

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) Michael's Mountain LLC Woodland Iron & Firearms 1715 Barton Avenue West Bend, WI 53090, Washington	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) <p style="text-align: center;">778025-2017-0187-B1B</p> 3. PERMIT/LICENSE NUMBER 4a. TARGET DATE 4b. TARGET HOURS <p style="text-align: center;">339131017K03658 9/22/2017</p> 5. REQUESTED BY (SIGNATURE, TITLE AND DATE)
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6. ATF OFFICER(S) ASSIGNED

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

7. ASSIGNED BY (SIGNATURE, TITLE AND DATE)

(b)(6), Area Supervisor, 10/03/2016

8. PURPOSE/SPECIAL INSTRUCTIONS

Conduct a DE compliance inspection. Not inspected since FY 08.

9. INSPECTION RESULTS		<input type="checkbox"/> CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC		10. TRAVEL EXPENSES (OPTIONAL)	
NO. OF VIOLATIONS	6	NO. OF REFERRALS		2111 - PER DIEM	
NO. OF TECS CHECKS	48	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: 06/12/2017

Viols WL ONLY and Recall Inspection

12. TIME ACCOUNTING DATA		
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)	
APR 2017	51.50	
MAY 2017	17.00	
JUN 2017	24.00	
ATF OFFICER'S SUBTOTAL	92.50	ATF OFFICER'S SIGNATURE
TOTAL HOURS	92.50	

13. REVIEW AND ROUTING

REVIEW COMMENTS AND RECOMMENDATION

Viols WL ONLY and Recall Inspection

REVIEWED
 CONCUR
 SEE COMMENTS
 FINAL DISPOSITION

SIGNATURE AND TITLE	REVIEW DATE
(b)(6) - Area Supervisor	06/05/2017

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) Michael's Mountain LLC Woodland Iron & Firearms 1715 Barton Avenue West Bend, WI 53090, Washington	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 778025-2017-0187-B1B		
	3. PERMIT/LICENSE NUMBER 339131017K03658	4a. TARGET DATE 9/22/2017	4b. TARGET HOURS
	5. REQUESTED BY (SIGNATURE, TITLE AND DATE)		

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 Michael's Mountain LLC	Street Address 1715 Barton Avenue	City West Bend	State WI	Zip Code 53090-	County Washington	Page 1 of 2 Pages
License/Permit/Registry Number <i>(If any)</i> 339131017K03658		Expiration Date 10/1/2017	Date(s) or Period of Inspection 04/05/2016 through 04/05/2017			

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 instances, the licensee failed to complete and record required information on Form 4473 as PRESCRIBED BY THE FORM.
- Citation:** 27 CFR 478.21(a)
- Date Corrections to be Made:**
(If not corrected immediately)
- Corrective Action to be Taken:** Licensee will correct the omissions. The licensee shall ensure forms are complete and accurate when executing the firearm transaction.
(If not corrected immediately)
-
- Number:** 2
- Nature of Violation:**
 In instance, the licensee failed to record NICS or WI-DOJ BACKGROUND CHECK INFORMATION on Form 4473.
- Citation:** 27 CFR 478.124(c)(3)(iv)
- Date Corrections to be Made:**
(If not corrected immediately)
- Corrective Action to be Taken:** Licensee will correct this error. The licensee shall ensure Forms 4473 are complete and accurate before executing a firearms transaction.
(If not corrected immediately)
-
- Number:** 3
- Nature of Violation:**
 In instances, the licensee failed to record on Form 4473 the required FIREARM INFORMATION.
- Citation:** 27 CFR 478.124(c)(4)
- Date Corrections to be Made:**
(If not corrected immediately)
- Corrective Action to be Taken:** Licensee will correct the errors. The licensee shall ensure forms are complete and accurate before executing the transfer of a firearm.
(If not corrected immediately)

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 Michael's Mountain LLC	Street Address 1715 Barton Avenue	City West Bend	State WI	Zip Code 53090-	County Washington	Page 2 of 2 Pages
License/Permit/Registry Number <i>(If any)</i> 339131017K03658	Expiration Date 10/1/2017	Date(s) or Period of Inspection 04/05/2016 through 04/05/2017				

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:

In instances, the licensee failed to record completely or accurately the required FINAL TRANSFEROR INFORMATION on Form 4473.

Citation: 27 CFR 478.124(c)(5)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

Licensee will correct these errors. The licensee shall ensure forms are complete and accurate before the firearm transfer is executed.

Number: 5

Nature of Violation:

In instances, the licensee failed to PROPERLY RETAIN FORMS 4473 after transferring a firearm to an individual.

Citation: 27 CFR 478.129(b)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

The licensee will properly retain all completed and executed Forms 4473 as required after transferring a firearm to an individual.

Number: 6

Nature of Violation:

In instances the licensee failed to record required DISPOSITION INFORMATION IN THE ACQUISITION & DISPOSITION (A&D) RECORD as required.

Citation: 27 CFR 478.125(e)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

Licensee will correct the discovered omissions. The licensee shall ensure the A&D record is complete and accurate when firearms are received and after they are transferred.

I Have Received a Copy of This Report of Violations <i>(Proprietor's signature and title)</i>	Date
Signature and Title of ATF Officer	Date



U.S. Department of Justice

Bureau of Alcohol, Tobacco,
Firearms and Explosives

1000 N. Water Street, Suite 1400
Milwaukee, WI 53202

June 12, 2017

www.atf.gov

778025: (b)(6)
5373

WARNING LETTER

CERTIFIED MAIL - RETURN RECEIPT REQUESTED

**Michael's Mountain LLC
ATTN: Michael Sipin
1715 Barton Avenue
West Bend, WI 53090**

FFL # 3-39-03658

Dear Mr. Sipin:

During a recent compliance inspection conducted on April 05, 2017 – May 31, 2017, at your firearms business covering the period of April 05, 2016, through April 05, 2017, 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.

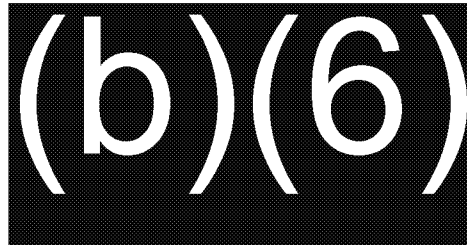
The records you are required to maintain and the business operations you conduct are important to law enforcement in our continuing effort to reduce violent crime and protect the public. It is essential that you comply with all Federal laws and regulations that govern your firearms business. This is 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.

Michael's Mountain LLC
3-39-03658

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.

Should you have any questions regarding this matter, please contact Industry Operations Investigator (b)(6) at (414)727-6200.

Sincerely yours,

A large black rectangular redaction box covering the signature area. Inside the box, the text "(b)(6)" is written in large, white, sans-serif font.

Area Supervisor
Milwaukee II Field Office

Enclosure

Cc: Federal Firearms Licensing Center
Milwaukee II Field Office

FIREARMS INSPECTION REPORT

Name: Michael's Mountain LLC
Trade Name: Woodland Iron & Firearms

UI#: 778025-2017-0187-B1B
FFL#: 3-39-131-01-7K-03658

Address: 1715 Barton Avenue
West Bend, WI 53090

1 - Introduction

Inspection Profile:

On 04/05/17, IOI (b)(6) initiated a compliance inspection being conducted of Federal Firearms Licensee (FFL) Michael's Mountain LLC (dba: Woodland Iron & Firearms) which has possessed an FFL type 01 – Dealer of Firearms since 2008. Inspection was concluded on 05/31/17 with a closing conference. The inspection period was from approximately 04/05/16 to 04/05/17. Identified and interviewed throughout this inspection and during the closing conference was LLC member and responsible person Michael Sipin. Part time employee (b)(6) (b)(6) who is also a record keeper, also assisted with inspection.

Business Profile:

This licensee's firearms business is a commercial retail storefront that sells new and used long guns and handguns, ammunition and firearm accessories. They also offer gunsmithing, internet transfers and special order services. The licensee does not attend gun shows within the state nor does he facilitate firearm raffles at sporting banquets.

Ownership and Control:

There has been no change to ownership or control of this business to report.

Variance:

There are no variances associated with this FFL.

2 - Recommendation

Violations, warning letter only, and recall inspection.

3 - Inspection History

There is no previous compliance inspection history for this license.

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

The A&D record is in the proper format, all the required information is accurate. A complete physical inventory was conducted of all firearms on the business premises. There were 93 firearms in inventory, and there were (b)(6) open entries in the A&D

FIREARMS INSPECTION REPORT

Name: Michael's Mountain LLC
Trade Name: Woodland Iron & Firearms

UI#: 778025-2017-0187-B1B
FFL#: 3-39-131-01-7K-03658

record, with [REDACTED] discrepancies discovered involving required dispositions that were not recorded in the time required. These violations are noted below and on the attached Report of Violations.

There were approximately (b)(4) [REDACTED] acquisitions and dispositions during the inspection period, which would have included mostly gunsmithing firearms.

5 - ATF Forms 4473 – NICS & Other Dispositions

The licensee had approximately [REDACTED] completed Forms 4473 on file for the inspection period. All forms on file were examined for errors and omissions. There were [REDACTED] forms that were discovered to have errors or omissions. These violations are noted below and on the attached Report of Violations.

A check of a sample of NICS transaction numbers (NTN) was made using a current FFL Audit Report, with no discrepancies found.

Forms 4473 with a “denied” or “cancelled” status are being retained.

There were [REDACTED] firearms discovered during inspection that could not be reconciled. The licensee submitted a Theft/Loss Report # [REDACTED] (see attached).

6 – Multiple Sales

There were [REDACTED] reported multiple sale of handguns for the period of inspection, with no multiple sales of handguns discovered to be unreported during inspection.

7 – Suspicious/Prohibited Purchasers

There were no suspicious or prohibited purchasers discovered during inspection. There were no computerized criminal history checks resulting in hits.

8 – Trace Activity

There were [REDACTED] firearm traces associated with the licensee during the inspection period. These traces had been completed by ATF Tracing Center to a purchaser using the records of the licensee. There were no unresolved traces associated with this licensee.

9 - NFA/Importer/Collector/Manufacturer

No activity

10 - Referrals

FIREARMS INSPECTION REPORT

Name: Michael's Mountain LLC
Trade Name: Woodland Iron & Firearms

UI#: 778025-2017-0187-B1B
FFL#: 3-39-131-01-7K-03658

No referrals.

11 - Other

Nothing to report.

12 - Closing Actions

On 05/31/17 a Report of Violations was issued and reviewed with the licensee. Also a review of the "Acknowledgement of Federal Firearms Regulations" checklist was conducted with Responsible Person Michael Sipin and sales employee and record keeper (b)(6). Discussion about the use of the practice of double checking for errors and omissions with a second person was important in reducing these discrepancies. All other questions posed by the licensee pertaining to the firearms business recordkeeping and conduct of business were answered. Milwaukee II Field Office contact information was also provided at this time.

13 - Violations

1. 27CFR478.21(a) Administrative - In [REDACTED] instances, the licensee failed to complete and record required information on Form 4473 as PRESCRIBED BY THE FORM at items 24, 30a, 31, 32, 33, and 35.

Response: The licensee did not know why these omissions and violations occurred in recording require information on Form 4473 other than he was careless. There was no system of double checking to prevent these omissions.

Corrective action: Licensee will correct the omissions. The licensee shall ensure forms are complete and accurate when executing the firearm transaction.

2. 27CFR478.124(c)(3)(iv) Records - In [REDACTED] instance, the licensee failed to record NICS or WI-DOJ BACKGROUND CHECK INFORMATION on Form 4473 in items 21a-c.

Response: The licensee did not know why this omission and violation occurred in recording require information on Form 4473 other than he was careless. There was no system of double checking to prevent this omission.

Corrective action: Licensee will correct this error. The licensee shall ensure Form 4473 are complete and accurate before executing a firearms transaction.

FIREARMS INSPECTION REPORT

Name: Michael's Mountain LLC
Trade Name: Woodland Iron & Firearms

UI#: 778025-2017-0187-B1B
FFL#: 3-39-131-01-7K-03658

3. 27CFR478.124(c)(4) Records - In [REDACTED] instances, the licensee failed to record on Form 4473 the required FIREARM INFORMATION found in items 26-30.

Response: The licensee did not know why these omissions and violations occurred in recording require information on Form 4473 other than he was careless. There was no system of double checking to prevent these omissions.

Corrective action: Licensee will correct the errors. The licensee shall ensure forms are complete and accurate before executing the transfer of a firearm.

4. 27CFR478.124(c)(5) Records - In [REDACTED] instances, the licensee failed to record completely or accurately the required FINAL TRANSFEROR INFORMATION on Form 4473 in items 34 and 36.

Response: The licensee did not know why these omissions and violations occurred in recording require information on Form 4473 other than he was careless. There was no system of double checking to prevent these omissions.

Corrective action: Licensee will correct these errors. The licensee shall ensure forms are complete and accurate before the firearm transfer is executed.

5. 27CFR478.129(b) Records - In [REDACTED] instances, the licensee failed to PROPERLY RETAIN FORMS 4473 after transferring a firearm to an individual.

Response: The licensee did not know why these forms were lost other than he was negligent. There was no system of double checking to assure proper retention of these forms.

Corrective action: The licensee did not know why these forms were lost other than he was negligent. There was no system of double checking to assure proper retention of these forms.

6. 27CFR478.125(e) Records - In [REDACTED] instances the licensee failed to record DISPOSITION INFORMATION IN THE ACQUISITION & DISPOSITION (A&D) RECORD, the record of the dispositions of the firearms as required.

Response: The licensee did not know why these omissions and violations occurred in recording require information in the A&D record other than he was careless. There was no system of double checking to prevent these omissions.

FIREARMS INSPECTION REPORT

Name: Michael's Mountain LLC
Trade Name: Woodland Iron & Firearms

UI#: 778025-2017-0187-B1B
FFL#: 3-39-131-01-7K-03658

Corrective action: Licensee will correct the discovered omissions. The licensee shall ensure the A&D record is complete and accurate when firearms are received and after they are transferred.

X

(b)(6)

Industry Operations Investigator

Index of Worksheets and Exhibits

1. Report of Violations
2. Worksheets
3. Forms 4473 with a sample of discrepancies
4. A&D pages with sample of discrepancies
5. Theft/Loss Report # [REDACTED]
6. Acknowledgement of Federal Firearms Regulations