

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) Lambert Gunworks LLC 769 Cherokee Road Prescott, AZ 86303, Yavapai	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 785050-2017-0096-B1B		
	3. PERMIT/LICENSE NUMBER 986025079D06219	4a. TARGET DATE 2/28/2017	4b. TARGET HOURS 70
	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, 12/29/2016

8. PURPOSE/SPECIAL INSTRUCTIONS
Conduct a full scope SWB-DE (Manufacturer) compliance inspection while evaluating for trafficking indicators; Assure compliance with current provisions of GCA. *NOTE: Retain hardcopies of issued ROV (if any) and/or Ack of Regs for file retention.

9. INSPECTION RESULTS		<input type="checkbox"/> CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC		10. TRAVEL EXPENSES (OPTIONAL)	
NO. OF VIOLATIONS	4	NO. OF REFERRALS		2111 - PER DIEM	
NO. OF TECS CHECKS	1	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: 04/12/2017

Viols WL ONLY and Recall Inspection

12. TIME ACCOUNTING DATA	
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)
MAR 2017	2.00
ATF OFFICER'S SUBTOTAL	2.00
ATF OFFICER'S SIGNATURE	
TOTAL HOURS	2.00

13. REVIEW AND ROUTING	
REVIEW COMMENTS AND RECOMMENDATION Field inspection performed 03/07-03/10/17; a ROV was issued for four recordkeeping violations. A Warning Letter was generated and sent to the licensee (via certified post w/ return receipt) on 04/19/17. A Recall Inspection has been staged for compliance reassessment and follow-up. No further field action required at this time. Viols WL ONLY and Recall Inspection	

<input checked="" type="checkbox"/> REVIEWED		<input checked="" type="checkbox"/> CONCUR		<input checked="" type="checkbox"/> SEE COMMENTS		<input checked="" type="checkbox"/> FINAL DISPOSITION	
SIGNATURE AND TITLE (b)(6) - Area Supervisor		(b)(6)		DN: (b)(6) o=DOJ - Bureau of ATF, ou=Phoenix III Field Office, email=(b)(6) c=US Date: 2017.04.19 12:56:36 -07'00'		REVIEW DATE 04/19/2017	
ROUTING SEQUENCE AND DATE							
<input type="checkbox"/> 1. _____							
<input type="checkbox"/> 2. _____							
<input type="checkbox"/> 3. _____							
<input type="checkbox"/> 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 Lambert Gunworks LLC	Street Address 769 Cherokee Road	City Prescott	State AZ	Zip Code 86303-	County Yavapai	Page 2 of 2 Pages
License/Permit/Registry Number (If any) 986025079D06219	Expiration Date 4/1/2019	Date(s) or Period of Inspection 03/07/2017 through 03/10/2017				

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:

Failure to timely or correctly report the sale of two or more pistols, or revolvers, or a combination thereof, on the same day or within five consecutive business days in (b)(3) instance.

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

The Licensee will report all Multiple sale or other disposition of pistols and revolvers to non-licensees no later than the close of business, on the day that the multiple sale or other disposition occurs, as per ATF Regulations on all future transactions.

Citation: 27 CFR 478.126a

I Have Received a Copy of This Report of Violations (Proprietor's	(b)(6)	Member	Date 4/07/2017
Signature and Title of ATF Officer	(b)(6)	Investigator	Date 4/07/2017

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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:

Failure to record the manufacture or other acquisition of (b)(3) firearms in the Acquisition and Disposition (A&D) Record.

Citation: 27 CFR 478.123(a)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

The Licensee will timely record the Acquisition of all firearms within the prescribed ATF Regulations in all future transactions.

Number: 2

Nature of Violation:

Failure to record the disposition of (b)(3) 112 firearms to another licensee in the Acquisition and Disposition (A&D) Record.

Citation: 27 CFR 478.123(b)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

The Licensee will timely record the Disposition of all firearms within the prescribed ATF Regulations in all future transactions.

Number: 3

Nature of Violation:

Failure to record any disposition of (b)(3) firearm(s) to a nonlicensee(s) in the Acquisition and Disposition (A&D) Record.

Citation: 27 CFR 478.123(d)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

The Licensee will record all disposition of firearms to nonlicensees in the A&D records in all future transactions.



U.S. Department of Justice

Bureau of Alcohol, Tobacco,
Firearms and Explosives

www.atf.gov

Lambert Gunworks LLC
769 Cherokee Road
Prescott, AZ 86303
RE: 9-86-025-07-9D-06219

April 19, 2017

Mr. Jesse Lambert:

During a recent inspection at your firearms business covering the period of March 7, 2016 to March 7, 2017 you were cited for violations of Title 27, Code of Federal Regulations, Part 478. A copy of the Report of Violations, ATF F 5030.5, issued at the time of the inspection is enclosed.

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

Lambert Gunworks LLC

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

Sincerely

(b)(6)

/ Phoenix III Area Supervisor

Enclosure

c: Federal Firearms Licensing Center
Phoenix III (IO) Field Office

Assignment and Report

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☒ REVIEWED ☒ CONCUR ☒ SEE COMMENTS ☒ FINAL DISPOSITION

SIGNATURE AND TITLE (b)(6) - Area Supervisor	(b)(6)	DN: (b)(6) o=DOJ - Bureau of ATF, ou=Phoenix III Field Office, email=(b)(6) c=US Date: 2017.04.19 12:56:36 -07'00'	REVIEW DATE 04/19/2017
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ROUTING SEQUENCE AND DATE

☐ 1. _____
☐ 2. _____
☐ 3. _____
☐ 4. _____

CONTROL FILE POSTED DATE _____

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(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

The Licensee will report all Multiple sale or other disposition of pistols and revolvers to non-licensees no later than the close of business, on the day that the multiple sale or other disposition occurs, as per ATF Regulations on all future transactions.

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Signature and Title of ATF Officer	Investigator	Date 4/07/2017

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Citation: 27 CFR 478.123(a)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

The Licensee will timely record the Acquisition of all firearms within the prescribed ATF Regulations in all future transactions.

Number: 2

Nature of Violation:

Failure to record the disposition of (b)(3) firearms to another licensee in the Acquisition and Disposition (A&D) Record.

Citation: 27 CFR 478.123(b)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

The Licensee will timely record the Disposition of all firearms within the prescribed ATF Regulations in all future transactions.

Number: 3

Nature of Violation:

Failure to record any disposition of (b)(3) firearm(s) to a nonlicensee(s) in the Acquisition and Disposition (A&D) Record.

Citation: 27 CFR 478.123(d)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

The Licensee will record all disposition of firearms to nonlicensees in the A&D records in all future transactions.



U.S. Department of Justice

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Lambert Gunworks LLC
769 Cherokee Road
Prescott, AZ 86303
RE: 9-86-025-07-9D-06219

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

You are reminded that retention of your Federal firearms license is conditioned upon your compliance with Federal laws and regulations. Any future violations, either repeat or otherwise, could be viewed as willful and may result in the revocation of your license. Please ensure that future compliance is achieved.

Lambert Gunworks LLC

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

Sincerely,

(b)(6)

Phoenix III Area Supervisor

Enclosure

c: Federal Firearms Licensing Center
Phoenix III (IO) Field Office

FIREARMS INSPECTION REPORT

Name: Lambert Gunworks LLC
Trade Name:

UI#: 785050-2017-0096-B1B
FFL#: 9-86-025-07-9D-06219

Address: 769 Cherokee Road
Prescott, AZ 86303 Yavapai

1 - Introduction

Inspection Profile:

On March 7, 2017, Industry Operations Investigator (b)(6) initiated a Southwest Border Disposition Emphasis (DE) compliance inspection for Lambert Gunworks LLC. This inspection was to assess the licensee's compliance with the laws and regulations pertaining to the Gun Control Act (GCA) as well as to evaluate the business activities associated with this Type 07 Manufacturer of Firearms Other Than Destructive Devices license.

The inspection interview was conducted with Jesse Raymer Lambert, Member and Responsible Person (RP), Arizona Driver License (b)(6) DOB (b)(6), Exp 5/20/2043. Mr. Lambert provided access to firearm inventory, recordkeeping information and outlining of Lambert Gunworks' standard operating procedures regarding dealing in GCA firearms.

The inspection period covered March 7, 2016 through March 7, 2017. Advance notification was not provided to the licensee.

Business Profile:

Lambert Gunworks is a home-based business operating from this location at 769 Cherokee Road, Prescott, Arizona. The business premises are owned by Mr. and Mrs. Lambert. Business operations consist of dealing, gunsmithing, special orders, and facilitating internet transfers (as transfer agent) of new handguns and long guns. Lambert Gunworks does not utilize any dedicated company website for business activities.

In the last 12 months, the licensee acquired (b)(4) firearms as a course of business, and disposed of (b)(4) firearms in the same period of time. (b)(4) percent of the licensee's current business activities involves retail type business.

A 12 month review of the acquisition and disposition (A&D) records revealed (b)(4) firearms acquired are new for dealing activities. Licensee's current primary supplier is (b)(4) Lambert Gunworks currently maintains a Type 07 license in City of Prescott jurisdiction and is possession of the following:

- City of Prescott Business License (5518551)
- AZ Tax Registration (b)(3) - 26 USC 6103 exp 12/31/17)

FIREARMS INSPECTION REPORT

Name: Lambert Gunworks LLC
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FFL#: 9-86-025-07-9D-06219

- EIN (b)(3) - 26 USC 6103

The licensee does not currently participate at gun shows or sanctioned gun events. Lambert Gunworks does not sell black powder, manufacture firearms, import or export firearms with this license. The licensee has been engaged in dealing firearms since March 2013. There is no other unidentified business conducted at this location nor any off-site firearm storage exists.

Ownership and Control:

Lambert Gunworks LLC is a for-profit Limited Liability Company with Articles of Organization submitted to the state of Arizona Corporation Commission. Mr. Jesse Lambert is the only responsible person listed on the license, and NCIC/ NLETS check performed prior to the inspection yielded no prohibiting results.

Lambert Gunworks is engaged in the business of firearms dealing with no hidden ownership being suspected or identified at the time of inspection. There have been no reported or unreported changes to ownership or control of the business or Responsible Person list.

Variance:

The licensee does not maintain any variances and did not request any variances as a result of the compliance inspection.

2 - Recommendation

Violations WL ONLY and Recall Inspection

3 - Inspection History

Date and Type of Inspection: March 7, 2013: Qualification Inspection
UI#: 785050-2013-0190-B1B
Inspection Results: Application Approved
Cited Violations:
No Violations

An Acknowledgement of Federal Firearms Regulations is located within the Area Office file for this inspection (dated 3/07/2013).

FIREARMS INSPECTION REPORT

Name: Lambert Gunworks LLC
Trade Name:

UI#: 785050-2017-0096-B1B
FFL#: 9-86-025-07-9D-06219

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

On March 7th the licensee explained the electronic A&D (eBound system) had “crashed” several months earlier, since there was no backup, and Mr. Lambert had not replaced the system. A review of the handwritten A&D last entry was recorded on September 14, 2013; however, licensee stated the computer crashed sometime in October/November 2016. A review of the completed Forms 4473 revealed the last transfer occurred on January 23, 2017. A new bound book was created based on supplier invoices, email receipts and communications, and completed Forms 4473. Investigator (b)(6) returned on March 9th to proceed with the inspection.

A hundred (100%) percent physical inventory was conducted, which resulted in the identification of one firearm on the business premises. There were no open dispositions in the A&D Record to correspond with the firearm found in inventory. Investigator (b)(6) verified the reconstructed A&D records through vendor requests of all purchases, invoices, and completed A&D records. Two firearms were identified as missing from the reconstructed records and inventory. The licensee was able to reconcile the two firearms with vendor invoices and emails to licensees where firearms were disposed.

Investigator (b)(6) review of the A&D Record disclosed (b)(3) firearm acquisitions were not recorded and (b)(3) firearm dispositions were not recorded. Due to the stated A&D omission the licensee was cited for the following violations:

27 CFR 478.123(a) Failure to record the manufacture or other acquisition of (b)(3) firearms in the Acquisition & Disposition (A&D) Record. **See Worksheet 1- Inventory & A&D record, Exhibit 1- A&D record, and ATF Form 5030.5 - Report of Violations (ROV) 1.**

27 CFR 478.123(b) Failure to record complete disposition information of (b)(3) - 11 firearms to another licensee in the A&D Record. **See Worksheet 1, Exhibit 2, and Violation 2.**

27 CFR 478.123(d) Failure to record the disposition of three firearms to a nonlicensee in the Acquisition and Disposition (A&D) Record. Failure to record complete disposition information of (b)(3) firearms to a nonlicensee in the A&D Record. **See Worksheet 1, Exhibit 2, and Violation 3.**

The licensee was instructed on how to set up the Book-Page-Line inventory system, how to audit inventory, and Best Practice of recording entries within 24 hours of acquisition or disposition.

As detailed in the Violent Crime Analysis Branch (VCAB) Firearm Trace History the licensee has not reported any thefts or losses of inventory. There was no Theft/Loss report filed during the inspection period nor as a result of this inspection.

FIREARMS INSPECTION REPORT

Name: Lambert Gunworks LLC
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A sampling of (b)(3) firearms were traced from the customer or vendor invoice, ATF Form 4473 to the A&D Record, no additional discrepancies were noted. The licensee did not report – nor obtain - any firearms with obliterated serial numbers or illegal firearms acquired from their suppliers. The licensee has not received any inquiries on bulk long guns sales to non-licensees. An evaluation of the licensee’s standard operating procedures for A&D and inventory revealed the following results:

- A 100% discrepancy rate for completely and accurately obtaining/ recording “transaction-specific” information on Acquisition information performed within the inspection period.
- A 100% discrepancy rate for completely and accurately obtaining/ recording “transaction-specific” information on Disposition information performed within the inspection period.
- Firearms are secured in a gun safe.
- The business location is secured with exterior lights, 2 dogs, and locked doors.
- A&D entries and corrections are performed by Jesse
- A&D entries and inventory are audited weekly

While evaluating the licensee’s recordkeeping for the inspection period, it should be noted the A&D records are kept in a computerized format (Fast Bound system) and included all required ATF standards for column headers. Investigator (b)(6) provided new ATF Ruling 2016-1 to verify computerized A&D record requirements on electronic record keeping system, to include electronic backup.

5 - ATF Forms 4473 – NICS & Other Dispositions

Investigator (b)(6) reviewed a total of (b)(3) ATF Forms 4473, of which seven were for the last 12 months. The forms on file are filed chronological. The review of these forms disclosed (b)(3) violation (see Multiple Sale Section 6). The licensee was given additional instructional review of all ATF Form 4473 items and coaching on the proper completion of Sections B and D by the licensee.

An evaluation of the licensee’s standard operating procedures revealed the following results:

- A 0% discrepancy rate for completely and accurately obtaining/ recording “transaction-specific” information on a Firearm Transaction Record (ATF Form 4473) for transfers performed within the inspection period.
- Dispositions are recorded within the A&D records at the time of sale.
- Forms are secured within a locked cabinet in a locked room.
- Forms are reviewed at time of sale and monthly
- Licensee accepts AZ CCW as exemption to required background or by computer

FIREARMS INSPECTION REPORT

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Review of the FFL audit log report disclosed three NICS transactions conducted by the licensee within the last 60 days of the inspection period. No discrepancies were disclosed. Any denied or cancelled ATF Forms 4473 will be maintained separately as required by regulation.

There were no transfers to law enforcement for official purposes. There were zero FFL to FFL transfers conducted within the inspection period. No suspicious licenses were located as a result of the inspection.

6 – Multiple Sales

As is detailed in the VCAB Firearm Trace History report the licensee reported zero multiple handgun sale in the last 12 months. A complete audit of ATF Forms 4473 to the VCAB report revealed (b)(3) occasion of unreported handguns, for a total of (b)(3) firearms, on the multiple handgun forms. The licensee was cited with violating 27 CFR 478.126a for failure to timely or correctly report the sale of two or more pistols, or revolvers, or a combination thereof, on the same day or within five consecutive business days in a (b)(3) instance. (Violation 4, Worksheet 2, Exhibit 4).

The licensee was instructed to immediately complete and submit ATF Form 3310.4 for the (b)(3) unreported multiple sales. On April 10, 2017, Investigator (b)(6) verified the multiple sale was properly reported.

7 – Suspicious/Prohibited Purchasers

As a result of a review of the ATF Forms 4473, zero suspicious purchasers were queried through Open Fox and eTrace databases.

8 – Trace Activity

As is detailed in the VCAB Firearm Trace History report indicates the licensee has had zero firearms traced in the last 12 months.

Approximately zero used firearms, for purposes of sale, resale, or gunsmithing, were acquired and disposed during the inspection period. Zero used firearms were queried in the eTrace system with no prohibited hits returned.

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9 - NFA/Importer/Collector/Manufacturer

The licensee has not conducted any manufacturing with this license, and at this time has no future plans for manufacturing. In accordance with 27 CFR 478.92, the licensee will stamp, cast, or engrave, with the appropriate manufacture information, of name, city, and serial number on all weapons manufactured or will submit a variance request for alternative marking. Investigator (b)(6) advised the licensee they must contact the US State Department, Directorate of Defense Trade Controls (DDTC) for possible registration as ITAR compliant for any future manufacturing.

Licensee is aware of the requirement to file an ATF F5300.11 Annual Firearms Manufacturing and Exportation Report (AFMER) due no later than April 1st of each year. A query of the Firearms & Explosive Service Division revealed the licensee submitted the ATF Form 5300.11 AFMER report for 2013, 2014, and 2015 manufacturing years. The licensee reported manufacturing zero GCA weapons for each reporting year.

There has been no NFA manufacturing or Transfers, Exporting, Collecting, or Ammunition Manufacturing business operation conducted from this License.

Investigator (b)(6) advised the licensee of proper and requisite ATF Form 4473 procedures regarding firearm purchases made by a Trust, Corporation, Company, Association, Partnership or any such business entity (other than an individual person). The licensee was advised that the officer, member, responsible person, or trustee must complete Section A with his/her personal information, sign, attach a written statement to (include: name, address, of entity and acknowledgement of firearm ownership) and that they must pass a background check.

10 - Referrals

No referrals were generated from this inspection.

11 - Other

During the inspection Mr. Lambert stated he has not signed up for the ATF.gov updates and newsletters. He has not downloaded the new 2014 Regulation Book. Licensee also stated that he understands the regulations, but acknowledged he may contact the local Industry Operation office for additional clarification, as needed. The licensee was in possession of all Youth Handgun Safety Act signage as well as secure gun storage devices (trigger guards) for individual purchase.

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Queries of NForce, Arizona Corrections, and Arizona public records of Mr. Lambert revealed no prohibiting items. No additional note-worthy findings were identified during the course of this inspection.

12 - Closing Actions

At the conclusion of the inspection, Investigator (b)(6) held a three-hour closing conference with Mr. Lambert, Member and RP, on March 10, 2017, directly following the completion of the inspection, to discuss the specific “findings” that resulted from the compliance inspection. Included with this discussion was the review and issuance of the Report of Violations (ROV); each citation listed upon the ROV was reviewed in detail by Investigator (b)(6) who provided the licensee with counseling and corrective action for each count. In acknowledgement of this review of the ROV, the licensee signed and dated the original report at which time a copy was provided to the licensee for retention and future review.

After discussing the ROV with the licensee, Investigator (b)(6) presented Mr. Lambert with the Acknowledgement of Federal Firearms Regulations to facilitate a more effective “working knowledge” of the Gun Control Act. Specifically addressed within this review, Investigator (b)(6) outlined the licensee’s regulated responsibilities toward proper maintenance of the license, conduct of business, and record keeping.

The Acknowledgement was signed and dated by the licensee and a copy of the form was provided to the licensee for retention and future review. (Exhibit 5) At the conclusion of this conference, an invitation was extended to the licensee to contact Investigator (b)(6) in the future regarding any questions or procedural concerns that they may have regarding recordkeeping, completing reports and how to properly facilitate future firearm transfers.

Before departing from the premises, Investigator (b)(6) provided Mr. Lambert, Member, Lambert Gunworks with copies of the following items to further (re)familiarize himself with the regulatory requirements associated with proper maintenance of the Type 07 license:

- Federal Firearms Regulations Reference Guide (2014) electronic download instructions and list of Corrections
- FFL Quick Reference and Best Practices Guide (revised August 2010)
- Computerized Acquisition and Disposition Records (R 2016-1 & 2016-2)
- A&D Required Records for Dealers/ Manufacturing
- An information packet including updated U.S. Department of Justice Federal Firearms Licensee Forms (5300.38, 3310.4, 3310.11, 4473, 5300.11, 5630.7)

FIREARMS INSPECTION REPORT

Name: Lambert Gunworks LLC
Trade Name:

UI#: 785050-2017-0096-B1B
FFL#: 9-86-025-07-9D-06219

- Youth Handgun Safety Act Notice, ATF Project Gunrunner (brochure), Gun Free School Zone Notice (brochure), and Child Safety Lock (Sample)
- Various ATF Publications (P 5320.8, 3317.7, 3312.9, 3312.10), NICS (Check and Appeal) Brochures
- Personal Firearms Record (Revised December 2003)
- A List of Important ATF Phone Numbers & Addresses (both local and national)

13 - Violations

1. 27 CFR 478.123(a)

Nature of Violation: Failure to record the manufacture or other acquisition [REDACTED] firearms in the Acquisition & Disposition (A&D) Record. Specifically, the A&D electronic book were lost and licensee failed to recreate the records prior to inspection.

Licensee Response: The licensee was going to replace the records, but he hadn't gotten to it prior to the inspection. The A&D record is now recreated in an electronic system (Fast Bound) which has a backup record.

Corrective Action: The licensee will timely record the Acquisition of all firearms within the prescribed ATF Regulations in all future transactions. The licensee was reminded about the regulation regarding 48hrs time to completely enter items into the A&D Records.

Worksheets & Exhibits: Worksheet 1, Exhibit 1

2. 27 CFR 478.123(b)

Nature of Violation: Failure to record complete disposition information of [REDACTED] firearms to another licensee in the A&D Record. Specifically, the complete entries were missing from the A&D records.

Licensee Response: The licensee was going to replace the records, but he hadn't gotten to it prior to the inspection. The A&D record is now recreated in an electronic system (Fast Bound) which has a backup record.

Corrective Action: The Licensee will record the Disposition of all firearms within the prescribed ATF Regulations in all future transactions. The licensee was reminded about the regulation regarding 48hrs time to completely enter items into the A&D Records.

Worksheets & Exhibits: Worksheet 1, Exhibit 2

FIREARMS INSPECTION REPORT

Name: Lambert Gunworks LLC
Trade Name:

UI#: 785050-2017-0096-B1B
FFL#: 9-86-025-07-9D-06219

3. 27 CFR 478.123(d)

Nature of Violation: Failure to record any disposition information of (b)(3) firearms to a nonlicensee in the Acquisition and Disposition (A&D) Record. Specifically, (b)(3) entries were missing complete disposition.

Licensee Response: The licensee was going to replace the records, but he hadn't gotten to it prior to the inspection. The A&D record is now recreated in an electronic system (Fast Bound) which has a backup record.

Corrective Action: The Licensee will record the disposition information for each firearm, if the disposition cannot be determined the licensee will report the firearm missing to ATF on ATF Form 3310.11. The licensee was reminded about the regulation regarding 48hrs time to completely enter items into the A&D Records.

Worksheets & Exhibits: Worksheet 1, Exhibit 3

4. 27 CFR 478.126a

Nature of Violation: Failure to timely or correctly report the sale of two or more pistols, or revolvers, or a combination thereof, on the same day or within five consecutive business days in a (b)(3)-(1)(2)(F)(D) instance.

Licensee Response: The licensee didn't know he had to submit an extra form. The licensee downloaded the PDF form to be submitted electronically in the future.

Corrective Action: The Licensee will completely and accurately record firearm transferred as per ATF Regulations on the ATF Form 4473 on all future transactions. It is further recommended the Licensee perform a weekly or monthly 4473 audit to ensure forms are completed. Investigator (b)(6) provided step-by-step instructions on how to download the proper form and supplied the email address for submission.

Worksheets & Exhibits: Worksheet 2, Exhibit 4

FIREARMS INSPECTION REPORT

Name: Lambert Gunworks LLC
Trade Name:

UI#: 785050-2017-0096-B1B
FFL#: 9-86-025-07-9D-06219

X

(b)(6)

Industry Operations Investigator

Index of Worksheets and Exhibits **Worksheets**

Exhibits

- Exhibit 1:** Samples: A&D: 27 CFR 478.123(a)
- Exhibit 2:** Samples: A&D: 27 CFR 478.123(b)
- Exhibit 3:** Samples: A&D: 27 CFR 478.123(d)
- Exhibit 4:** Samples: ATF Forms 4473: 27 CFR 478.126a
- Exhibit 5:** Acknowledgement of Federal Firearms Regulations