Assignment and Report

1. OPERATING NAME AND A				2. U.I. NUMBER (•	SSIGNMENT NO., P.P.C.)			
(INCLUDE ZIP CODE AND MOCK & SONS ENTE	ŕ	INIC		3. PERMIT/LICEN	777070-2017 USE NUMBER 4a T	-0053-B1B ARGET DATE 4b. TARGET HOURS			
RON'S GUNS					572015028G00855 6/15/2017				
2917 OLD MIDEN RO BOSSIER CITY,LA 71				5. REQUESTED	BY (SIGNATURE, TITL	E AND DATE)			
6. ATF OFFICER(S) ASSIGN	FD								
(b)(6) - Ass	signed Inve d Investiga	•							
7. ASSIGNED BY (SIGNATU	RE, TITLE A	ND DATE)							
(b)(6) , Are	a Supervis	or, 10/06/2016							
8. PURPOSE/SPECIAL INST	RUCTIONS)							
9. INSPECTION RESULTS	CHE	CK IF NO VIOLA	TIONS ADJU	STMENTS FTC	10 TRAVELE	EXPENSES (OPTIONAL)			
NO. OF VIOLATIONS	5	NO. OF REFER			2111 - PER DI	······			
NO. OF TECS CHECKS	71	NO. OF TECS I	HITS		2112 - P.O.A.				
NO. OF TAX	NO. OF TAX \$ VALUE OF TAX INCREASES				2113 - COMM.	AIR			
ADJUSTMENTS		\$ VALUE OF TA	X DECREASE	ES .	2114 - RENTA	L CAR			
NO. OF ASSESSMENTS		\$ VALUE OF AS	SSESSMENTS		2115 - GPV E	XPENSES			
NO. OF CLAIMS		\$ VALUE OF CI			2116 - MISC.				
NO. OF TAX PERIODS		\$ VALUE OF TA	XES VERIFIE	D	TOTAL \$ FOR	INSP.			
11. ATF OFFICER'S RECOM Submitted by (b)(6) Submitted on: 06/20/20 Viols WL ONLY and	- Indus	try Operations	Investigator						
		·	40 TIME AC	COUNTING DATA					
ATF OFFICER'S NAME (MC		R, HOURS) (b)(6)	COUNTING DATA					
ATF OFFICER'S SUBTOTAL		32.00	ATF OFFICER	C'S SIGNATURE					
ATF OFFICER'S NAME (MC	NTH YEAR)(6)						
MAR 20		2.00	<u>,</u> (∪)						
MAY 20		92.00							
ATF OFFICER'S SUBTOTAL		94.00	ATF OFFICER	R'S SIGNATURE					
TOTAL HOURS		126.00							
			13. REVIE	W AND ROUTING					
REVIEW COMMENTS AND I									
⊠ RE	VIEWED	⊠ con	CUR 1	SEE COMMENTS	ズ FINAL DISPO	SITION			
SIGNATURE AND TITLE (b)(6) - Area Sup		MN	3.		REVIEW DATE	06/20/2017			

U.S. Department of Justice

Bureau of Alcohol, Tobacco, Firearms and Explosives

Assignment and Report

1. OPERATING NAME AND ADDRESS	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.)						
(INCLUDE ZIP CODE AND COUNTY)	///0/0-2017-0053-B1B						
MOCK & SONS ENTERPRISES INC	3. PERMIT/LICENSE NUMBER	777070-2017-0053-B1B RMIT/LICENSE NUMBER					
RON'S GUNS	572015028G00855	6/15/2017					
2917 OLD MIDEN ROAD SUITE C BOSSIER CITY,LA 71112, BOSSIER	5. REQUESTED BY (SIGNATURE, TITLE AND DATE)						
ROUTING SEQUENCE AND DATE							
☐ 1							
2	CONTROL FILE POSTED DATE						
3							
4							

Bureau of Alcohol, Tobacco, Firearms and Explosives

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 MOCK & SONS ENTERPRISES INC RON'S GUNS	Street Address NC 2917 OLD MIDEN ROAD 5		City BOSSIER CITY	State LA	Zip Code 71112-	County BOSSIER	Page 1 of 3 Pages
License/Permit/Registry Number (If any) 572015028G00855		Expiration Date 7/1/2018		Date(s) or Period of Inspection 05/08/2017 through 05/16/2017			

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:

The licensee failed to provide all information called for as indicated by the headings and instructions on ATF Form 4473.

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

Citation: 27 CFR 478.21(a)

Number: 2

Nature of Violation:

The licensee failed to obtain a qualifying State Permit in accordance with paragraph (d) of this section pertaining to exceptions to NICS cheek.

3) - 112 Public Law 55 125 Stat 552

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

(If not corrected immediately)

Corrective Action to be Taken: The licensee was instructed to provide all information called for as indicated by the headings on the ATF Form 4473.

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

Corrective Action to be Taken: (If not corrected immediately)

Investigator(b)(6) thoroughly went over U.S. Department of Justice Bureau of Alcohol, Tobacco, Firearms and Explosives April 3, 2015 Open Letter To All Federal Firearms Licensees with the licensee. IOI(b)(6) specifically explained to the licensee that if an unlicensed person presents a LA concealed handgun permit issued prior to March 9, 2015, the FFL must conduct a background check prior to transferring the firearm.

Bureau of Alcohol, Tobacco, Firearms and Explosives

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 MOCK & SONS ENTERPRISES INC RON'S GUNS Street Address 2917 OLD MID		AD SUITE C	City BOSSIER CITY	State LA	Zip Code 71112-	BOSSIER	Page 2 of 3 Pages
License/Permit/Registry Number (If any) 572015028G00855		Expiration Date 7/1/2018		Date(s) or Period of Inspection 05/08/2017 through 05/16/2017			

Inspection Results

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

Citation: 27 CFR 478.102(a)

Number: 3

Nature of Violation:

The licensee failed to obtain all required answers from the transferee prior to the transfer of a

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

Citation: 27 CFR 478.124(c)(1)

Number: 4

Nature of Violation:

The licensee failed to verify the identity of the transferce.

instances, Item #18a was blank. (ATF F 4473 2016 Edition)

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

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

Corrective Action to be Taken: (If not corrected immediately)

The licensee was instructed to obtain all required answers from the transferee prior to the transfer of a firearm. The licensee was also reminded by Investigator (b)(6) to never proceed with the transaction process with a "yes" answer in the prohibited persons section on the ATF 4473.

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

(If not corrected immediately)

Corrective Action to be Taken: The licensee was instructed to obtain and list on the ATF Form 4473 the identification information of the transferee.

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 MOCK & SONS ENTERPRISES INC RON'S GUNS	Street Address 2917 OLD MIDEN ROAD SUITE C		City BOSSIER CITY	5	State LA	Zip Code 71112-	County BOSSIER	Page 3 of 3 Pages
License/Permit/Registry Number (If any) 572015028G00855		Expiration Date 7/1/2018		Date(s) or Period of Inspection 05/08/2017 through 05/16/2017				

Inspection Results

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

Number: 5

Nature of Violation:

The licensee failed to record the information received from NICS on the ATF Form 4473.

- In instances, Item #21c was blank. (ATF F 4473 2012 Edition)
- In the land of t
- In DISTRICTION instances, Item #19c was blank. (ATF F 4473 2016 Edition)
- In Distriction instances, Item #19d was Blank. (ATF F 4473 2016 Edition)

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

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

Corrective Action to be Taken: (If not corrected immediately)

The licensee was instructed to record the information received from NICS on ATF Form 4473. Investigator (b)(6) also reminded the licensee that whenever a firearm is transferred after a "Delayed" response from NICS, the licensee is required to wait three (3) business days and mark the "No resolution was provided within 3 business days" box and have the transferee sign and date Section C of the ATF Form 4473.

1 Have Rec (b)(6)

(Proprietor's signature and title)

o Owner

Date

05-16-2

Signature and Title of ATF

(b)(6)

IOI

Date [

7-16-11



U.S. Department of Justice

Bureau of Alcohol, Tobacco, Firearms and Explosives 100 W. Capitol; Suite 1403 Jackson, MS 39269

www.atf.gov

June 20, 2017

777070: **(b)(6)**

WARNING LETTER

CERTIFIED MAIL - RETURN RECEIPT REQUESTED

Mock & Sons Enterprises, Inc. Ron's Guns Mr. Ronald Leon Mock & Mr. Eugene Arnold Mock 2917 Old Minden Road, Suite C Bossier City, LA 71112

Dear Mr. Ronald & Eugene Mock:

During a recent compliance inspection at your firearms business covering the period of May 8, 2016 through May 8, 2017, you were cited for violations of 27 Code of Federal Regulations, Part 478. The violations were discussed with you during the inspection. A copy of the Report of Violations, Form 5030.5, issued at the time of the inspection is enclosed.

All of the violations were fully explained to you by the Bureau of Alcohol Tobacco Firearms and Explosives (ATF) Investigator. You indicated that you understood the requirements of the firearms laws and regulations. You further indicated 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.

Mock & Sons Enterprises, Inc.

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, will be considered as willful and may result in the revocation of your license.

Please ensure that future compliance is achieved. Should you have any further questions regarding this matter, please contact (b)(6)

Sincerely Yours,

(b)(6) Area Supervisor

Enclosure

Cc: National Licensing Center Jackson II Field Office

 Name:
 Mock & Sons Enterprises Inc.
 UI#:
 777070-2017-0053-B1B

 Trade Name:
 Ron's Guns
 FFL#:
 5-72-015-02-8G-00855

Address: 2917 Old Minden Road, Suite C

Bossier City, LA 71112, Bossier Parish

1 - Introduction

Inspection Profile:

On May 8, 2017, Industry Operations Investigators (IOI's) (b)(6) and (b)(6) conducted a recall inspection on the business premises of Mock and Sons Enterprises Inc. d/b/a/ Ron's Guns. The inspection period was from May 8, 2016 to May 8, 2017. Mr. Ronald Leon Mock, Co-Owner/President (Louisiana Driver's License #(b)(6) Expiration Date: 12/14/18), and Mr. Eugene Arnold Mock, Co-Owner/Treasurer (Louisiana Driver's License #(b)(6) Expiration Date: 7/2/22), were positively identified by their valid Louisiana Driver's License, interviewed, and assisted during the inspection. Advanced notification was not given.

Business Profile:

Mock and Sons Enterprises Inc. d/b/a Ron's Guns operates as a pawnbroker selling retail new and used handguns and long guns. The business premises are located at 2917 Old Minden Road, Suite C in an urban/commercial area just south of I-20 in Bossier City, LA. During the past twelve (12) months, the licensee acquired (b)(3) - 112 Public Law 55 125 Stat 552) firearms and disposed of approximately (b)(3) - 112 Public Law 55 125 Stat 552 firearms. New guns are acquired primarily through (b)(3) - 112 Public Law 55 125 Stat 55.

Mock & Sons Enterprises Inc. has approximated. (b)(3) - 112 Public Law 55 125 Stat 552 Mock & Sons Enterprises Inc. has approximately percent handguns and long guns. The licensee does not conduct business at gun shows. The licensee does not conduct internet sales however, the business has a website www.rons-guns.com. The licensee is in compliance with, and has all necessary state, local licenses and zoning requirements. The licensee has held an FFL since June 3, 2003. The licensee has no off-site storage.

Ownership and Control:

According to the Louisiana Secretary of State website, Mock & Sons Enterprises Inc. is in good standings and listed as active. Mr. Ronald Leon Mock and Eugene Arnold Mock are both listed as Officers of the corporation. Mr. Ronald Mock and Mr. Eugene Mock are the only responsible persons listed in FLS. There has been no changes in ownership or control of the business and hidden ownership is not suspected.

Variance:

 Name:
 Mock & Sons Enterprises Inc.
 UI#:
 777070-2017-0053-B1B

 Trade Name:
 Ron's Guns
 FFL#:
 5-72-015-02-8G-00855

Mock & Sons Enterprises Inc. does not hold any variances, nor were any

variances requested.

2 - Recommendation

Violations with Warning Letter only and Recall Inspection.

3 - Inspection History

The licensee had one (1) inspection in the past five (5) years. The results of the last two (2) inspections are as follows:

Date of Inspection: September 10, 2015

Type of Inspection: Full Compliance DE Non-VCIT Inspection

UI#: 777070-2015-0166-B1B

Inspection Results: Violations with Warning Conference, Warning Letter, and

Recall.

Cited Violations: 27 CFR 124(c)(1)

The licensee failed to obtain all required answers from the transferee prior to the transfer of a firearm. winstances)

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

The licensee failed to identify the transferee. instance)

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

The licensee failed to record the information received from NICS on ATF Form 4473. instances)

27 CFR 478.124(c)(4)

The licensee failed to identify the firearm being transferred on ATF Form 4473. Sinstance)

27 CFR 478.126a

The licensee failed to report the Multiple Sale of handguns within the required time frame.

27 CFR 478.125(e)

The licensee failed to accurately maintain the Acquisition and Disposition Record.

Date of Inspection: August 13, 2009

Type of Inspection: Full Compliance DE Non-VCIT Inspection

Revised 5/15/14 Page 2 of 8

 Name:
 Mock & Sons Enterprises Inc.
 UI#:
 777070-2017-0053-B1B

 Trade Name:
 Ron's Guns
 FFL#:
 5-72-015-02-8G-00855

UI#: 777040-2009-0188-B1B

Inspection Results: Report of Violations with no Recall Inspection.

Cited Violations: 27 CFR 478.125(e)

The licensee failed to accurately maintain the Acquisition and

Disposition Record. instances)

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

The Acquisition and Disposition (A&D) record contained open dispositions. The physical inventory revealed nineteen hundred and seventy-six (1,976) firearms. The rest of the bound record contained all required information and was being maintained in the proper format. Entries appear to be made in a timely manner. There were no theft or losses to report during the inspection period or as a result of this inspection. No illegal firearms, or firearms with obliterated serial numbers, were discovered. No trafficking indicators were disclosed during the inspection. The licensee has five employees who are responsible for making entries into the A&D Record, which is entered upon receipt per the licensee's standard operating procedures. See Worksheet #1.

5 - ATF Forms 4473 - NICS & Other Dispositions

There were (b)(3) - 112 Public Law 55 125 Stat 552) ATF Forms 4473 on file for the past twelve (12) months. There were denied forms on file for the past twelve (12) months. Transfers to other licensees were being conducted properly. There were no sales to law enforcement officers. The FFL Audit Log contained three hundred and thirty-eight (338) NICS Transaction Numbers, which were confirmed for accuracy. A review of (b)(3) - 112 Public Law 55 125 Stat 552) forms on file revealed five (5) violations. See Section 13 Violations, Report of Violations #1-5, Exhibits #1-15, and Worksheet #2.

6 - Multiple Sales

According the Violent Crime Analysis Branch (VCAB), there were multiple handgun sales reports completed involving (b)(3) - 112 Public Law 55 125 Stat 552) handguns during the inspection period. There were no unreported multiple sales discovered during the inspection.

7 - Suspicious/Prohibited Purchasers

The Licensee conducted a transfer to an individual who answered "yes" on ATF Form 4473 questions 11b though 11f. The licensee also transferred a firearm to an individual with a Louisiana Concealed Carry Permit that was issued before March 9, 2015. A

 Name:
 Mock & Sons Enterprises Inc.
 UI#:
 777070-2017-0053-B1B

 Trade Name:
 Ron's Guns
 FFL#:
 5-72-015-02-8G-00855

NICS check was conducted on both of the transferees by IOI(b)(6) with no prohibited information being disclosed. See Section 13 Violations, Report of Violations #2 & 3 and Exhibits #3 & 15.

8 - Trace Activity

According to the Violent Crime Analysis Branch (VCAB) report for Mock & Sons Enterprises Inc., there were successful traces associated with the licensee in the past twelve (12) months. There were no unsuccessful traces. A secondary market analysis of sixty-eight (68) firearms was conducted resulting in zero (0) hits in Open Fox and E-Trace.

9 - NFA/Importer/Collector/Manufacturer

Mock and Sons Enterprises Inc. does not conduct NFA, Importing, Collecting, or Manufacturing activities.

10 - Referrals

No referrals were generated as a result of this inspection

11 - Other

Mock and Sons Enterprises Inc. did have an ATF I 5300.1 displayed in the business informing customers of youth handgun safety. Youth Handgun Safety Act Notice, ATF I 5300.2 was provided for all handgun sales.

Secure gun storage and safety devices were available to customers and all firearms in inventory were in a secure location at all times.

IOI(b)(6) conducted a NCIC check in Open Fox on the Responsible Persons with no prohibiting information being disclosed.

12 - Closing Actions

A closing conference was held with Mr. Ronald Leon Mock, Co-Owner/President and Mr. Eugene Arnold Mock, Co-Owner/Treasurer, on May 16, 2017. The firearms regulations were thoroughly reviewed utilizing the Acknowledgement of Federal Firearms Regulations (Exhibit #16). (b)(6) also went thoroughly through the Report of Violations (ROV) with Mr. Ronald Mock and Eugene Mock explaining the violations and corrective actions. Mr. Eugene Mock signed and dated both forms and was provided copies for his records. Any questions concerning ATF Federal firearms laws and regulations were answered by IOI(b)(6)

 Name:
 Mock & Sons Enterprises Inc.
 UI#:
 777070-2017-0053-B1B

 Trade Name:
 Ron's Guns
 FFL#:
 5-72-015-02-8G-00855

13 - Violations

1. **27 CFR 478.21(a)**

Nature of Violation:

The licensee failed to provide all required information as indicated by the headings and instructions on ATF Form 4473.

- In instance, item #24 was blank. (ATF F 4473 2012 Edition)
- In instance, item #25 was blank. (ATF F 4473 2012 Edition)
- In instance, item #16 was blank. (ATF F 4473 2016 Edition)

Licensee's Response:

The licensee stated the errors occurred due to oversights by employees.

Corrective Action:

The licensee was instructed to provide all information called for as indicated by the headings on the ATF Form 4473.

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

Nature of Violation:

The licensee failed to obtain a qualifying State Permit in accordance with paragraph (d) of this section pertaining to exceptions to NICS check.

- In instance, the licensee accepted a Louisiana Handgun Permit that was issued before March 9, 2015.

Licensee's Response:

The licensee stated they are aware of the Open Letter and the employee must have forgot the March 9, 2015 date when accepting the permit.

Corrective Action:

Investigator (b)(6) thoroughly went over U.S. Department of Justice Bureau of Alcohol, Tobacco, Firearms and Explosives April 3, 2015 Open Letter to All Federal Firearms Licensees with the licensee. IOI(b)(6) specifically explained to the licensee that if an unlicensed person presents a LA concealed handgun permit issued prior to March 9, 2015, the FFL must conduct a background check prior to transferring the firearm.

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

Revised 5/15/14

 Name:
 Mock & Sons Enterprises Inc.
 UI#:
 777070-2017-0053-B1B

 Trade Name:
 Ron's Guns
 FFL#:
 5-72-015-02-8G-00855

REPEAT VIOLATION CITED SEPTEMBER 10, 2015

Nature of Violation:

The licensee failed to obtain all required answers from the transferee prior to the transfer of a firearm.

- In instance, Item #2 was incorrect. (ATF F 4473 2012 Edition)
- In instance, Item #11b-f was incorrect. (ATF F 4473 2016 Edition)
- In instance, Item #11k was blank. (ATF F 4473 2012 Edition)

Licensee's Response:

The licensee said that the staff as a whole need to slow down and double check the ATF Form 4473 to verify completeness and accuracy from now on.

Corrective Action:

The licensee was instructed to obtain all required answers from the transferee prior to the transfer of a firearm. The licensee was also reminded by Investigator (b)(6) to never proceed with the transaction process with a "yes" answer in the prohibited persons section on the ATF 4473.

4. 27 CFR 478.124(c)(3)(i) REPEAT VIOLATION CITED SEPTEMBER 10, 2015

Nature of Violation:

The licensee failed to verify the identity of the transferee.

- In instances, Item #18a was blank. (ATF F 4473 2016 Edition)

Licensee's Response:

The licensee stated they must have forgotten to record the driver's license information on the ATF Form 4473.

Corrective Action:

The licensee was instructed to obtain and list on the ATF Form 4473 the identification information of the transferee.

5. 27 CFR 478.124(c)(3)(iv) REPEAT VIOLATION CITED SEPTEMBER 10, 2015

Nature of Violation:

The licensee failed to record the information received from NICS on the ATF Form 4473.

 Name:
 Mock & Sons Enterprises Inc.
 UI#:
 777070-2017-0053-B1B

 Trade Name:
 Ron's Guns
 FFL#:
 5-72-015-02-8G-00855

- In oxis-112-0486 LW 55 125 cate instances, Item #21c was blank. (ATF F 4473 2012 Edition)
 In instances, Item #21d was blank. (ATF F 4473 2012 Edition)
- In instances, Item #19c was blank. (ATF F 4473 2016 Edition)
- In stances, Item #19d was Blank. (ATF F 4473 2016 Edition)

Licensee's Response:

The licensee stated they definitely need to verify and follow up accordingly the NICS information on the ATF Form 4473 and that it is completed properly.

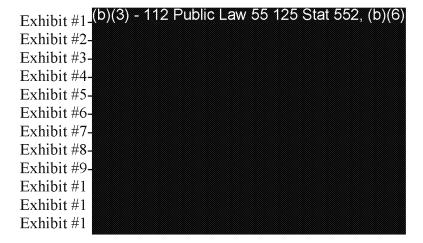
Corrective Action:

The licensee was instructed to record the information received from NICS on ATF Form 4473. Investigator (b)(6) also reminded the licensee that whenever a firearm is transferred after a "Delayed" response from NICS, the licensee is required to wait three (3) business days and mark the "No resolution was provided within 3 business days" box and have the transferee sign and date Section C of the ATF Form 4473.



Index of Worksheets and Exhibits

Worksheet #1- A&D Review Worksheet #2- ATF Forms 4473 Review



Revised 5/15/14

 Name:
 Mock & Sons Enterprises Inc.
 UI#:
 777070-2017-0053-B1B

 Trade Name:
 Ron's Guns
 FFL#:
 5-72-015-02-8G-00855

Exhibit #13-(b)(3) - 112 Public Law 55 125 Stat 552, (b)(6)

Exhibit #14-

Exhibit #15-

Exhibit #16- Acknowledgement of Federal Firearms Regulations