015.
Cited Violations: **27 CFR 478.21(a)** – Licensee failed to furnish the information called for on each form as indicated by the headings and instructions on [REDACTED] ATF Forms 4473;
27 CFR 478.124(c)(1) – Licensee failed to obtain complete and/or accurate information and certification from the buyer/transferee prior to making an over-the-counter transfer of a firearm to a nonlicensee in [REDACTED] instances;
27 CFR 478.124(c)(3)(i) – Licensee failed to verify the identity of the transferee by examining the identification document (as defined in Section 478.11) presented and note on the ATF Form 4473 the type of identification used in [REDACTED] instances;
27 CFR 478.124(c)(3)(iv) – Licensee failed to comply with the requirements of 478.102 and record on the form the date on which the license contacted the NICS, as well as, any response provided by the system, including any identification number provided by the system in [REDACTED] instances;
27 CFR 478.124(c)(4) – Licensee failed to identify the firearm to be transferred by listing on the ATF Form 4473 the name of the manufacturer, importer (if any), the type, model, caliber or gauge, and the serial number of the firearm in [REDACTED] instances;

FIREARMS INSPECTION REPORT

Name: Hill Top Pawn, Inc.
Trade Name:

UI#: 760530-2016-0033 B1B
FFL#: 1-58-135-02-8B-01520

27 CFR 478.125(c)(5) – Licensee failed to sign (item 34) and date (item 36) or correctly date item 36 on the ATF Form 4473 in [REDACTED] instances;

27 CFR 478.126a – Licensee failed to report multiple sales or other dispositions of pistols and revolvers not later than the close of business on the day that the multiple sale or other disposition occurred on [REDACTED] instances;

27 CFR 478.131(a)(2) – Licensee failed to record the permit or license information on the form when the permit/license was not attached in [REDACTED] instances; and

27 CFR 478.99(c)(1) – Licensee transferred a firearm to a person who the Licensee knows or has reasonable cause to believe is prohibited from possessing or receiving a firearm in [REDACTED] instances.

Date of Inspection: November 17, 2010
Type of Inspection: Special Request – Application for an Amended Federal Firearms License
UI#: 771030-2011-0076 BIB
Inspection Results: Approve Amended Application (Change of Address)
Cited Violations: None

Date of Inspection: March 23, 2009
Type of Inspection: Pawnbroker Random Sample Follow-Up Compliance Inspection
UI#: 771030-2009-0174 B1B
Inspection Results: No Violations, No Further Action, No Referrals
Cited Violations: None

Date of Inspection: January 22, 2008
Type of Inspection: Pawnbroker Full Compliance Inspection
UI#: 771030-2008-0174 B1B
Inspection Results: Violations Warning Letter and No Recall Inspection. The Report of Violations was issued on January 25, 2008. The warning letter was issued on February 21, 2008.
Cited Violations: **27 CFR 478.124(c)(1)** – Licensee failed to obtain complete and accurate transferee information and certification required as indicated by the headings on the form and the instructions on or pertaining to the ATF Form 4473 on [REDACTED] instances; **27 CFR 478.124(c)(3)(ii)** – Licensee failed to obtain and/or record the types and dates of additional required identification

FIREARMS INSPECTION REPORT

Name: Hill Top Pawn, Inc.
Trade Name:

UI#: 760530-2016-0033 B1B
FFL#: 1-58-135-02-8B-01520

documenting 90-day residency of an alien on (b)(3) - 112 Public L ATF Forms 4473; and
27 CFR 478.126a – Licensee failed to prepare and submit a Report of Multiple Sale or Other Disposition of Pistols and Revolvers, ATF Form 3310.4, in (b)(3) - 112 Public L instances.

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

Industry Operations Investigator (IOI) (b)(6) IOI (b)(6) IOI (b)(6) IOI (b)(6) and Intern (b)(6) conducted a full inventory of firearms and traced the firearms to their corresponding entry in the Acquisition and Disposition (A&D) Record. There were (b)(3) - 112 Public Law 55 125 Stat 552 Gun Control Act (GCA) firearms and (b)(3) - 112 Public Law 55 125 National Firearms Act (NFA) in physical inventory. IOI (b)(6) identified no discrepancies related to the NFA firearms inventory compared to the A&D record. There were (b)(3) - 112 Public Law 55 125 Stat 552 open dispositions in the A&D record for the GCA firearms. The Licensee failed to record the disposition of (b)(3) - 112 Public Law 55 125 firearms in the A&D record, in violation of 27 CFR 478.125(e). The Licensee stated the omissions resulted from a computer software update which did not transfer these dispositions with the update. The Licensee re-recorded the previously recorded dispositions. **(Report of Violations (ROV)-violation #6, Worksheet 1, Exhibit 6).**

OPEN A&D ENTRIES	FIREARMS IN INVENTORY
(b)(3) - 11 – GCA firearms	964 – GCA firearms
(b)(3) – NFA firearms	21 – NFA firearms
(b)(3) - 11 – Total firearms to account for	985 - Firearms in Physical Inventory
(b)(3) – Unrecorded Dispositions	
(b)(3) - 11	985

IOI (b)(6) traced 100% of the NFA transactions, of which there were (b)(3) - 112 Public Law 55 125 G through the records from their acquisition to their disposition disclosing no discrepancies. Based on the sample, except for the instances cited, IOI (b)(6) found the record to be in the proper format, the information accurately recorded, and the entries timely made.

The Violent Crime Analysis Branch (VCAB) FFL history received for the 3-year period covering February 1, 2013 to February 5, 2015 reported zero (0) theft or loss reports and no theft or loss reports were filed as a result of this inspection. IOI (b)(6) did not identify any trafficking issues, obliterated serial numbers or illegal firearms related to the acquisition and disposition of firearms.

The Licensee uses the computer software system known as “Pawn Master”. The Pawn Master program assigns an inventory number to each firearm when entered into the

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computer. All acquisition and disposition entries are recorded at the time the transactions occur. The Licensee takes physical inventory by printing out the inventory on-hand; however, the Licensee does not compare that inventory to the A&D record report. The handguns held for sale are displayed in a locked glass cases. The long guns held for sale are displayed on a wall gun rack. All firearms received in pawn or layaway are secured in the back room or safe in the back room which is kept locked except when gaining access. IOI (b)(6) suggested the Licensee save their 6-month A&D record reports rather than replacing each report with a current report, especially when there is a software update.

5 - ATF Forms 4473 – NICS & Other Dispositions

Industry Operations Investigator (IOI) (b)(6) IOI (b)(6) IOI (b)(6) IOI (b)(6) and Intern (b)(6) reviewed 100% of the ATF Forms 4473 on file for the inspection period. There were (b)(3) - 112 Public ATF Forms on file for the 12-month review period covering the period from May 16, 2015 to May 16, 2016. The Licensee conducted approximately (b)(4) dealer-to-dealer transactions accounting for (b)(4) of the Licensee's business. IOI (b)(6) found the dealer-to-dealer transactions to be properly recorded in the required records. The Licensee conducted one law enforcement department sale.

IOI (b)(6) identified the following violations resulting from the ATF Form 4473 review.

The Licensee failed to obtain all the information called for on the ATF Form 4473 as indicated by the headings on the form and the instructions on or pertaining to (b)(3) - 112 Public ATF Forms 4473, in violation of 27 CFR 478.21(a). **(ROV-violation #1, Worksheet 2-4473(2012 edition), Exhibit 1)**

The Licensee failed to contact the NICS system in (b)(3) - 112 Public instance where the Licensee accepted an expired Georgia firearms license, in violation of 27 CFR 478.102(a)(1). **(ROV-violation #2, Worksheet 2- 4473(2012 edition), Exhibit 2).** IOI (b)(6) conducted an NCIC query on the purchaser disclosing no criminal record.

The Licensee failed to obtain the required transferee (buyer) information on (b)(3) - 112 Public ATF Form 4473 and complete certification on (b)(3) - 112 Public ATF Form 4473, in violation of 27 CFR 478.124(c)(1). **(ROV-violation #3, Worksheet 2- 4473(2012 edition), Exhibit 3).** IOI (b)(6) conducted an NCIC query on the purchaser failing to provide complete certification disclosing a non-prohibiting criminal record.

The Licensee failed to record an identification document on (b)(3) - 112 Public ATF Form 4473 used to verify the purchasers identity, in violation of 27 CFR 478.124(c)(3)(i). **(ROV-**

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violation #4, Worksheet 2- 4473(2012 edition), Exhibit 4). IOI (b)(6) conducted a driver's license query disclosing a valid Georgia driver's license.

The Licensee failed to record on the ATF Form 4473 the responses provided by the NICS system and/or whether no response was provided by the NICS system within the 3 business days in (b)(6) instance, in violation of 27 CFR 478.124(c)(3)(iv). **(ROV-violation #5, Worksheet 2- 4473(2012 edition), Exhibit 5).** IOI (b)(6) conducted an NCIC check on the individual involved disclosing a non-prohibiting criminal record.

IOI (b)(6) received the Licensee's NICS Audit Log listing the denied status transactions for the period covering November 30, 1998 to February 4, 2016 and non-denied status transactions for the 60-day period covering December 6, 2015 to February 4, 2016. IOI (b)(6) verified the three-hundred-sixty-four (364) non-denied transactions reported for the requested period. IOI (b)(6) verified the thirty-four (34) denied transactions and the two (2) denied under appeal transactions for the period beginning from the end date of the last inspection. IOI (b)(6) examined the records for the firearms associated with the denied purchaser transactions for the inspection period identifying no trafficking issues related to purchasers of the firearms.

IOI (b)(6) noted at least seven (7) employees involved in maintaining the required records and operating the day-to-day operations. The Licensee files the ATF Forms 4473 numerically by the transferor's transaction number. The Licensee checks the forms at least four time prior to filing – the form is double checked while the customer is still in the store; the forms are checked at the end of the day check; and the forms are checked the next morning. IOI (b)(6) suggested using contrasting ink when completing the ATF Form 4473 as a way to facilitate reviewing the forms. IOI (b)(6) explained the proper procedure for making corrections to the ATF Form 4473 after the firearm is transferred.

6 - Multiple Sales

The Violent Crime Analysis Branch (VCAB) FFL history received for the 3-year period covering February 1, 2013 to February 5, 2016 reported two-hundred-seventeen (217) multiple sale transactions involving four-hundred-seventy-five (475). IOI (b)(6) identified (b)(6) unreported multiple handgun sale transaction, in violation of 27 CFR 478.126a. The License complete and submitted the ATF Form 3310.4 during the inspection on May 17, 2016. **(ROV-violation #7, Worksheet 2- 4473(2012 edition), Exhibit 7).**

7 - Suspicious/Prohibited Purchasers

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Industry Operations Investigator (IOI) (b)(6) conducted NCIC/e-Trace queries on thirty (30) transferees disclosing no prohibiting criminal records. IOI (b)(6) did not identify any suspicious transactions or traffickers.

8 - Trace Activity

The Violent Crime Analysis Branch (VCAB) FFL history received for the 3-year period covering February 1, 2013 to February 5, 2016 reported (b)(3) - 112 Public Law 55 125 Stat 552 firearm trace requests. The Licensee responded successfully to each firearm trace requested. ATF completed several of the traces using the records submitted by the Licensee under (b)(3) - 112 Public Law 55 125 Stat 552. The licensee acquired approximately (b)(4) used firearms and disposed of approximately (b)(4) used firearms during the 12-month inspection period. Industry Operations Investigator (IOI) (b)(6) conducted NCIC and e-Trace queries on a sample of (b)(3) - 112 Public Law 55 125 Stat 552 secondary market firearms disclosing no stolen, suspicious or trace reports. IOI (b)(6) conducted NCIC and e-Trace queries on an additional sample of (b)(3) - 112 Public Law 55 125 Stat 552 firearms disclosing no suspicious or stolen reports. (b)(3) - 112 Public L firearm was the subject of a firearm trace request in which the possessor was the purchaser. IOI (b)(6) conducted an e-Trace query on the purchaser of this firearm disclosing no other traces involving this individual.

9 - NFA/Importer/Collector/Manufacturer

The Licensee has a 2016 Special Tax Stamp as a dealer in National Firearms Act (NFA) firearms. Industry Operations Investigator (IOI) (b)(6) inventoried twenty-one (21) NFA firearms and verified their entry in the Acquisition and Disposition (A&D) record disclosing no discrepancies. IOI (b)(6) verified the firearms to the National Firearm Registration and Transfer Record (NFRTR) disclosing no discrepancies. IOI (b)(6) examined the registration document for each NFA firearm in inventory disclosing no discrepancies.

The licensee does not conduct activities as Importer, Manufacturer, or Collector of firearms.

10 - Referrals

Industry Operations Investigator (IOI) (b)(6) generated no referrals as a result of this inspection.

11 - Other

The Licensee prominently displayed the Youth Handgun Safety Act poster and made the written Notices available at the sales counter. The Licensee is aware of the

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requirement to make secure gun locks and/or safety devices available to the consumer, as well as, for all handgun transactions to non-licensees.

12 - Closing Actions

On May 31, 2016, Industry Operations Investigator (IOI) (b)(6) held a closing conference with the Licensee to review the results of the inspection. IOI (b)(6) reviewed the violations cited on the Report of Violations, as well as, the corrective action to be taken. The Licensee (Paul Slifko) signed the Report of Violations acknowledging this review and receipt of the report. IOI (b)(6) reviewed the Acknowledgement of Federal Firearms Regulations with the Licensee emphasizing those areas in which deficiencies were identified. The Licensee (Paul Slifko) acknowledged this review by initialing each item reviewed and signing the reference guide. **(Exhibit 8)**

IOI (b)(6) also reviewed the Important Notice: Selling Firearms AFTER Revocation, Expiration or Surrender of an FFL, the Advisory – Telephone Fraud Scheme Used to Request Money to Transfer Firearms, and the Loss Prevention for Firearms Retailers pamphlet.

IOI (b)(6) provided the Licensee with the following materials:

ATF Publications

- Advised the Applicant where to obtain a copy of the 2012 Federal Firearms Regulations Reference Guide (ATF P 5300.4)
- Loss Prevention for Firearms Retailers (ATF P 5380.1)

ATF Rulings: 2016-1

Open Letters

- NOTICE - Selling Firearms after Revocation, Expiration or Surrender of FFL
- Advisory – Telephone Fraud Scheme Used to Request Money to Transfer Firearms – March 21, 2016

Miscellaneous

- Important ATF Phone Numbers

13 - Violations

1. **27 CFR 478.21(a)**
“REPEAT OF VIOLATION CITED ON AUGUST 14, 2014.”

Nature of Violation: Licensee failed to obtain all the information called for in each ATF Form 4473 as indicated by the headings on the form and the instructions on or pertaining to the form in the following (b)(3) - 112 Pub. 13 instances:

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- Item 18 was incorrect or incomplete on ATF Form 4473, transaction numbers (b)(6). (b)(3) - 112 Public Law 55 125 Stat 552 and
- Section C, Items 24 and 25 were blank on ATF Form 4473, Transaction numbers (b)(6). (b)(3) - 112 Public Law 55 125 Stat 552).

Licensee's Response: The Licensee continues to have a double check system of the form before the customer leaves followed by a third review at the end of the day and a fourth review the next day before the forms are filed and attributes these errors to human error.

Corrective Action: Licensee shall obtain all the information on each form as indicated by the headings on the form and the instructions on or pertaining to the form in future transactions.

(Reference: Worksheet 2-4473(2012 edition), Exhibit 1)

2. **27 CFR 478.102(a)(1)**

Nature of Violation: Licensee failed to meet the requirements for sales or deliveries of firearms on and after November 30, 1998. Specifically, the licensee documented a non-qualifying (expired) exception to the NICS check (Georgia Firearms Carry License) and therefore failed to contact the NICS system before the completion of the transfer for (b)(6). (b)(3) - 112 Public Law 55 125 Stat 552 ATF Form 4473, transaction number (b)(6). (b)(3) - 112 Public Law 55 125 Stat 552).

Licensees Response: The Licensee continues to have a double check system of the form before the customer leaves followed by a third review at the end of the day and a fourth review the next day before the forms are filed. This should have never happened and attributes this to human error.

Corrective Action: In the future, licensee shall comply with the NICS requirements for transactions to individuals or meet the requirements for an exception to the NICS. The only exception to the NICS check in Georgia is a valid Georgia Firearms Carry License.
(Reference: Worksheet 2, Exhibit 2)

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

"REPEAT OF VIOLATION CITED ON AUGUST 14, 2014 AND JANUARY 22, 2008."

Nature of Violation: Licensee failed to obtain complete transferee (buyer) information and/or certification in Section A of the following (b)(6). (b)(3) - 112 Public ATF Form 4473 transactions:

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

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Licensee's Response: The Licensee continues to have a double check system of the form before the customer leaves followed by a third review at the end of the day and a fourth review the next day before the forms are filed and attributes this to human error

Corrective Action: Licensee shall obtain completed ATF Forms 4473 with complete transferee information and certification prior to the transfer of a firearm in future transactions.

(Reference: Worksheet 2-4473(2012 edition), Exhibit 3)

4. **27 CFR 478.124(c)(3)(i)**
"REPEAT OF VIOLATION CITED ON AUGUST 14, 2014."

Nature of Violation: Licensee failed to verify the identity of the transferee by examining the identification document (as defined in section 478.11) presented, and note on the Form 4473 the type of identification used on [REDACTED] ATF Form 4473 transaction as follows:

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

Licensee's Response: The Licensee continues to have a double check system of the form before the customer leaves followed by a third review at the end of the day and a fourth review the next day before the forms are filed and attributes this to human error

Corrective Action: In the future, the licensee shall verify the identity of the transferee by examining an identification document(s) as defined in section 478.11 and note the type, number, and expiration date on the ATF Form 4473. See ATF Form 4473 instructions to Items 20a, 20b, & 20c. The identification document(s) shall be valid government-issued photo identification that contains the transferee's name, residence address and date of birth. Licensee may accept a combination of valid government-issued documents to satisfy the identification document requirements.

(Reference: Worksheet 2, Exhibit 4)

5. **27 CFR 478.124(c)(3)(iv)**
"REPEAT OF VIOLATION CITED ON AUGUST 14, 2014."

Nature of Violation: Licensee failed to comply with the requirements of 478.102 and record on the form the date on which the licensee contacted the NICS, as well as, any response provided by the system, including any identification number provided by the system in the following [REDACTED] instance:

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

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Licensee's Response: The Licensee continues to have a double check system of the form before the customer leaves followed by a third review at the end of the day and a fourth review the next day before the forms are filed and attributes this to human error

Corrective Action: Licensee shall record the date licensee contacted NICS as well as all responses provided by NICS, to include, "No resolution provided within 3 business days" when the initial NICS response was "Delayed".

(Reference: Worksheet 2-4473(2012 edition), Exhibit 5)

6. **27 CFR 478.125(e)**

Nature of Violation: Licensee failed to record in the Acquisition and Disposition (A&D) Record the sale or other disposition of ^{(b)(3) - 112 Public Law 55} firearms not later than 7 days following the date of such transaction in the following instances:

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



Licensee's Response: The Licensee stated that these were not an issue during the last inspection. The Licensee attributes this to a computer software update that the way the dispositions were recorded in the previous version was not compatible to the update. The Licensee was able to pull the disposition from the last printing of the last back-up copy of the A&D record.

Corrective Action: Licensee researched their available records and determined that ^{(b)(3) - 112} of the entries were voided entries and ^{(b)(3) - 112} were confiscated by the local law enforcement department.

(Reference: Worksheet 1-Inventory/A&D, Exhibit 7)

7. **27 CFR 478.126a**

"REPEAT OF VIOLATION CITED ON AUGUST 14, 2014."

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Nature of Violation: Licensee failed to prepare a report of multiple sales or other disposition whenever the licensee sells or otherwise disposes of, at one time or during any five consecutive business days, two or more pistols, or revolvers, or any combination of pistols and revolvers totaling two or more, to an unlicensed person in the following ^{(b)(3) - 112 Public L} instance.

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

Licensee's Response: The Licensee does not know how this error occurred because the computer program is designed to flag multiple sales. The sales associate is a new employee.

Corrective Action: Licensee completed and submitted the ATF Forms 3310.4 during the inspection on 05/17/16.

(Reference: Worksheet 2-4473(2012 edition), Exhibit 7)

X

(b)(6)

Industry Operations Investigator

Index of Worksheets and Exhibits

Worksheets

- Informational Page
- Worksheet 1-Inventory,A&D
- Worksheet 2-4473(2012 edition)
- Statistical page

Exhibits

1. Photographs of ^{(b)(3) - 112 Public L} ATF Forms 4473, transaction numbers ^{(b)(6), (b)(3) - 112 Public Law 55 125 Stat 552} - (Documents the violation of 27 CFR 478.21(a))
2. Photograph of ^{(b)(3) - 112 Public L} ATF Form 4473, transaction number ^{(b)(6), (b)(3) - 112 Public Law 55 125 Stat 552} (Documents the violation of 27 CFR 478.102(a)(1))
3. Photographs of ^{(b)(3) - 112 Public L} ATF Forms 4473, transaction numbers ^{(b)(6), (b)(3) - 112 Public Law 55 125 Stat 552} - (Documents the violation of 27 CFR 478.124(c)(1))

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4. Photograph of (b)(3) - 112 Public L ATF Form 4473, transaction number (b)(6), (b)(3) - 112 Public Law 55 125 Stat 552) - (Documents the violation of 27 CFR 478.124(c)(3)(i))
5. Photograph of (b)(3) - 112 Public L ATF Form 4473, transaction number (b)(6), (b)(3) - 112 Public Law 55 125 Stat 552) (Documents the violation of 27 CFR 478.124(c)(3)(iv))
6. Spreadsheet of (b)(3) - 112 Public Law 55 A&D record book entries, computer loan/stock numbers (b)(3) - 112 Public Law 55; (b)(3) - 112 Public Law 55 screen shots from computer record prior to update showing voided entries for computer loan/stock numbers (b)(3) - 112 Public Law 55; and (b)(3) - 112 Public Law 55 police department confiscation receipts. (Documents the violation of 27 CFR 478.125(e)).
7. Photograph of (b)(3) - 112 Public L ATF Form 4473, transaction number (b)(6), (b)(3) - 112 Public Law 55 125 Stat 552), a photograph of the corresponding ATF Form 3310.4 filed during the inspection, and e-Trace report showing receipt of multiple sale. (Documents the violation of 27 CFR 478.126a).
8. Acknowledgement of Federal Firearms Regulations Guide