	<b>FEDERAL LICENSING SYSTEM</b>	<b>12-JUN-2013</b>
	<b>License Registration Report</b>	<b>Time</b> <b>15:15:55</b>

License Number: 6 06 003 01 RV 01035

Application ID: 1732239

**Special Attention Flags**

P RECALL INSPECTION RECOMMENDED

N WARNING CONFERENCE HELD

M WARNING LETTER SENT

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

<u>Application Type</u>	<u>Disposition</u>	<u>Status</u>
FORM 7	REVOKED	INACTIVE

<u>Add Date</u>	<u>Change Date</u>	<u>Original Issue Date</u>	<u>Expiration Date</u>	<u>Renewal Receive Date</u>	<u>Renewal Date</u>
08/01/2005	04/10/2013	10/05/2004	11/01/2013		10/05/2010

<u>Inspection Date</u>	<u>Business Type</u>	<u>Wholesale Indicator</u>	<u>Storage</u>
12/28/2009	S		

<u>Division</u>	<u>Area Office</u>
BOSTON	HARTFORD

<u>FIN</u>	<u>Licensee/Permittee</u>	<u>Business Name</u>
(b)(3) 26 USC 6103	LAGUERCIA, DAVID E	RIVERVIEW SALES

Voice Phone: (860)370-9939

Fax Phone: (860)254-5476

**Premises Address**

Street: 4 PROSPECT HILL RD  
City: EAST WINDSOR State: CT Zip Code: 06088  
County Code: 003 County Name: HARTFORD

**Mailing Address**

Street: 1100 RIVER RD  
City: AGAWAM State: MA Zip Code: 01001

**Responsible Person**

Status ACTIVE    SSN (b)(6)    Last Name LAGUERCIA    First Name DAVID    Middle Name ELLIOTT    Cadency

Title OWNER    INS Number    COGENT Number

Street

(b)(6)

City (b)(6)    State (b)(6)    Zip Code (b)(6)    Photo Recd Date 06/01/2004

Email Address

(b)(6)

Date of Birth (b)(6)    Phone Nbr (b)(6)    Birth State (b)(6)    State    State    State    State    Race (b)(6)    Sex    FBI Card Date (b)(6)

Country of Birth (b)(6)    Miscellan. Nbr    UPIN    Citizenship (b)(6)

Country of Citizenship (b)(6)    Non-Imgrnt Alien

Additional Citizenship 1

Additional Citizenship 2

Documentation Exception    90 Days Residency

CHC Clrnce Status CLEARED    CHC Clrnce Date 10/05/2010    NICS Clrnce Status PROCEED    NICS Clrnce Date 10/05/2010    NTN (b)(7)(E), (b)(3) (Public Law 11...)  
Relief Status    Relief Date

**Foreign Address Information**

Street

City    Country    Province    Postal Code

RP Comment Date: 08/19/2010    Creator: (b)(6)    Create Date: 08/19/2010 11:10 am

RP Comments

EMERG# (b)(6)

NTN History (b)(7)(E), (b)(3) (Public Law 11...)  
NICS Clrnce Status History PROCEED    Clrnce Date History 10/05/2010

**Comments**

<u>Text</u>	<u>Create Date</u>	<u>Create Userid</u>
AOR. ACHC HIT - TO (b)(3) (Public Law 112-55) TO PULL TECS DETAIL.	07/30/2004	(b)(3) (Public Law 112-55 125 Stat.552), (b)(6)
TECS CLEARED	09/28/2004	
RECD AO EMAIL DTD 9/28/04 REQUESTING ISSUANCE OF LICENSE. EMAIL REQUESTED CHANGE TO PREMISES ADDRESS ONLY. NEW ADDRESS IS 119 WALNUT ST AGAWAM, MA 01001.	10/05/2004	
(b) (7)(E)	08/27/2007	
SAF CODES OF "RECALL INSPECTION RECOMMENDED, WARNING CONFERENCE HELD AND WARNING LETTER SENT" ADDED PER PII (UI # 762055-2007-0208) DTD 3-31-08 FROM A/S (b)(3) (Public Law 112-55 125 Stat.552), (b)(6)	04/01/2008	
UI NUMBER: 762055-2009-0019 A/S (b)(3) (Public Law 112-55 125 Stat.552), (b)(6) A WARNING CONFERENCE WAS HELD IN THE HARTFORD, CT A/O ON 1/7/2010	01/29/2010	
PRESENT FROM ATF WERE (b)(3) (Public Law 112-55 125 Stat.552), (b)(6) (ACTING A/S), IOI (b)(3) (Public Law 112-55 125 Stat.552), (b)(6) AND IOI (b)(3) (Public Law 112-55 125 Stat.552), (b)(6) FOLLOW-UP LETTER WAS SENT TO FFL 1/29/2010 COMPLETED	01/29/2010	
(b) (7)(E)	08/19/2010	
LI10081603113 APPLIED TO THIS FFL \$0 POSTED TO PAYMENT SCREEN INSTEAD OF \$90 LI10X APPLIED TO PROCESS THE APPLICATION RP CLEARED ISSUED LICENSE FAXED THEN MAILED	08/19/2010	
UI NUMBER: 762055-2010-0230 AO/S (b)(3) (Public Law 112-55 125 Stat.552), (b)(6) SENT PII TO (b)(3) (Public Law 112-55 125 Stat.552), (b)(6) TO CHANGE IN FLS SYSTEM	10/05/2010	
PER 762055-2010-0230 DTD 4/5/2013, THE FFL WAS ISSUED AN IMMEDIATE REVOCATION NOTICE EFFECTIVE DECEMBER 20, 2012. MR. LAGUERICIA HAD 60 DAYS TO APPEAL THE REVOCATION NOTICE. THE 60 DAY PERIOD HAS PASSED, EFFECTIVE FEB. 18, 2013.	04/05/2013	
ALL AA DOCUMENTATION RCVD AND FWD TO MICROFILM.	04/10/2013	
	04/16/2013	

**Payments**

<u>Control Number</u>	<u>Expiration Code</u>	<u>Transaction Code</u>	<u>Transaction Amount</u>	<u>GLA Date</u>	<u>Check Number</u>
LI10XXXXXXXXXX	3L	AA			
LI10081603113	3L	AA	\$0	08/16/2010	001878
LI07081603526	0L	LF	\$90	08/16/2007	2131
LI07081603526	0L	AA	-\$90	08/16/2007	2131

**Out of Business Info**

**Payments**

<u>Control Number</u>	<u>Expiration Code</u>	<u>Transaction Code</u>	<u>Transaction Amount</u>	<u>GLA Date</u>	<u>Check Number</u>
-----------------------	------------------------	-------------------------	---------------------------	-----------------	---------------------

**Out of Business Info**

<u>OOB Disposition</u>	<u>Disposition Date</u>	<u>OOB Letter Date</u>	<u>Record Request Letter Date</u>
REVOKED	04/10/2013		

<u>Record Center File Number</u>	<u>Date Records Obtained</u>	<u>Date Business Acquired</u>	<u>Successor's RDS</u>
----------------------------------	------------------------------	-------------------------------	------------------------

<u>Condition</u>	<u>Volume</u>	<u>Successor's Name</u>
------------------	---------------	-------------------------

**Explosives Storage Info**

<u>Storage Type</u>	<u>Street</u>	<u>City</u>	<u>State</u>	<u>ZIP</u>
---------------------	---------------	-------------	--------------	------------

For Official Use Only

TARGET/TEEL

User ID: (b)(6)

00000000 00000000

License Number: 0 00 000 01 TL 00000

Licensee Name: LAGUERIA, DAVID E

REG: (b)(3) 26 USC 6103

Licensee Name: LAGUERIA, DAVID E

Business Name: RIVERVIEW SALES

00000000 00000000

Permanent Address

Street: 50 ENFIELD STREET BEAN

City: ENFIELD

State: CT

Zip Code: 06032

Mailing Address

Street: 1100 RIVER RD

City: ACAMIA

State: CT

Zip Code: 06032

Add Date  
09/01/2005

Change Date  
09/01/2005

Expiration Date  
11/01/2007

Inspection Date

Renewal Change Date

Renewal Date

TECS	
(b)(7)(E)	

COMMENTS/REMARKS

INDEX CODES

(b)(7)(E)

U.S. Department of Justice  
Bureau of Alcohol, Tobacco, Firearms and Explosives

### Application for an Amended Federal Firearms License

All entries must be in ink. Please read attached instructions carefully before commencing this form.

**Section I**

1. Name of Owner or Corporation (If partnership, include name of each partner) **DAVID E. LAVERCIA**      2. Social Security Number **(b)(6)**      3. Date of Birth **(b)(6)**

4. Trade or Business Name (If any) **REVENUE SALES**      5. Federal Firearms License Number (Include number and date)

6. Current Business Address (include county) **119 WALTON ST  
HARTFORD  
HARTFORD, MA 01102**      7. Home Address (include county) **60 BRIDGE ST REAR  
HARTFORD (COUNTY)  
HARTFORD, CT 06102**

8. **(b)(6)**      9. Home Mailing Address **SAME (b)(6)**

10. **(b)(6)**      11. **(b)(6)**

12. Present Telephone Number (with area code) **413-530-6220**      13. Home Telephone Number (with area code) **413-530-6220**  
Business      Residence

14. Name      15. License Number

16. Volume of Operation or Licensee's Estimated (with appropriate for Calendar)

Time	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Open			10	10	10	10	10
Close			7	7	7	7	4

17. Has the Licensee's Business Production Declined or Increased During These Months?  Increased     Declined

18. Are Any Other Businesses, Other Than That for Which the License Was Issued, Being Conducted on the Same Premises?  Yes     No      19. Licensee's Home Premises Are  Owned     Leased     Rented

20. If the New Premises Are Rented or Leased, Please Specify the Date the Lease or Rental Agreement Begins, the Date and Agreement Term Expires, the Terms of the Lease or Rental, and the Name, Address and Telephone Number of the Owner of the Property Address & Date of the Lease or Rental Agreement in This Application

1 YEAR SEP, 2005

**(b)(6)**

21. Indicate Type of Business Premises at the New Location:

Commercial

- Storefront
- Office
- Rod & Gun Club
- Military Base
- Other (Specify) \_\_\_\_\_

Residential

- Single/Family Dwelling
- Condominium
- Apartment
- Hotel/Motel
- Public Housing
- Other (Specify) \_\_\_\_\_

If the New Premises Are Located on a Military Installation, Attach a Written Authorization From the Base Commander to Conduct the Firearms Business on the Military Installation

22. If the New Premises Are Owned by the Applicant, Are There Any Restrictions or Covenants Which Prohibit the Owner from Operating a Business on the Premises? If Yes, on a Separate Sheet, Describe Such Restrictions or Covenants.

- Yes  No

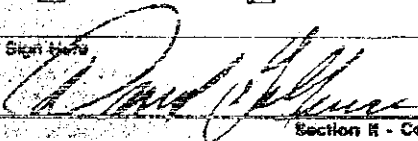
23. Do Any Zoning Ordinances Prohibit the Conduct of a Firearms Business on the New Premises?

- Yes  No

24. Is a License, Permit, or Payment of Occupational or Business Tax Required Under State or Local Law to Engage in a Firearms Business From the Premises? If So, Provide Copies.

- Yes  No

25. Sign Here



Title

OWNER

Date

7/26/05

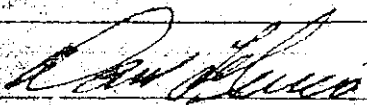
Section II - Certification of Compliance with State and Local Law

As Required By 18 U.S.C. 923(d)(1), I Certify That:

1. This business to be conducted under the Federal firearms license is not prohibited by State or local law at the premises indicated in question 5.
2. Within 30 days after the application is approved the business to be conducted at the location indicated in question 5 will comply with the requirements of State and local law applicable to the conduct of business.
3. Business will not be conducted under the amended license until the requirements of State and local law applicable to the business have been met.
4. Notification of this application has been provided to the chief law enforcement officer of the locality in which the premises indicated in question 5 are located by mailing copy 2 of this form to such officer.

26. Certification: Under the Penalties Imposed By 18 U.S.C. 924, I Declare That I Have Examined This Application and Its Documents Submitted in Support Hereof, and to the Best of My Knowledge and Belief, They are True, Correct and Complete.

Sign Here



Date

7/26/05

**TOWN OF ENFIELD - ZONING DEPARTMENT**  
Walter T. Bailey, Zoning Enforcement Officer  
Town of Enfield  
220 Enfield Street  
Enfield, CT 06033-2977  
(860) 253-6342

REVIEWED BY *WJB*  
7-26-05

**TOWN OF ENFIELD - OFFICE OF ECONOMIC DEVELOPMENT**  
Raymond L. Wilcox, Director of Economic Development  
Town of Enfield  
220 Enfield Street  
Enfield, CT 06033  
(860) 253-6347

**ZONING CERTIFICATE**

**STATE OF CONNECTICUT - DEPARTMENT OF REVENUE SERVICES**  
State of Connecticut  
Department of Revenue Services  
25 Signatory Street  
Hartford, CT 06105

**CENTRAL INFORMATION LINE (800) 277-5861**  
1-800-361-8461

**State Tax Information (800) 277-5861 or (860) 297-6000**  
All performing a service

Fee Forms	(860) 297-5861 from 3
Language Services Dept	(860) 297-5861 from 6
FAX	(860) 297-5862
Planning Information (TEOs)	(860) 297-6011

**CONNECTICUT ECONOMIC RESOURCE CENTER**  
Consumer service non-profit affiliate of the State of Connecticut Office of Economic and Community Development provides information to people starting new businesses, including possible "seed" money programs.  
Connecticut Economic Resource Center  
845 Broad Street Building 4  
Rocky Hill, CT 06067  
(860) 571-7126  
1-800-392-2122

**STATE OF CONNECTICUT - DEPARTMENT OF CONSUMER PROTECTION - CREC PATRONS LENDING**  
State of Connecticut  
Department of Consumer Protection  
Real Estate, Professional and Trades Division  
State Office Building  
845 Capital Avenue Room 61A  
Hartford, CT 06105  
(860) 366-1199

**NORTH CENTRAL CONNECTICUT CHAMBER OF COMMERCE - AT ENFIELD**  
North Central Connecticut Chamber of Commerce  
113 Elm Street

TOWN OF ENFIELD  
TOWN CLERK - CASH RECEIPT

RECORDING  CONVEYANCE  SUNDRY COPIES

VITAL COPIES  MARRIAGE LICENSE

00446

*TRAIL Home 5<sup>th</sup>*

DAY 1007 7/26/05

65.1000



TRADE NAME CERTIFICATE

(Ref. C.G.S. Sec. 315-1)

TO THE TOWN CLERK OF THE TOWN OF ENFIELD, CONNECTICUT

I am conducting and transacting business in said TOWN OF ENFIELD

under the full name of Riverview Sales

The Post Office Address is 90 Enfield St., Enfield, CT 06092

The full name of every person conducting or transacting said business, together with the post office address of each said person is as follows:

NAME David E. Laquerria P.O. ADDRESS 1100 River Rd., Agawan, MA 01001

NAME P.O. ADDRESS

NAME P.O. ADDRESS

NAME P.O. ADDRESS

Signature of David E. Laquerria with name printed below and three sets of initials to the right.

STATE OF CONNECTICUT )

COUNTY OF HARTFORD ) SS. TOWN OF ENFIELD

07-26-2005

(DATE)

PERSONALLY APPEARED David E. Laquerria

who subscribed and swore to the truth of the foregoing instrument, and acknowledged

that he (he or she) executed the same, before me,

Signature of Joyce Glass, Clerk of the Board, Ass't. Town Clerk

RECORDED IN ENFIELD LAND RECORDS 2005 JUL 26 AM 9:11

SUZANNE F. OLSENWANT

Connecticut Department of Public Safety  
Division of State Police  
SPB-567-C (Rev. 1/83)

**PERMIT TO SELL  
PISTOLS and REVOLVERS  
AT RETAIL**

Permission is hereby granted to

RIVERVIEW SALES

(Name of person, firm, or corporation)

90 ENFIELD STREET

(Business address)


ENFIELD, CT 06082

(City or Town)

to sell pistols and revolvers at retail at the above address in accordance with the provisions of Section 29-28 of the Connecticut General Statutes.

This permit is effective for five (5) years from the date hereof unless sooner revoked.

Dated at Enfield, CT this 26th day of July 2005

  
(Signature)  
Chief of Police  
(Title)

This permit is to be posted in the room where the weapons offered are exposed for sale.

Document \_\_\_\_\_

**EXEMPTION B(1)**

\_\_\_\_\_

**EXEMPTION B(2)**

\_\_\_\_\_

**EXEMPTION B(3)**

\_\_\_\_\_

**APPLICABLE STATUTE**

\_\_\_\_\_

**EXEMPTION B(4)**

\_\_\_\_\_ ✓

**EXEMPTION B(5)**

\_\_\_\_\_

**DELIBERATIVE PROCESS PRIVILEGE**

\_\_\_\_\_

**ATTORNEY WORK PRODUCT**

\_\_\_\_\_

**ATTORNEY CLIENT**

\_\_\_\_\_

**EXEMPTION B(6)**

\_\_\_\_\_

**EXEMPTION B(7)(C)**

\_\_\_\_\_

**EXEMPTION B(7)(E)**

\_\_\_\_\_

**DUPLICATE**

\_\_\_\_\_

**NON-RESPONSIVE**

\_\_\_\_\_

**STRING E-MAIL**

\_\_\_\_\_

**Located in Document** \_\_\_\_\_

(b) (4)

Document \_\_\_\_\_

EXEMPTION B(1)

\_\_\_\_\_

EXEMPTION B(2)

\_\_\_\_\_

EXEMPTION B(3)

\_\_\_\_\_

APPLICABLE STATUTE

\_\_\_\_\_

EXEMPTION B(4)

\_\_\_\_\_

EXEMPTION B(5)

\_\_\_\_\_

DELIBERATIVE PROCESS PRIVILEGE

\_\_\_\_\_

ATTORNEY WORK PRODUCT

\_\_\_\_\_

ATTORNEY CLIENT

\_\_\_\_\_

EXEMPTION B(6)

\_\_\_\_\_ ✓

EXEMPTION B(7)(C)

\_\_\_\_\_

EXEMPTION B(7)(E)

\_\_\_\_\_

DUPLICATE

\_\_\_\_\_

NON-RESPONSIVE

\_\_\_\_\_

STRING E-MAIL

\_\_\_\_\_

Located in Document \_\_\_\_\_

(b) (6)



DEPARTMENT OF THE TREASURY - BUREAU OF ALCOHOL, TOBACCO AND FIREARMS

LICENSE (18 U.S.C. Chapter 44)

In accordance with the provisions of Title I, Gun Control Act of 1968, and the regulations issued thereunder (27 CFR Part 178), you are licensed to engage in the business specified on the license within the limitations of Chapter 44, Title 18, United States Code, and the regulations issued thereunder, until the expiration date shown. See "WARNINGS" and "NOTICE" on reverse.

DIRECT ATF CORRESPONDENCE TO

CHIEF, NATIONAL FIREARMS CENTER  
ATF  
2655 CENTURIE DRIVE, BITE 100  
ATLANTA, GA 30303

NAME

RIVERVIEW SALES

TYPE OF LICENSE

OT DEALER IN FIREARMS OTHER THAN DESTRUCTIVE DEVICES

CHIEF, NATIONAL FIREARMS CENTER

PURCHASING CERTIFICATE

I certify that this is a true copy of a license issued to me to engage in the business of...

(SIGNATURE OF LICENSEE)

The licensee and holder shall use a reproduction of this license to make a transfer of firearms to verify the identity and the licensed status of the licensee as provided in 27 CFR Part 178. The signature on each reproduction must be an ORIGINAL signature.

ATF Form 8 (3/94) (Rev. 11/81) PREVIOUS EDITION IS OBSOLETE

*NOT RELEASED*



Massachusetts Department of Revenue  
Customer Service Bureau  
PO Box 7010  
Boston, MA 02204

ST-1

SALES AND USE TAX REGISTRATION

The vendor herein named is registered to sell tangible personal property at retail or for resale, pursuant to the General Laws, Chapters 62C, 64H and 64I. This registration is effective only for the register at the location specified herein. Any change of name or address must be reported to the Department of Revenue so that a correct ST-1 can be issued.

DAVID LAGUENCA  
RIVERVIEW SALES  
1100 RIVER RD  
AGAWAM

RA 01008

636-562-373

CERTIFICATION NUMBER

08069704

SALE DATE

ALAN LAGUENCA

This registration must be displayed for customers to see and is not assignable or transferable.

COMMISSIONER OF REVENUE

For Official Use Only

**TARGET SHEET**

(b)(6)

5/4/16/2007 09:24:03

License Number: 8 06 063 01 7L 01035


CIV: (b)(3) 26 USC 6103  
 Licensee Name: LAGUERCIA, DAVID E  
 Business Name: RIVERVIEW SALES


Physical Address

Street: 4 PROSPECT HILL RD  
 City: EAST WINDSOR State: CT Zip Code: 06088

Mailing Address

Street: 1100 RIVER RD  
 City: AGAWAM State: MA Zip Code: 01001

Add Date      Change Date      Expiration Date      Inspection Date      Renewal Reserve Date      Renewal Date  
 03/01/2005      04/18/2007      11/01/2007

TECS	
(b) (7)(E)	

COMMENTS/REMARKS \_\_\_\_\_

**INDEX CODES**

(b) (7)(E)



ATTN:

(b)(6)

FROM RIVERVIEW SALES

cell # (b)(6)

FAX 860-254-5476

U.S. Department of Justice  
Bureau of Alcohol, Tobacco, Firearms and Explosives

OMB No. 1140-0040 (09/30/2007)

Application for an Amended Federal  
Firearms License

All entries must be in ink. Please read attached instructions carefully before completing this form.

Section I

1. Name of Owner or Corporation (If Partnership, include name of each partner) <b>DAVID LAGUERDA</b>		(b)(6)		2. Title of Month (b)(6)	
3. Trade or Business Name (if any) <b>RIVERVIEW SALES</b>			5. Federal Firearms License Number (include expiration date) <b>6-06-003-01-7L-01035</b> <b>NEW</b>		
6a. Current Business Address (number and street) <b>90 ENFIELD ST.</b>			7a. New Business Address (number and street) <b>4 PERSPECT HILL RD</b>		
6b. City <b>ENFIELD</b>	6c. County <b>HARTFORD</b>	7b. City <b>EAST WINDSOR</b>	7c. County <b>HARTFORD</b>		
6d. State <b>CT</b>	6e. ZIP Code <b>06082</b>	7d. State <b>CT</b>	7e. ZIP Code <b>06033</b>		
8a. Current Mailing Address (number and street) (b)(6)			9a. New Mailing Address (number and street)		
8b. City (b)(6)	8c. County (b)(6)	9b. City	9c. County		
8d. State (b)(6)	8e. ZIP Code (b)(6)	9d. State	9e. ZIP Code		
10a. Current Home Address (number and street) (b)(6)			11a. New Home Address (number and street)		
10b. City (b)(6)	10c. County (b)(6)	11b. City	11c. County		
10d. State (b)(6)	10e. ZIP Code (b)(6)	11d. State	11e. ZIP Code		
12. Present Telephone Number (With area code) Business <b>860-265-2490 370-9939</b> Residence <b>(b)(6)</b>			13. New Telephone Number (With area code) Business Residence <b>(b)(6)</b>		
14. Name If Business Is Obtained From Someone Else, Give			15. License Number		
16. Name of Location of Licensee's Business (Not Available for Collectors)			17. Are the Licensee's Business Premises		

20. Indicate Type of Business Premises at the New Location:

Commercial

- Storefront
- Office
- Food & Drug Club
- Military Base
- Other (Specify)

Residential

- Single/Family Dwelling
- Condominium
- Apartment
- Hotel/Motel
- Public Housing
- Other (Specify)

21. Do the New Premises Are Located on a Military Installation. Attach a Written Authorization From the Base Commander to Conduct the Proposed Business on the Military Installation.

22. If the New Premises Are Owned By the Applicant, Are There Any Restrictions or Covenants Which Prohibit the Owner From Operating a Business on the Premises? If Yes, on a Separate Sheet, Describe Such Restrictions or Covenants.

Yes  No

23. Do Any Zoning Ordinances Prohibit the Conduct of a Financial Business on the New Premises?

Yes  No

24. Is a License, Permit, or Payment of Occupational or Successor Tax Required Under State or Local Law to Engage in a Financial Business From the Premises? If So, Provide Copy.

Yes  No

25. Sign Here

Title

Date

2/12/07

Section II - Certification of Compliance With State and Local Law

As Required by 16 U.S.C. 921(a)(1), I Certify That:

1. The business to be conducted under the Federal firearms license is not prohibited by State or local law at the premises indicated in question 3.
2. Within 30 days after the application is approved the business to be conducted at the location indicated in question 3 will comply with the requirements of State and local law applicable to the conduct of business.
3. Business will not be conducted under the awarded license until the requirements of State and local law applicable to the business have been met.
4. Notification of this application has been provided to the chief law enforcement officer of the facility in which the premises indicated in question 3 are located by mailing copy 2 of this form to such officer.

26. Certification: Under the Penalty Imposed by 18 U.S.C. 924, I Declare That I Have Examined This Application and the Documents Submitted in Support Hereof and to the Best of my Knowledge and Belief, They are True, Correct and Complete.

Sign Here

Date

2/12/07



DEPARTMENT OF THE TREASURY - BUREAU OF ALCOHOL, TOBACCO AND FIREARMS

LICENSE (19 U.S.C. Chapter 48)

In accordance with the provisions of Title I, Gun Control Act of 1968, and the regulations issued thereunder (27 CFR Part 178), you are licensed to engage in the business specified by this license, within the limitations of Chapter 48, Title 18, United States Code, and the conditions hereof, from the date of issuance until the expiration date shown. See "HANDLING" and "NOTICE" on reverse.

ISSUED AT  
CONVENIENCE OF  
TO

CHIEF, NATIONAL LICENSES SECTION  
ATF  
2000 CONVENT DRIVE, SW, RM 1100  
ATLANTA, GA 30334-0100

NAME

RIVERVIEW SALES

TYPE OF  
LICENSE

OT DEALER IN SMALL ARMS OTHER THAN CONSTRUCTIVE SERVICES

CLASS, EXTENSION,  
EXPIRES ON 1/1/10

FUNCTIONAL CLASSIFICATION

Licensee must file the true copy of this license with the local law enforcement agency in the jurisdiction in which the licensee is engaged in the business.

COMPLETION OF LICENSE

The licensee agrees to furnish to the Bureau a true and correct copy of this license to the local law enforcement agency in the jurisdiction in which the licensee is engaged in the business, as required by 27 CFR Part 178. The licensee agrees to provide a reproduction of this license to the Bureau upon request.

IF FORM 6 IS FILED WITH THIS PREVIOUS EDITION IS OBSOLETE

Department of Revenue Services  
State of Connecticut  
25 Seagram Street  
Hartford CT 06108-0032

Sales and Use  
Tax Permit



Use Only in This Location

The person named below is licensed under the Sales and Use Tax Act. The permit is good only for the named premises and at the location shown. If there is any change in ownership, the permit is null and void.

Date Issued	Expiration Date	Business Start Date	Department Tax Registration Number
08/02/2006	08/02/2010	08/02/2006	0000070-001

LARSENIA GAYE  
RIVERVIEW SALES  
50 BIRCHWOOD CT NEAR  
ENFIELD CT 06022-1500

LARSENIA GAYE  
RIVERVIEW SALES  
1108 RIVER RD  
AGAWAM MA 01027-5000

Pam Lind  
Commissioner of Revenue Services

This license may not be transferred or assigned.

APR 16 2007 07:06A FROM: RIVERVIEW SALES

860-255-2498

70:14044172751

P.3



**CONNECTICUT DEPARTMENT OF PUBLIC SAFETY**  
**Division of State Police**  
**Special Services & Training Unit**



**PERMIT TO SELL**

Document \_\_\_\_\_

**EXEMPTION B(1)**

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**EXEMPTION B(2)**

\_\_\_\_\_

**EXEMPTION B(3)**

\_\_\_\_\_

**APPLICABLE STATUTE**

\_\_\_\_\_

**EXEMPTION B(4)**

\_\_\_\_\_ ✓

**EXEMPTION B(5)**

\_\_\_\_\_

**DELIBERATIVE PROCESS PRIVILEGE**

\_\_\_\_\_

**ATTORNEY WORK PRODUCT**

\_\_\_\_\_

**ATTORNEY CLIENT**

\_\_\_\_\_

**EXEMPTION B(6)**

\_\_\_\_\_

**EXEMPTION B(7)(C)**

\_\_\_\_\_

**EXEMPTION B(7)(E)**

\_\_\_\_\_

**DUPLICATE**

\_\_\_\_\_

**NON-RESPONSIVE**

\_\_\_\_\_

**STRING E-MAIL**

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**Located in Document** \_\_\_\_\_

(b) (4)

(b) (4)



### TARGET SHEET

04/23/2007 08:35:26

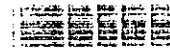
License Number: 6 08 003 01 7L 01035



EIN (b)(3) 26 USC 6103

Licensee Name: LAGUERCIA, DAVID E

Business Name: RIVERVIEW SALES



Promises Address

Street: 4 PROSPECT HILL RD

City: EAST WINDSOR

State: CT

Zip Code: 06088

Mailing Address

Street: 1100 RIVER RD

City: AGAWAM

State: MA

Zip Code: 01001

Add Date  
08/01/2005

Change Date  
04/16/2007

Expiration Date  
11 01 2007

Inspection Date

Renewal Receive Date Renewal Date

TECS	
(b) (7)(E)	

COMMENTS/REMARKS \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

#### INDEX CODES

(b) (7)(E)

U.S. Department of Justice  
Bureau of Alcohol, Tobacco, Firearms and Explosives

(FAR) No. 1140-0640 (09-30-2007)

Application for an Amended Federal  
Firearms License

All entries must be in ink. Please read attached instructions carefully before completing this form.

Section 1

1. Name of Owner or Corporation (If Partnership, include name of each partner): **DAVID LAGUEBIA** (b)(6) (b)(6)

2. Trade or Business Name (If any): **RIVERVIEW SALES**

3. Federal Firearms License Number (include expiration date): **6-06-003-01-74-01035 NOV 07**

4. Current Business Address (number and street): **90 ENFIELD ST.**

5. New Business Address (number and street): **4 PROSPECT HILL RD**

6a. City: **ENFIELD** 6b. County: **HARTFORD** 7a. City: **EAST LANSING** 7b. County: **HARTFORD**

8a. State: **CT** 8b. ZIP Code: **06083** 9a. State: **CT** 9b. ZIP Code: **06088**

10. (b)(6)

11. (b)(6)

12. Present Telephone Number (number and area code):  
Business: **860-265-2440 370-7757**  
Residence: **(b)(6)**

13. New Telephone Number (number and area code):  
Business: **(b)(6)**  
Residence: **(b)(6)**

If Business Is Obtained From Someone Else, give:

14. Name \_\_\_\_\_ 15. License Number \_\_\_\_\_

Time	16. Hours of Operation of Licensee's Business (Use appropriate time zone)							17. Are the Licensee's Business Premises Open to the General Public During These Hours?
	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	
Open	—	10	10	10	10	10	9	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Close	—	7	7	7	7	6	3	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

18. Will Any Other Business, Other Than That for Which the License Was Issued, Be Conducted on the New Premises?  
Yes  No

19. Licensee's New Premises Are:  
Owned  Leased  Rented

20. If the New Premises Are Rented or Leased, Please Specify the Date the Lease or Rental Agreement Begins, the Date the Agreement Terminates, the Term of the Lease or Rental, and the Name, Address, and Telephone Number of the Owner of the Property. Attach a copy of the Lease or Rental Agreement to This Application.

3/1/07 - 2440

(b)(6)

21. Indicate Type of Business Premises at the New Location

Commercial

- Storefront
- Office
- Retail/Convenience
- Military Base
- Other (Specify)

Residential

- Single Family Dwelling
- Condominium
- Apartment
- Hotel/Motel
- Public Housing
- Other (Specify)

If the New Premises Are Located on a Military Installation, Attach a Written Authorization from the Base Commander for Conducting the Business on the Military Installation

22. If the New Premises Are Owned By the Applicant, Are There Any Restrictions or Easements Which Prohibit the Applicant from Operating a Business on the Premises? If Yes, on a Separate Sheet, Describe Such Restrictions or Easements.

Yes  No

23. Do Any Zoning Ordinances Prohibit the Location of a Firearms Business on the New Premises?

Yes  No

24. Have Any Restrictions or Easements Which Prohibit the Applicant from Operating a Business on the Premises? If So, Provide Copies of Such Documents.

Yes  No

25. Sign Here

Title

Date

*[Signature]*

*owner*

*2/12/07*

Section II - Certification of Compliance With State and Local Law

As Required By 18 F.S.C. 923(d)(1), I Certify That:

1. The business to be conducted under the Federal firearms license is not prohibited by State or local law at the premises indicated in question 5.
2. Within 30 days after the application is approved the business to be conducted at the location indicated in question 5 will comply with the requirements of State and local law applicable to the conduct of business.
3. Business will not be conducted under the amended license until the requirements of State and local law applicable to the business have been met.
4. Notification of this application has been provided to the chief law enforcement officer of the locality in which the premises indicated in question 5 are located by mailing copy 2 of this form to such officer.

26. Certification: Under the Penalties Imposed by 18 F.S.C. 924, I Declare That I Have Examined This Application and the Documents Submitted in Support Hereof and to the Best of My Knowledge and Belief, They are True, Correct and Complete.

Sign Here

Date

*[Signature]*

*2/12/07*

NLC  
2600 Century Parkway NE  
Suite 110  
Atlanta, GA 30345

Document \_\_\_\_\_

**EXEMPTION B(1)**

\_\_\_\_\_

**EXEMPTION B(2)**

\_\_\_\_\_

**EXEMPTION B(3)**

\_\_\_\_\_

**APPLICABLE STATUTE**

\_\_\_\_\_

**EXEMPTION B(4)**

\_\_\_\_\_ ✓

**EXEMPTION B(5)**

\_\_\_\_\_

**DELIBERATIVE PROCESS PRIVILEGE**

\_\_\_\_\_

**ATTORNEY WORK PRODUCT**

\_\_\_\_\_

**ATTORNEY CLIENT**

\_\_\_\_\_

**EXEMPTION B(6)**

\_\_\_\_\_

**EXEMPTION B(7)(C)**

\_\_\_\_\_

**EXEMPTION B(7)(E)**

\_\_\_\_\_

**DUPLICATE**

\_\_\_\_\_

**NON-RESPONSIVE**

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**STRING E-MAIL**

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**Located in Document** \_\_\_\_\_

(b) (4)

(b) (4)



DEPARTMENT OF THE TREASURY - BUREAU OF ALCOHOL, TOBACCO AND FIREARMS

LICENSE (18 U.S.C. Chapter 44)

In accordance with the provisions of Title I, Gun Control Act of 1968, and the regulations issued thereunder (27 CFR Part 178), you are licensed to engage in the business specified in this license, within the limitations of Chapter 44, Title 18, United States Code, and the regulations issued thereunder, until the expiration date shown. See "WARNING" and "NOTICE" on reverse.

OFFICE OF THE DIRECTOR  
NATIONAL FIREARMS CENTER  
2700 CENTURY PLACE, SUITE 116  
ATLANTA, GA 30304

ISSUE DATE: [REDACTED]

EXPIRATION DATE: [REDACTED]

NAME: RIVERVIEW SALES

ADDRESS: 90 ENFIELD STREET REAR  
ENFIELD, CT 06082

TYPE OF LICENSE: 01-DEALER IN FIREARMS OTHER THAN DESTRUCTIVE DEVICES

CLASSIFICATION OF LICENSEE: [REDACTED]

(SIGNATURE OF LICENSEE)

I certify that this is a true copy of the license issued to me to engage in the business of [REDACTED]

LAQUERIA DAVE  
RIVERVIEW SALES  
1100 RIVER RD  
AGAWAM, MA 01001

The licensee named herein shall use a reproduction of this license to assist a transferee of firearms to verify the identity and the licensed status of the licensee as provided in 27 CFR Part 178. The signature on each reproduction must be an ORIGINAL signature.

\* IF FORM 6 (0310-11) (0911) PREVIOUS EDITION IS OBSOLETE

Department of Revenue Services  
State of Connecticut  
25 Sigourney Street  
Hartford CT 06108-5032

Rev. 12/03

Use Only at This Location

LAQUERIA DAVE  
RIVERVIEW SALES  
90 ENFIELD ST REAR  
ENFIELD CT 06082-1923

Pam Law  
Commissioner of Revenue Services

This license may not be transferred or assigned.

License Number: 591631

Sales and Use Tax Permit

Date Issued	Expiration Date	Business Start Date	Connecticut Tax Registration Number
08/09/2005	08/31/2010	08/01/2005	6020373-001

LAQUERIA DAVE  
RIVERVIEW SALES  
1100 RIVER RD  
AGAWAM MA 01001-2689

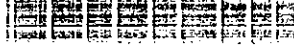


For Official Use Only

**TARGET SHEET**

08/27/2007 08:43:43

License Number: 6 06 003 01 7L 01035



EIN: (b)(3) 26 USC 6103

Licensee Name: LAGUERDIA, DAVID J

Business Name: RIVERVIEW SALES



Premises Address

Street: 4 PROSPECT HILL RD

City: EAST WINDSOR

State: CT

Zip Code: 06088

Mailing Address

Street: 1100 RIVER RD

City: AGAWAM

State: MA

Zip Code: 01001

Add Date

08/01/2005

Change Date

08/27/2007

Expiration Date

11/01/2007

Inspection Date

Renewal Receive Date

08/16/2007

Renewal Date



(b) (7)(E)

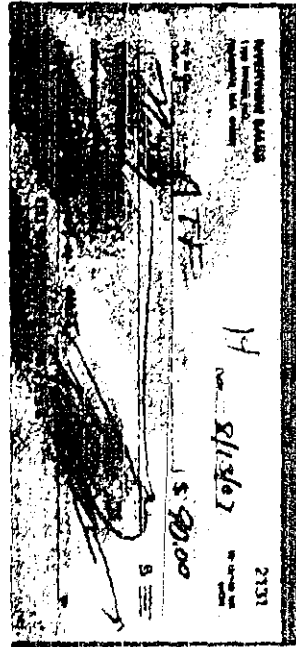
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COMMENTS/REMARKS

INDEX CODES

(b) (7)(E)

Bank of America  
P.O. Box 00978  
Atlanta, Georgia 30384  
Lockbox Services Atlanta Government  
(770) 774-6444



Bureau of Medical Address Examinations - CIVIL SERVICE - 1001 H... S... 2001

DEPARTMENT OF THE TREASURY  
BUREAU OF ALCOHOL, TOBACCO AND FIREARMS

CERTIFICATION OF COMPLIANCE WITH 18 U.S.C. §22(g)(5)(B)  
NOTE: THE PERSON CERTIFYING TO CITIZENSHIP MUST COMPLETE THIS FORM  
(All entries must be in ink, printed in CAPITAL LETTERS, and legible)

CERTIFICATION

You **MUST** complete this certification or ATF will **NOT** be able to act upon your application and the application will be returned to you. 18 U.S.C. 922 (g)(5)(B) generally makes it unlawful for any nonimmigrant alien to ship or transport in interstate or foreign commerce, or possess in or affecting commerce, any firearms or ammunition; or to receive any firearm or ammunition which has been shipped or transported in interstate or foreign commerce.

A nonimmigrant alien is an alien in the United States in a nonimmigrant classification. The definition includes, in large part, persons traveling temporarily in the United States for business or pleasure, persons studying in the United States who maintain a residence abroad, and certain foreign workers. The definition does NOT include permanent resident aliens.

- 1. NAME under which the application was filed: LAGUERICIA DAVID E  
Last Name First Name Middle Initial or Name of Corporation Partnership or Association if applicable
- 2. Name of person CERTIFYING TO citizenship: LAGUERICIA DAVID E  
Last Name First Name Middle Initial

\*If applying for a Federal Firearms License (FFL), ALL listed responsible persons **MUST** complete this CERTIFICATION

- 3. What is your COUNTRY of citizenship? UNITED STATES  
country name (list additional countries below if applicable)

If you are a citizen of the UNITED STATES, skip to question 7.

- 4. Immigration and Naturalization Service (INS) issued alien number or admission number: \_\_\_\_\_
- 5. Are you a NONIMMIGRANT alien? Answer "YES" or "NO": NO

If you answered "NO", skip to question 7.

DEPARTMENT OF THE TREASURY  
BUREAU OF ALCOHOL, TOBACCO AND FIREARMS  
CERTIFICATION OF COMPLIANCE WITH 18 U.S.C. 922(G)(5)(B)  
NOTE: THE PERSON CERTIFYING TO CITIZENSHIP MUST COMPLETE THIS FORM  
(All entries must be in ink, printed in CAPITAL LETTERS and legible)

CERTIFICATION - CONTINUED

6. If you answered "YES" to question 5, you MUST answer the following questions:

- a. Are you in possession of a valid hunting license or permit lawfully issued in the United States? Answer "YES" or "NO": YES  
If you answered "YES", complete the following:  
Hunting license/permit number, if any: 1042493 State of issuance: MA Expiration date, if any: 08
- b. Are you an official representative of a foreign government who is accredited to the United States Government or your Government's mission to an international organization having its headquarters in the United States? Answer "YES" or "NO": NO
- c. Are you an official of a foreign government or a distinguished foreign visitor who has been so designated by the United States Department of State? Answer "YES" or "NO": NO
- d. Have you received a waiver from the nonimmigrant alien prohibition from the Attorney General of the United States? Answer "YES" or "NO": NO

\*IF YOU ANSWERED "YES" TO QUESTION 6a. OR 6d., YOU MUST SUBMIT APPROPRIATE DOCUMENTATION IN SUPPORT OF YOUR "YES" ANSWER.

7. Under penalties imposed by 18 U.S.C. 924, I certify that the statements contained in this CERTIFICATION OF COMPLIANCE WITH 18 U.S.C. 922 (g)(5)(B) form, and any attached statement in support thereof, are true and correct to the best of my knowledge and belief.

SIGNATURE OF INDIVIDUAL WHO IS IDENTIFIED IN QUESTION 2: [Signature]  
ATF F 5300 20 (3-2002)

DATE: 8/19/07

PAPERWORK REDUCTION ACT NOTICE

This request is in accordance with the Paperwork Reduction Act of 1995. The information collection is used to determine whether the operations will be in conformity with Federal laws and regulations. The information requested is required to obtain or retain a benefit and is mandatory by statute (26 U.S.C. 5172). The estimated average burden associated with this collection of information 3 minutes per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be addressed to Reports Management Officer, Document Services Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, DC 20226. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

FFL No.: **8-08-003-01-7L-01035**

FFL Type: **01-DEALER IN FIREARMS OTHER THAN DESTRUCTIVE DEVICES**

Renewal application DUE PRIOR TO: **November 1, 2007**

RENEWAL FEE DUE: **\$90.00**

CHECK OR MONEY ORDER  
AMOUNT ENCLOSED \$ **90.00**  
(made payable to ATF)

AMOUNT AUTHORIZED TO BE CHARGED  
TO THE CREDITABLE CARD: \$ \_\_\_\_\_

MAIL APPLICATION & PAYMENT TO:  
ATF

P.O. Box 489567  
Atlanta, GA 30384-9567

I am requesting that a Letter of Authorization (LOA) be sent to me so I  
may continue the business operations authorized by my license until my  
renewal application is processed and approved.

Method of Payment (check one):

Check if enclosed:  Cashier's Check or Money Order (if used)  
 Visa  MasterCard  American Express  Discover  Other ( )

Credit Debit Card Number

Expiration Date

Name as it appears on the credit/debit card

Credit Debit Card Billing Address

Signature of Applicant

Your credit/debit card will be charged by phone stated and are upon receipt of your application and a charging  
transaction receipt will be reflected on a statement. In the event a license renewal is  
NOT issued, the above amount will be credited to the credit/debit card noted above.

**NOT RENEWING?**

1. Return this application and your firearms records  
within 30 days of discontinuance of your business to:

ATF Out-of-Business Records Center  
244 Needy Road  
Martinsburg, WV 25491  
(800)758-7133, x204

2. Check the box below and sign & date on the line provided.

I am NOT renewing my license and will submit my records to ATF.  
I understand I may NOT engage in the business or operations  
authorized by my license on or after the expiration date of the license.

Signature

Date

A. CURRENT FFL Information

**LAGUERCIA, DAVID E**

Licensee Name (Last, First, Middle Initial)

**RIVERVIEW SALES**

Trade or Business Name

PHYSICAL Address: **4 PROSPECT HILL RD  
EAST WINDSOR, CT 06088**

MAILING Address

**1100 RIVER RD  
AGAWAM, MA 01001**

Telephone Number (business)

**860-370-9939**

Telephone Number (fax)

**860-254-5476**

24-hour Emergency Telephone Number **(b)(6)**

E-mail Address **(b)(6)**

\* Listing your trade or business name with ATF is no way reflects state or federal law. You MUST comply  
with Federal, State, and local laws regarding trade or business name registration.

Check here for a change to your current FFL information AND complete the  
appropriate box below with the updated information

NEW Trade or Business Name

NEW Physical Address

NEW Mailing Address

NEW Telephone Number (business)

NEW Telephone Number (fax)

24-hour Emergency Telephone Number

E-mail Address

B. HOURS OF OPERATION. Please indicate AM for morning hours and PM for afternoon/evening hours when stating your business hours.

NOTE: You do NOT have to list hours of operation if you are a Collector or Curator. If this applies to you, please check the appropriate box below.

Collector of Curator or Relics  Collector/Relics ONLY

TIME	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Open		9	9	9	9	9	9
Close		7	7	7	7	6	3
	<input checked="" type="checkbox"/> Closed All day NO business hours	<input type="checkbox"/> Closed All day NO business hours	<input type="checkbox"/> Closed All day NO business hours	<input type="checkbox"/> Closed All day NO business hours	<input type="checkbox"/> Closed All day NO business hours	<input type="checkbox"/> Closed All day NO business hours	<input type="checkbox"/> Closed All day NO business hours

WARNING: You may NOT continue the operations authorized by your Federal firearms license (FFL) on or after the expiration date of your license UNLESS you  
have filed this renewal application PRIOR TO **November 1, 2007**. There are criminal penalties for continuing your firearms business or  
collector activities without renewing your license.

FFL No.: **6-06-003-01-7L-01035**

FFL License Name: **LAGUERCIA, DAVID E**

FFL Type: **RETAILER IN PURSUANCE OF OTHER THAN DESTROYING**

Premises Address: **4 PROSPECT HILL RD**

Expiration Date: **November 1, 2007**

**EAST WINDSOR, CT 06026**

**RENEWAL APPLICATION QUESTIONNAIRE**

**C. Answer questions 1 - 7 by writing "yes" or "no" in the boxes to the right of the questions.**

	<small>write "yes" or "no"</small>
1. Is the firearms or ammunition activity to be conducted under the Federal firearms license (FFL) at the "premises address" shown above and on the front of this renewal application prohibited by State or local law?	YES
2. Within thirty days after this application has been approved, will the firearms or ammunition activity comply with the requirements of State and local law applicable to the conduct of the firearms or ammunition business or collection of curios or relics?	YES
3. Will the requirements of State and local law that are applicable to the firearms or ammunition activity or collection of curios or relics, be met prior to the start of the business or collection activity?	YES
4. Has a completed COPY of this renewal application form (front & back) been sent or delivered to the Chief Law Enforcement Officer (CLEO) of the locality in which the premises are located? <small>Date sent: 8/13/07 CLEO's Name &amp; Title: (b)(6) CLEO</small>	YES
5. As required by 18 U.S.C. 923, will secure gun storage or safety devices be made available at any place in which firearms are sold under the Federal firearms license (FFL) to persons who are NOT licensees. Write "n/a" if you are a collector of curios or relics or a Manufacturer of Ammunition.	YES
6. As required by 18 U.S.C. 922(g)(5)(H), A FE Form 5330-20 - CERTIFICATION OF COMPLIANCE WITH 18 U.S.C. 922(g)(5)(H) has been submitted for EACH responsible person in the firearms or ammunition business or collection activities. (The form is a certification of citizenship.)	YES
7. If you are a firearms dealer, pawnbroker, manufacturer, importer, or collector of curios or relics: a. How many firearms have you bought or acquired with your firearms license over the past 3 years? If none, enter "0". <small>(b)(6) (Public Law 112-55 125)</small> b. How many firearms have you sold or disposed of with your firearms license over the past 3 years? If none, enter "0". <small>(b)(6) (Public Law 112-55 125)</small>	<b>MAILING ADDRESS</b>

**D. The following questions apply to YOU and to any other person who has the power to direct the management and policies of your firearms activities. Answer questions 8 - 18 by writing "yes" or "no" in the boxes to the right of the questions.**

8. Are you under indictment or information in any court for a crime for which a judge could imprison you for more than one year? An "information" is a formal accusation of a crime made by a prosecuting attorney.	NO
9. Have you ever been convicted in any court of a crime for which the judge could have imprisoned you for more than one year, even if the judge actually gave you a shorter sentence?	NO
10. Are you presently appealing a conviction of a crime punishable by imprisonment for a term exceeding one year?	NO
11. Are you a fugitive from justice?	NO
12. Are you an unlawful user of, addicted to, habitual, or any depressant, stimulant, or narcotic drug, or any other controlled substance?	NO
13. Have you ever been adjudicated mentally defective or have you been committed to a mental institution?	NO
14. Have you been discharged from the Armed Forces under dishonorable conditions?	NO
15. Are you an alien illegally in the United States?	NO
16. Have you ever renounced your United States citizenship?	NO
17. Are you subject to a court order restraining you from harassing, stalking, or threatening an intimate partner or child of such partner?	NO
18. Have you been convicted in any court of a misdemeanor of domestic violence? This includes any misdemeanor conviction involving the use or attempted use of physical force committed by a current or former spouse, parent, or guardian of the victim or by a person with a similar relationship with the victim.	NO

**Under penalty imposed by 18 U.S.C. 924, I certify that the statements contained in this renewal application, and any attached statements, are true and correct to the best of my knowledge and belief.**

Signature: DAVID E. LAGUERCIA Title: OWNER Date: 8/13/07 Telephone no.: 860-370-9939

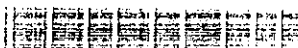
**PRINTED NAME** of signature above: **DAVID E. LAGUERCIA**  
**PAPERWORK REDUCTION ACT NOTICE**  
This information collection is required to obtain a benefit and is mandatory by statute (18 U.S.C. 923).  
The information requested is required to obtain a benefit and is mandatory by statute (18 U.S.C. 923).  
The information requested in this collection is 25 minutes per respondent, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing the burden should be directed to the Bureau of Firearms, Department of Justice, Bureau of Alcohol, Tobacco, Firearms and Explosives, Washington, DC 20520.  
This collection of information is not subject to public release, and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number.

For Official Use Only

### TARGET SHEET

04/14/2008 11:07:54

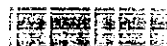
License Number: 6 06 003 01 0L 01035



EIN: (b)(3) 26 USC 6103

Licensee Name: LAGUERCIA, DAVID E

Business Name: RIVERVIEW SALES



Premises Address

Street: 4 PROSPECT HILL RD

City: EAST WINDSOR

State: CT

Zip Code: 06088

Mailing Address

Street: 1100 RIVER RD

City: AGAWAM

State: MA

Zip Code: 01001

Add Date  
08/01/2005

Change Date  
04/01/2008

Expiration Date  
11/01/2010

Inspection Date

Renewal Receive Date

Renewal Date  
08/28/2007

TECS

(b) (7)(E)


COMMENTS/REMARKS

### INDEX CODES

(b) (7)(E)



U.S. Department of Justice

Bureau of Alcohol, Tobacco,  
Firearms and Explosives

*Boston Field Division*

Boston, Massachusetts 02272  
March 6, 2008  
[www.atf.gov](http://www.atf.gov)

762034 (b)(6)

Riverview Sales  
4 Prospect Hill Rd. (RT)  
East Windsor, CT 06088  
Attn: David LaGuercia

FFL # 6-06-003-01-0L-01035

Dear Mr. LaGuercia:

This is in response to your letter dated February 13, 2008 addressed to the Boston Field Division of the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF). In your letter, you request a variance from the recordkeeping requirements of 27 CFR 478.125 in order to utilize computerized acquisition and disposition (A/D) records in lieu of handwritten records.

After evaluating your request, we have determined that your request is approved subject to the following conditions:

- a. Your system must meet the regulatory requirements for recording pertinent information (27 CFR 478.125).
- b. The system must allow queries by serial number, acquisition date, and name of the manufacturer. Commonly recognized trade names may be used when denoting manufacturer/importer.
- c. The system must have an acceptable daily backup for all databases.
- d. The system must provide periodic printouts of all records:
  - (1) at least semiannually,
  - (2) upon request of an ATF officer,
  - (3) when the database is purged, and
  - (4) when the license is terminated.

Printouts must be retained until the next required printout is prepared.



## Riverview Sales

The printouts must be limited to only the information required and specified by 27 CFR 478.125.

- c. The computer printouts must contain firearms in inventory as well as all firearms transferred during the period covered, sequentially by date of acquisition.
- f. The system must record both the manufacturer and the importer of foreign made firearms.
- g. Printouts may include matchlock, flintlock, percussion cap, or other antique firearms, but cannot include other merchandise. However, firearms not subject to the Gun Control Act (GCA) requirements must be identified as 'ANT' in the type column.
- h. The name and address or name and full FFL number of the supplier/consigner and the purchaser/transferee must be included in the computer data. An ATF Form 4473 transaction number may be used in lieu of the address for recording the transfer of a firearm to a non-licensee, if the Forms 4473 are filed numerically.
- i. The system cannot rely upon invoices or other paper/manual systems to provide any of the required information.
- j. ATF does not issue blanket approvals for commercially available software programs nor does it endorse any particular product. Any changes in an approved system must be submitted to the Director of Industry Operations, for evaluation and consideration, along with a copy of this letter, prior to implementation.
- k. Upon termination of a license, the licensee must provide an ASCII text file (in conformity with industry standards) and a file description, in addition to printouts of all records, to the ATF Out of Business Records Center. The printout and ASCII text file must contain the following information (as prescribed in 27 CFR 478.125(e): the date of receipt, the name and address or the name and license number of the person from whom the firearm was received, the name of the manufacturer and importer (if any), the model, serial number, type, and the caliber or gauge of the firearm, the date of the disposition of each firearm, the name and address of the person to whom the firearm was transferred, or the name and license number of the person to whom the firearm was transferred if such person is a licensee.

**Riverview Sales**

- i. All required records, including acquisition/disposition records, must remain at the licensed premises.
- m. If a business is discontinued, all records must be forwarded to the ATF Out of Business Records Center in accordance with 27 CFR 478.127.

As indicated above, you must provide complete printouts and an ASCII text file (and file description) of your A/D records and all ATF Forms 4473 to the ATF Out of Business Records Center upon discontinuance of business. The records should be submitted to the following location:

ATF Out of Business Records Center  
244 Neeley Road  
Martinsburg, West Virginia 25405

This approval for Riverview Sales to use a computerized system in lieu of handwritten A/D records is conditional and may be withdrawn at any time should administrative difficulties arise. Withdrawal of approval would affect each outlet operating under this variance.

A copy of this letter, along with a copy of your letter of request, must be retained on file at your licensed premises. The letters must be available for inspection by any ATF officer.

If you should have further questions regarding this variance approval, please contact the Director of Industry Operations, Boston Field Division at (617) 557-(b)(6)

Sincerely yours,

(b)(6)

Director of Industry Operations

Cc: Area Supervisor  
Federal Firearms Licensing Center  
Firearms Programs Division

TARGET SHEET

REVISED 10-11-87

Number: 000 000 01 0L 81035



(b)(3) 26 USC 6103

Licensee Name: LAGUERCIA DAVID E

Business Name: RIVERVIEW SALES



Business Address

Street: 4 PROSPECT HILL RD

City: EAST WINDSOR

State: CT

Zip Code: 06062

Business Address

Street: 1100 RIVER RD

City: AGAWAM

State: MA

Zip Code: 01001

Issue Date: 1/2008

Change Date: 05/04/2008

Expiration Date: 11/01/2010

Inspection Date: 03/10/2008

Renewal Receive Date:

Renewal Date: 03/28/2007

TECS	
(b)(3) 26 USC 6103, (b)	

COMMENTS/REMARKS

INDEX CODES

(b) (7)(E)

Assignment and Report

OPERATOR'S NAME AND ADDRESS (CITY, STATE AND ZIP CODE AND COUNTY) SAO E. LAURICIA FEVERVIEW SALES 4 Prospect Hill Road 06033 Windsor, CT 06098, Hartford	2. U.I. NUMBER (OAG, SEQ. CODE, ASSIGNMENT NO., P.P.C.) 762055-2007-0208-818		
	3. PERMIT/LICENSE NUMBER 060003017LD1035	4a. TARGET DATE 9/30/2007	4b. TARGET HOURS 40
	5. REQUESTED BY (SIGNATURE, TITLE AND DATE)		
	(b)(6)		

DATE OF OFFICIAL ASSIGNMENT: (b)(6)

ASSIGNED BY (SIGNATURE, TITLE AND DATE): (b)(6) Industry Operations Inspector, Hartford, CT, 06/20/2007

APR 21 2008

SPECIAL INSTRUCTIONS  
 SUBJECT: LE WITH THEFT INVESTIGATION

VIOLATION RESULTS	<input type="checkbox"/> CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC.	TRAVEL EXPENSES (OPTIONAL)
NO. OF VIOLATIONS	4	2111 - PER DIEM
NO. OF TCS CHECKS		2112 - P.O.A.
\$ VALUE OF TAX INCREASES		2113 - COMM. AIR
\$ VALUE OF TAX DECREASES		2114 - RENTAL CAR
\$ VALUE OF ASSESSMENTS		2115 - GPV EXPENSES
\$ VALUE OF CLAIMS		2116 - MEET
\$ VALUE OF TAXES VERIFIED		TOTAL \$ FOR TRAVEL

Violated by: (b)(6) Industry Operations Investigator  
 Date: 09/31/2008

Investigation conducted based on an assist to Law Enforcement (ATF and CTSP) due to a theft of firearms by an individual reporting at Feverview Sales. Once Investigator (b)(6) began the inspection, it was realized that the FFL had a 100% inventory conducted of all firearms on premises. At such time, after reconciling the inventory, it was determined that there were (b)(6) firearms were determined to be in the possession of the CTSP based on the theft by (b)(6). There were an additional (b)(6) missing firearms which could not be accounted for and it is unknown if the (b)(6) additional missing firearms were stolen by (b)(6). There were (b)(6) instances of the FFL failing to record the disposition of a firearm and (b)(6) instances of the FFL entering acquisition information in duplicate.

The last two FFL's last compliance inspection and other violations include (b)(6) instances of FTRD of a firearm in a timely fashion and (b)(6) record keeping errors; i.e., transposed serial #'s and duplicate serial #'s entered into the A&O record. There were also 4473 instances including failure to re-certify and failure to properly complete section's A and C of the 4473.

CTSP policy indicates that based on the number of firearms missing after reconciliation (b)(6) that he falls beyond the threshold for suspension of his FFL. However, based on mitigation circumstances an alternate resolution is recommended. Due to the number of firearms recovered by the CTSP from (b)(6) who possessed them, it is unknown if the (b)(6) individual firearms were in fact stolen, as well. Additionally, the FFL's other violations were acted on immediately, he showed an initiative for cooperation and implemented a new system for record keeping (more attention to detail is being practiced).

As such, Investigator (b)(6) recommends an alternate resolution of RGM, WL, WC and Fiscal inspection within one year.

Visit WC with WL and Fiscal

12. TIME ACCOUNTING DATA

OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)
JUN 2007	25.00
JUL 2007	47.50
NOV 2007	12.75
DEC 2007	14.50

Assignment and Report

2. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) DAVIDE E. LAQUERCIA #INTERVIEW SALES 4 Prospect Hill Road East Windsor, CT 06088, Hartford	2. U.I. NUMBER (ORG. SECT. CODE, ASSIGNMENT NO., P.P.C.) 700005-2007-0208-B1B		
	3. PERMITS/LICENSE NUMBER 606003017L0103S	4a. TARGET DATE 9/30/2007	4b. TARGET HOURS 40
5. REQUESTED BY (SIGNATURE, TITLE AND DATE)			

12. TIME ACCOUNTING DATA		
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)	
JAN 2008	3.00	
FEB 2008	2.00	
MAR 2008	20.00	
ATF OFFICER'S SUBTOTAL	124.75	ATF OFFICER'S SIGNATURE: (b)(6) 3/31/08
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)	
JUN 2007	9.00	
ATF OFFICER'S SUBTOTAL	9.00	ATF OFFICER'S SIGNATURE: (b)(6) 3/31/08
TOTAL HOURS	133.75	

13. REVIEW AND ROUTING

REVIEW COMMENTS AND RECOMMENDATION

This inspection was initiated as an assist Law Enforcement with a theft investigation of CT FFL, David Laquercia. The inspection resulted in the disclosure of (b)(6) unaccounted for firearms, which could not be positively tied to an alleged employee theft. The (b)(6) firearms were reported to ATF on a Theft/Loss report ATF F 3310.11. Four violations were also cited during the inspection.

Based on ATF policy the FFL met criteria for revocation, due to the missing (b)(6) firearms but due to the fact that the FFL had experienced employee theft an alternate recommendation was issued of Warning Conference, Warning Letter & Recall Inspection.

Violate WC with WL and Recall

REVIEWED   
  CONCUR   
  SEE COMMENTS   
  FINAL DISPOSITION

SIGNATURE AND TITLE: (b)(6) - Industry Operations Inspector, Hartford, CT *Area Supervisor*    REVIEW DATE: 03/10/2008

ROUTING SEQUENCE AND DATE

1. FFLC, 3-31-08

2. \_\_\_\_\_

3. \_\_\_\_\_

4. \_\_\_\_\_

CONTROL FILE POSTED DATE \_\_\_\_\_

FIREARMS SPECIAL INSPECTION REPORT

Name: David E. LaGuercia
Trade Name: Riveview Sales
Address: 4 Prospect Hill Rd
East Windsor, CT 06028

UID: 762055-2007-0208-BIB
FFL#: 60600301001035

1 - Introduction

On 6/20/2007, Investigator (b)(6) responded to Riveview Sales in East Windsor, CT in order to interview the owner, David LaGuercia as a request from ATF LE and the Connecticut State Police based on an employee theft by (b)(6) from the FFL's business. (b)(6) by the CT State Police working with ATF LE the week prior. Investigator (b)(6) identified himself and requested identification from the FFL; he is a resident of the State of (b)(6) and his Driver's License was examined in order to verify his identity. This inspection was conducted based on an assist to Law Enforcement (ATF and CTSP) due to a theft of firearms by (b)(6) who was working at Riveview Sales. Once Investigator (b)(6) began the inspection, it was realized that the FFL had several violations under the GCA and a compliance inspection was conducted with a 100% inventory conducted of all firearms on premises. Discrepancy to reconciling the inventory of the possession of the Connecticut State Police that were stolen by (b)(6) (Firearms) there were (b)(6) physical inventory and (b)(6) open entries in the FFL's bound books (b)(6) and additional (b)(6) missing firearms. A separate inspection under UID 762055-2007-0207-BIB LEA was opened as an assist to Law Enforcement (from the CT State Police and ATF LE) of (b)(6) and will remain open as to the pending State of Connecticut firearms charges in Hartford, CT Superior Court.

2 - Recommendation

Violations, Warning Conference with Warning Letter and Recall Inspection.

This inspection was conducted based on an assist to Law Enforcement (ATF and CTSP) due to a theft of firearms by an individual (b)(6) working at Riveview Sales. Once Investigator (b)(6) began the inspection, it was realized that the FFL had several violations under the GCA and a compliance inspection was conducted with a 100% inventory conducted of all firearms on premises. At same time, after reconciling the inventory, it was determined that there were (b)(6) discrepancies (b)(6) firearms were confirmed to be in the possession of the CTSP based on the theft by (b)(6). There were an additional (b)(6) missing firearms which could not be accounted for and it is unknown if the additional missing firearms were stolen by (b)(6). There were (b)(6) instances of the FFL failing to record the disposition of a firearm and (b)(6) instances of the FFL entering disposition information in duplicate (the firearms were actually sold (b)(6) to a customer and (b)(6) to a dealer (Exhibit 14-14)).

This was the FFL's first compliance inspection and other violations include (b)(6) instances of FTRD of a firearm in a timely fashion and (b)(6) bookkeeping errors.

## FIREARMS SPECIAL INSPECTION REPORT

Name: David F. LaGuercia UI#: 762055-2007-0208-B1B  
Trade Name: Riverview Sales FFL#: 600003010L01035  
i.e.: transposed serial #'s and duplicate serial #'s entered into the A&D record.  
There were also 4473 violations including failure to recertify and failure to properly complete section's A and C of the 4473.

ATF policy indicates that based on the number of firearms missing after reconciliation (b)(6) that he falls beyond the threshold for revocation of his FFL. However, based on mitigating circumstances an alternate resolution is recommended. Due to the number of firearms recovered by the CTSP from (b)(6) who possessed them, it is unknown if the (b)(6) additional firearms were in fact stolen as well. Additionally, the FFL's other violations were acted on immediately, he showed an initiative for cooperation and implemented a new system for record keeping (more attention to detail is being practiced).

As such, Investigator (b)(6) recommends an alternate resolution of ROV, WL, WC and Recall inspection within one year.

### 3 - Action/Results

ATF policy indicates that based on the number of firearms missing after reconciliation (b)(6) that he falls beyond the threshold for revocation of his FFL. However, based on mitigating circumstances an alternate resolution is recommended. Due to the number of firearms recovered by the CTSP from (b)(6) who possessed them, it is unknown if the (b)(6) additional firearms were in fact stolen as well. Additionally, the FFL's other violations were acted on immediately, he showed an initiative for cooperation and implemented a new system for record keeping (more attention to detail is being practiced). A Theft/Loss report was filed by the licensee subsequent to reconciliation reflecting the (b)(6) lost/stolen firearms. The Theft/Loss report reflects Investigator (b)(6) notes as to the (b)(6) recovered firearms and the missing firearms. Reference (Exhibit # 1-11). (It should be noted that the original list from the NTC contains one error: there is (b)(6) firearm listed on the list in duplicate; the list shows (b)(6) firearms and the actual number is (b)(6) and the exhibit can be referenced in order to identify the error). Additionally, multiple retraction theft loss reports were filed by the licensee during the course of the inspection (Exhibit #13-13d). NTC was contacted to obtain information on (b)(6) Public Law history. This exercise was also conducted to verify if any of the missing firearms from the FFL's inventory had been traced, see (Exhibit #12-12bb).

### 4 - Referrals

No referrals made.

## FIREARMS SPECIAL INSPECTION REPORT

Name: David E. LaGuercia  
Trade Name: Riverview Sales

FFL#: 762055-2007-0208-B1B  
FFI#: 606003010101035

### 5 - Closing Actions

On 12/18/2007, Investigator (b)(6) conducted a closing conference with David LaGuercia, owner. Investigator (b)(6) informed the licensee that the inspection resulted in six (4) cited violations. The licensee signed a copy of ATF form 5030.5, Report of Violations (Exhibit # 2) and was given a copy. The regulatory requirements were reviewed with the applicant including secure gun storage and safety device regulations (Exhibit # 3). The applicant was provided with and signed a copy of the Acknowledgement of the Federal Firearms Regulations (Exhibit #4-4a). The applicant was also provided with and signed a copy of the Certification of Secure Gun Storage or Safety Devices. The applicant was also provided with and signed a copy of ATF form 5330.20, Certification of Compliance with 18 U.S.C. 922(g)(5)(B) (Exhibit #5). The applicant was given a copy of the current Federal Firearms Laws and Regulations as well as a copy of the State Laws and Published Ordinances. The applicant was given all applicable reference material pertaining to the requirements of a Federal Firearms Licensee. A warning letter was issued to the applicant dated January 17, 2008 (Exhibit 9) and a warning conference is scheduled for February 13, 2008 at the Hartford Area Office with David LaGuercia, Investigator (b)(6) and Area Supervisor (b)(6) and a letter was sent to the FFL advising him of such (Exhibit # 10).

On February 13, 2008, the FFL met with Investigator (b)(6) and Area Supervisor (b)(6) for a warning conference and a follow up letter was sent to the FFL (Exhibit #11). At such time, the FFL expressed interest in applying for a computerized variance in order to more accurately keep his Acquisition and Disposition Records. Investigator (b)(6) will be following up with the FFL in order to provide him with the proper chain of action for doing so.

### 6 - Violations

#### 1. 27 CFR 478.125(e)

*Nature of Violation:* Record of Receipt and Disposition.

There were (b)(6) instances of failure to record the disposition of a firearm in a timely manner.

*Licensee's response:* The (b)(6) firearms were logged out of the A&D record and in the future the licensee will pay more close attention to detail.

*Corrective Action:* Licensee corrected the acquisition and disposition records immediately.

#### 2. 27 CFR 478.121(c)



## FIREARMS SPECIAL INSPECTION REPORT

Name: David E. LaGuercia  
Trade Name: Riverview Sales

UI#: 762055-2007-0208-B1B  
FFL#: 6060030101.01035

*Nature of Violation:* Failure to properly maintain A and D Records.  
There were (b)(3) total instances relating to this violation. (b)(3) instances involved duplicate serial #'s and (b)(3) instances involved transposed serial #'s.

*Licensee's Response:* Licensee will monitor and maintain proper A and D Records.

*Corrective Action:* Licensee corrected A and D Records immediately.

3. 27 CFR 478.21(a)

*Nature of Violation:* Failure to have purchaser of firearm recertify Form 4473 when firearm is transferred on a date after NICS check was complete. There was (b)(3) instances of this violation.

*Licensee's Response:* Licensee stated that the violation was unintentional and was made erroneously.

*Corrective Action:* Licensee was given until 11/15/07 to correct the 4473 recertification violation.

Reference Exhibit # 6-6b

4. 27 CFR 478.124(c)(1)

*Nature of Violation:* Failure to properly execute ATF forms 4473.

Items 11a (2001 edition 4473) and/or 12a (2005 edition 4473) were not completed properly.

There were (b)(3) instances pertaining to this violation.

Reference Exhibit # 7-7a which is representative of the (b)(3) instances.

Items under section A of the 4473 were filled out incorrectly, incompletely or left blank.

There were (b)(3) instances pertaining to this violation.

Reference Exhibit # 8-8c which is representative of the (b)(3) instances.

(b)(3) (Pub) total instances under 27 CFR 478.124(c)(1).

*Licensee's Response:* Licensee stated that the violations were unintentional and

## FIREARMS SPECIAL INSPECTION REPORT

Name: David E. LaGuercia  
Trade Name: Riverview Sales  
were made erroneously.

UI#: 762055-2007-0208-B1B  
FFLR: 606003010101035

*Corrective Action:* Licensee was given until 11/15/2007 to have the 4473's corrected.

(b)(6)

Title

12/27/08  
Date of Report

### Index of Worksheets and Exhibits

#### Firearms Worksheets:

- Exhibit #1-1f: Theft/Loss report.
- Exhibit #2: ROV
- Exhibit #3: Certification of secure Gun Storage.
- Exhibit #4-4a: Acknowledgment of Federal Firearms Regulations.
- Exhibit #5: Certification of Compliance with 18 U.S.C. 922(g)(5)(B)
- Exhibit #6-6b: Copy of 4473 representing violation under 27 CFR 478.21(a)
- Exhibit #7-7a: Copy of 4473 representing violation under 27 CFR 478.124(c)(1)
- Exhibit #8-8a: Copy of 4473 representing violation under 27 CFR 478.124(c)(1)
- Exhibit #9-9a: Copy of Warning Letter.
- Exhibit #10-10a: Copy of Warning Conference Notification Letter.
- Exhibit #11: Copy of Warning Conference Follow-up letter.
- Exhibit #12-12b: Copy of NTC request number query.
- Exhibit #13-13d: Copy of theft loss retraction reports.
- Exhibit #14-14d: Copies of FFL transfer and 4473 for firearms reported stolen in error.

**FIREARMS INSPECTION**  
Informational Page - Shortcuts for Workbooks

Enter the Licensee's Name and UI# in the boxes below to populate all sheets in the Workbook.

Riverview Sales	762055-2087-0208-B1 B
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Enter the Investigator's Name and Date to populate all sheets in the Workbook.

(b)(6) 01	12/18/07
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Revised 2/17/06

**NOTE:** Cells highlighted in light green contain formulas.

**FIREARMS INSPECTION**  
**Information and Statistics for**  
**N-Spect, Report Preparation and Other Program Information**  
**Worknote**

Licensee Name: <b>Shervette Sales</b>		UI Number: <b>76355-2007-6200-DIE</b>	
NICS Checks: (verified by inspector)		No 4473 on file (last 12 months)	
TECS Checks--Guns:		Trace Results:	
TECS Checks--Persons:		Traces Successful: (last 12 mos.)	
TECS HITS--Guns:		Traces Unsuccessful: (last 12 mos.)	
TECS HITS--Persons:		Traces Resolved by Inspector:	
Total number of firearms traced that were sold by this dealer in the last 12 months:		23	
Total number of firearms reported stolen/missing in the last 12 months:		None	
Total Number of Firearms in Inventory:		Notes	
Total Number of Firearms by Bound Book:		Of the [redacted] firearms, [redacted] are in the possession of	
Difference/Number of Discrepancies:		the CTS (See Narrative report) and [redacted] were	
Firearms Missing/Stolen After Reconciliation:		not recovered subsequent to reconciliation	
Total Number of Unreported Multiple Sales:		There were [redacted] FTRD errors and [redacted] duplicated	
Total Number of Guns Involved:		serial numbers.	
<b>Business Profile: (estimate percentage of business)</b>			
Wholesale	(b) (4)	New	(b) (4)
Retail	[redacted]	Used	[redacted]
Pawnbroker	[redacted]	Handguns	[redacted]
Gunsmith	[redacted]	Long guns	[redacted]
NFA	[redacted]	Primary Suppliers:	(b) (4)
Gun Show	[redacted]		
Number of Firearms Acquired in the last 12 months:		(b) (3) (Public Law 112)	
Percent of firearms that are new:	(b) (4)	Percent of firearms that are used:	[redacted]
Inspection Period: 6/20/2006-6/20/2007			
Number of Firearms in Inventory:		Actual:	Estimate:
		(b) (3) (Public Law 112)	(b) (3) (Public Law 112)
<b>ATF Forms 4473 Review</b>			
Total Number of Forms 4473 Reviewed:		(b) (3) (Public Law 112)	
478.124 - Sect A - Certification of Transferee Blank or Incomplete:	(b) (3) (Public Law 112)	Percent of Total:	(b) (4)
478.99 - "Yes" (not prohibited)	[redacted]	Percent of Total:	0%
478.124 - Section A - Other Discrepancies:		0	
478.124 - Section B - ID & NICS:			
Blank (ID/NICS verified)	23	Percent of Total:	0%
Failure to obtain ID:	0	Percent of Total:	0%
<i>(The percentage is derived by dividing the # of discrepancies by the # of forms reviewed multiplied by 100.)</i>			
Prepared By:		Date:	
(b) (6) [redacted]		12/18/07	

**Firearms Inspection Worksheet  
Secondary Market Information**

**PURPOSE:** To determine if secondary market firearms (previously owned, i.e., used/pawn) have been traced or reported as suspect or stolen firearms.  
**SOURCE:** Licensee's acquisition records and used firearms in inventory, the NTC, Online LEAD, and NCIC.  
**SCOPE:** A sample of used firearms in inventory or transferred was queried through the Firearms Trace System, using Online LEAD, and NCIC, to determine if they had been traced or reported as suspect or stolen firearms.  
**NOTE:** Queries will be made for firearms selected. If derogatory information is disclosed, referral is to be prepared in N-Spect and forwarded as appropriate. This document is not required to be entered into N-Spect.

Licensee Name: \_\_\_\_\_ UI Number: \_\_\_\_\_  
 Division: \_\_\_\_\_

#	Bound Book Reference Number	Manufacturer/Importer	Model	Serial Number	Type	Caliber or Gauge	Date Received	Traced Yes/No	Date Traced	Stolen Yes/No	Suspicious Firearm Yes/No	In Inventory Yes/No
1												
2												
3												
4												
5												
6												

Prepared By: **(b)(6)** IOI \_\_\_\_\_ Date: 12/1/07

**Firearms Inspection Worksheet**

**Firearms Trafficking**

**PURPOSE:** To identify and document suspicious purchasers and examine the firearms they purchased for trafficking indicators.

**SOURCE/SCOPE:** A review of the licensee's trace history; Online LEAD; disposition documents (licensee's A&D book, ATF Forms 4473); and ATF Forms 3310.4, Reports of Multiple Sales; and the firearms purchased was conducted to identify potential trafficking activity.

**NOTE:** This document will be attached as an exhibit to referrals. Obtain copies of ATF F 4473 and ATF F 3310.4 and attach as exhibits to referral. This document is not required to be entered into N-Spect.

Licensee Name: \_\_\_\_\_ UI Number: \_\_\_\_\_  
 Review Sales 762011-2407-0703-DTB

Buyer's Name: \_\_\_\_\_ Gender: \_\_\_\_\_ Height: \_\_\_\_\_ Weight: \_\_\_\_\_ Race: \_\_\_\_\_ Social Security Number: \_\_\_\_\_

Address: \_\_\_\_\_ DOB: \_\_\_\_\_ POB: \_\_\_\_\_ Identification Type, State and Number: \_\_\_\_\_

#	Date of Purchase	4473 S/N or Date	Manufacturer/Importer	Model	Serial Number	Type	Caliber Gauge	ATF F 3310.4 Completed Yes/No	Comments

Prepared By: **(b)(6)** DOJ \_\_\_\_\_ Date: 12/10/07

**Firearms Inspection Worknote  
TECS/NCIC/NLETS Queries**

**PURPOSE:** To document purchasers selected for TECS, NCIC, NLETS, and INS queries to verify the transferees are not prohibited.  
**SOURCE:** ATF Forms 4473.  
**SCOPE:** A sample of purchasers recorded on ATF Forms 4473 for the inspection period was selected in accordance with the Industry Operations Investigator Handbook, local indicators, and/or inspection findings.  
**NOTE:** Queries will be made for purchasers selected. If derogatory information is disclosed, referral is to be prepared in N-Spect and forwarded as appropriate. Query results will be included with the referral as an attachment. This document is not required to be entered into N-Spect.

**Licensee Name:** Riverview Sales **UI Number:** 740333-2007-0258-B1B

4473 S/N or Date	Name/Address	DOB/ POB	HT/ WT	Race/ Sex	ID Type and Number	Manufacturer/ Importer	Model	Serial Number	Type	Caliber/ Gauge	Hits Yes/No

**Explanation of Hits:**

**Prepared by:** (b)(6) **Date:** 12/18/07

(b)(6)

Revised 2/17/06

Firearms Inspection Worksheet  
NFA Inventory Discrepancies

PURPOSE: To reconcile discrepancies disclosed between the licensee's inventory/records and the NFA Inventory list obtained from the NFA Branch.

SOURCE/SCOPE: Comparison of NFA Inventory reports, the licensee's NFA inventory, and required records was conducted to verify accuracy.

NOTE: Record discrepancies found during inspection and forward to National Firearms Act Branch via e-mail to "NFA Mailbox" or fax to (202) 927-8601. This document is not required to be entered into N-Spect.

Licensee Name:

UI Number:

Overview Sales

067034-1007-0200-1115

#	Manufacturer/Importer	Model	Type	Caliber/ Gauge	Serial Number	Date Transferred or Received	Transferred to or Received From:	Nature of the discrepancy	In Inventory Yes/No

Prepared By:

Date:

(b)(6)

101

12/18/17

Revised 2/17/06



**Firearm Inspection Worksheet  
Traces Perfected During Inspection**

**PURPOSE:** To perfect unsuccessful traces identified as part of inspection preparation. [Completion Codes "D" (dealer) or "M" (manufacturer) only].

**SOURCE/SCOPE:** Compared the identified unsuccessful firearm traces to the licensee's A&D book, ATF Forms 4473, Crime Gun Analysis Branch Reports, and Online LEAD.

**NOTE:** Only forward this document if additional information was gathered during the inspection. Completion of "unsuccessful traces" must be forwarded to the National Tracing Center, 244 Needy Rd., Martinsburg, WV 25401, or fax to 1-800-378-7223. This document is not required to be entered into N-Spect.

Licensee Name: \_\_\_\_\_ UI Number: \_\_\_\_\_

Review Dates: \_\_\_\_\_

Trace # and Code:	Serial #:	If this is a handgun, was more than one purchased by the same person?					
Purchaser Name:	Sex:	DOB:	Height:	Weight:	POB:	Race:	
Address:	Date Acquired:	ID Type, State and Number:					
Note any inconsistencies in firearm description:							

Trace # and Code:	Serial #:	If this is a handgun, was more than one purchased by the same person?					
Purchaser Name:	Sex:	DOB:	Height:	Weight:	POB:	Race:	
Address:	Date Acquired:	ID Type, State and Number:					
Note any inconsistencies in firearm description:							

Prepared by: \_\_\_\_\_ Date: 12/15/07

(b)(6) 101  
Revised 2/17/06

**FIREARMS INSPECTION**  
Informational Page

Enter the Licensee's Name and UIN in the boxes below to populate all worksheets in the Workbook.

Riverview Sales	062045 2007-0000-0110
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Enter the Investigator's Name and Date to populate all worksheets in the Workbook.

(b)(6) IOI	12/15/07
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Figures for the Results Tab in N-Sheet

478.99	Total Transactions With Violations:	0
478.100	Total Number of Transactions with Violations:	
478.102	Total Number of Transactions with Violations:	0
478.124	Total Number ATF Forms 4473 Reviewed:	(b)(6) (Public Law 112-25)
478.124	Total No. With Violations on F 4473 Certification:	
478.124	Total No. With Violations on F 4473 Section A:	
478.124	Total Number with Other Violations:	
478.125	Firearms in Phys. Inventory Verified w/ A/D Book:	
478.125	Firearms in A/D Bk Verified w/ Phys Inventory:	
478.125	Number of Discrepancies:	
478.125	Firearms Missing/Stolen after Reconciliation:	
478.126a	Total Number of Unreported Multiple Sales:	0
478.126a	Total Number of Guns Involved:	0

ATF Form 4473 Review Violation Summary for Report of Violations

Worksheet 2

Violation	Worksheet 2		Total Forms (b)(6) (Public Law 112-25)
	2001 Edition	2005 Edition (b)(6) (Public Law 112-25)	
478.21(a)	0	(b)(6) (Public Law 112-25)	(b)(6) (Public Law 112-25)
478.124(c)(1)	0	(b)(6) (Public Law 112-25)	(b)(6) (Public Law 112-25)
478.124(c)(3)(i)	0	0	0
478.124(c)(3)(ii)	0	0	0
478.124(c)(3)(iii)	0	0	0
478.124(c)(3)(iv)	0	0	0
478.124(c)(4)	0	0	0
478.124(c)(5)	0	0	0
478.102	0	0	0
478.126a	0	0	0
478.99(a)	0	0	0
478.99(b)	0	0	0
478.99(c)	0	0	0
* 478.99	0	0	0

\* 478.99 is the sum of 478.99(a), 478.99(b) and 478.99(c) and should not be cited separately on the Report of Violations.

NOTE: Cells highlighted in light green contain formulas.  
Revised 2/1/06

Document \_\_\_\_\_

EXEMPTION B(1)

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EXEMPTION B(2)

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EXEMPTION B(3)

✓  
Pub L No. 112-95,  
125 Stat. 552

APPLICABLE STATUTE

EXEMPTION B(4)

\_\_\_\_\_

EXEMPTION B(5)

\_\_\_\_\_

DELIBERATIVE PROCESS PRIVILEGE

\_\_\_\_\_

ATTORNEY WORK PRODUCT

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ATTORNEY CLIENT

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EXEMPTION B(6)

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EXEMPTION B(7)(C)

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EXEMPTION B(7)(E)

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DUPLICATE

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NON-RESPONSIVE

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STRING E-MAIL

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Located in Document \_\_\_\_\_

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

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

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

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



FEDERAL RESERVE BANK  
ATF Form 473 (July 1999 Edition) Part 4 - Washington

SCOPE: To document errors identified during the review of the ATF Form 473.  
 SCOPE: Limited to ATF Form 473 for the signature period every reported for Agency  
 NOTE: Report Administrative Report on Form 473. Make copies of ATF Form 473 in addition to the original document. Copies will be included in a report to the agency. The report will be returned to the agency.

Agency Name	Agency No.	System A	System B												Total	Comments	
			473.1(a)	473.1(b)	473.1(c)	473.1(d)	473.1(e)	473.1(f)	473.1(g)	473.1(h)	473.1(i)	473.1(j)	473.1(k)	473.1(l)			
(b)(3) (Public Law 112-55 125 Stat.552)	Name No. (Agency)	1															* 473.19 is the sum of 473.1(a), 473.1(b) and 473.1(c) and should not be reported on the Report of Violations. The above information is only listed in the table for statistical purposes.
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(b)(3) (Public Law 112-55 125 Stat.552)

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

(b)(6)

FIREARMS INSPECTION  
Statistical Page

Riverview Sales 752955-2007-0206-811B

(b)(6)

DI

12/18/07

Type of Violation	Worksheet		Number of Instances	Percentage of Forms Reviewed
	1	2		
	(2001 edition)	(2005 edition)		
<b>A &amp; D Bound Book and Inventory Violations</b>				
Number of firearms not timely recorded in A & D Book	(b)(6) (Public Law 112-55 12)		(b)(6) (Public Law 112-55 12)	
Missing firearms after reconciliation				
<b>Forms 4473 Violations</b>				
Fails to execute ATF Forms 4473 or missing Forms 4473	0		0	
Fails to obtain complete or accurate information in certification or Section B		0	0	0%
Fails to record any ID		0	0	0%
Fails to record valid ID		0	0	0%
<b>NICS Violations:</b>				
Fails to conduct NICS check or obtain alternative permit		0	0	
<b>Prohibited Sales Violations</b>				
Sale of long gun to a resident in another state that violates state law		0	0	
Transfer of handgun to out-of-state resident		0	0	
Transfer of firearm to a prohibited purchaser, who at the time of the transfer appeared to be prohibited			0	
<b>Conduct of Business</b>				
Fails to report multiple handgun sales			0	

Revised 2-1-06

Document \_\_\_\_\_

EXEMPTION B(1)

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EXEMPTION B(2)

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EXEMPTION B(3)

✓  
Pub L No. 112-55,  
125 Stat. 552

APPLICABLE STATUTE

EXEMPTION B(4)

\_\_\_\_\_

EXEMPTION B(5)

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DELIBERATIVE PROCESS PRIVILEGE

\_\_\_\_\_

ATTORNEY WORK PRODUCT

\_\_\_\_\_

ATTORNEY CLIENT

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EXEMPTION B(6)

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EXEMPTION B(7)(C)

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EXEMPTION B(7)(E)

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DUPLICATE

\_\_\_\_\_

NON-RESPONSIVE

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STRING E-MAIL

\_\_\_\_\_

Located in Document \_\_\_\_\_



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

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

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

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

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

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

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

U.S. Department of Justice  
Bureau of Alcohol, Tobacco, Firearms and Explosives

Report of Violations

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 Riverview Sales	Street Address 4 Prospect Hill Road	City East Windsor	State CT	ZIP Code 06027	County Hartford	Page 1 of 1 Pages
License/Permit/Registry Number (if any) 0-06-003-01-71,01035	Expiration Date 11/1/2010	Date(s) or Period of Inspection 6/20/2007-12/17/2007				

Inspection Results

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

Number	USC or CFR Citation	Nature of Violation	Corrective Action to be Taken (if not corrected immediately)	Date Correction to be Made (if not corrected immediately)
1	27CFR 478.125(a)	Record of Receipt and Disposition instances of failure to record disposition of firearms in a timely manner	The firearms were signed out of the A and D book	Corrected Immediately
2	27CFR 478.121(c)	Failure to properly maintain A&D records 18 instances. instances were duplicate serial numbers and 6 instances were transposed serial numbers	Licensee will pay more attention to detail when making entries into his A&D record	Corrected Immediately
3	27CFR 478.21(a)	Failure to have purchaser of firearm receipt(s) 4473 when firearm is transferred on a date after NICS check was completed instance	Licensee will have 4473 completed by purchaser	11/15/2007
4	27CFR 478.124c (1)	Failure to accept instances 11a (2001 edition 4473) or 12a (2005 edition 4473) correctly instances Items under Section A of 4473 were filled out incorrectly, on an entirety or left blank instances	Licensee will have 4473s corrected by purchaser	11/15/2007

Exhibit 2

(b)(6)

I Have Received a Copy of This Report

Signature and Title of ATF Officer

(b)(6)

10/1

Date 12/17/07

Date 12/17/07

ATF Form 1000  
Rev. 4-2004



U.S. Department of Justice  
Bureau of Alcohol, Tobacco, Firearms and Explosives

OMB No. 1540-0045 (03/01/2007)

### Certification of Secure Gun Storage or Safety Devices

**Instructions:** All entries must be in ink.

#### Certification

As required by 18 U.S.C. 921(a), I certify that secure gun storage or safety devices will be available at any place in which firearms are held under the Federal Firearms License in person who are not licensees.

The term "secure gun storage or safety device" means (A) a device that, when installed on a firearm, is designed to prevent the firearm from being operated without first deactivating this device; (B) a device incorporated into the design of the firearm that is designed to prevent the operation of the firearm by anyone not having access to the device; or (C) a safe, gun safe, gun case, lock box, or other device that is designed to be or can be used to store a firearm and that is designed to be unlocked only by means of a key, a combination, or other similar means.

Applicant's Name (Print or type)

Applicant's Title (Print or type)

Dave LaFurcia, Firearm Sales Owner

Business Premises Address

4 Prospect Hill Rd, East Windsor, CT 06028

Present Federal Firearms License Number

6-06-003-01-7401035

Certification: Under the penalties imposed by 18 U.S.C. 924, I declare that I have executed this document and to the best of my knowledge and belief, it is true, correct and complete.

Applicant's Signature

X

Date

12/17/07

(18) (12/17/07)  
12/17/07

Exhibit 3

POSTAGE WILL BE PAID BY ADDRESSEE

<b>OFFICIAL USE</b>	
Postage	\$ 0.21
Certified Fee	2.80
Return Receipt For Endorsement Request	2.30
Restricted Delivery For Endorsement Request	
<b>Total Postage &amp; Fees</b>	<b>\$5.71</b>
Sent to: <b>Mr. David LaGuercia</b> <b>Riverview Sales</b> Street Apt. No. or PO Box No. <b>4 Prospect Hill Road</b> City, State, ZIP+4 <b>East Windsor, CT 06088</b>	

<p><b>SENDER:</b></p> <ul style="list-style-type: none"> <li>• Complete items 1 and 2 for additional services.</li> <li>• Complete items 3, 4a, and 4b.</li> <li>• Print your name and address on the reverse of this form so that we can return this card to you.</li> <li>• Attach this form to the front of the mailpiece, or on the back if space does not permit.</li> <li>• Write "Return Receipt Requested" on the mailpiece below the article number.</li> <li>• The Return Receipt will show to whom the article was delivered and the date delivered.</li> </ul>	<p>I also wish to receive the following services (for an extra fee)</p> <p>1 <input type="checkbox"/> Addressee's Address</p> <p>2 <input type="checkbox"/> Restricted Delivery</p> <p>Consult postmaster for fee</p>	
	<p>3. Article Addressed to:</p> <p><b>Mr. David LaGuercia</b>  <b>Riverview Sales</b>  <b>4 Prospect Hill Road</b>  <b>East Windsor, CT 06088</b></p>	<p>4a. Article Number</p> <p><b>70081830000334371488</b></p>
	<p>5. Received By: (Print Name)</p> <p><i>LaGuercia</i></p> <p>6. Signature: (Addressee or Agent)</p> <p><i>LaGuercia</i></p>	<p>4b. Service Type</p> <p><input type="checkbox"/> Registered <input checked="" type="checkbox"/> Certified</p> <p><input type="checkbox"/> Express Mail <input type="checkbox"/> Insured</p> <p><input checked="" type="checkbox"/> Return Receipt for Merchandise <input type="checkbox"/> COD</p> <p>7. Date of Delivery</p> <p><b>12/31/89</b></p> <p>8. Addressee's Address (Only if addressed and fee is paid)</p>

Thank you for using Return Receipt Service.



U.S. Department of Justice

Bureau of Alcohol, Tobacco,  
Firearms and Explosives  
450 Main Street, Room 610  
Hartford, CT 06103

January 29, 2010

Certified Mail  
Return Receipt

762055 (b)(6)  
9309

WARNING: CONFERENCE FOLLOW-UP LETTER

Mr. David LaGuercia  
Riverview Sales  
4 Prospect Hill Road  
East Windsor, 06088  
FFL# 6-06-003-01-0L-01035

Dear Mr. LaGuercia:

This letter is a follow-up to the warning conference held with you on January 7, 2010, at the AA Ribicoff Federal Building, 450 Main Street, Room 610, Hartford, CT 06103. During this conference, the violations cited during the inspection covering the period of August 13, 2008 to August 13, 2009, and necessary corrective action to prevent the violations from reoccurring were discussed.

You were given the opportunity to comment on the violations and what specific action you have taken to ensure that the violations will not reoccur.

Regarding violation number one (1) under 27 CFR 478.121(c), which was a REPEAT, for failing in (b)(6) instances to properly maintain A & D records. This violation was corrected. You stated that new procedures have been implemented to triple check the computer system, distributor receipt, physical inventory, scanned inventory, and ATF F 4473. In addition to the computer program, a manual bound record is kept as a secondary back up and a print out of the computer A & D is rechecked to ensure daily entries are accurate. You and one other employee are performing a final check within 24 hours of an acquisition or disposition to ensure the computer A & D record is accurate. Allowing only two people access to the computer system has allowed for a more controlled input, verification, and a better understanding of the computer program.

Regarding violation number two (2) under 27 CFR 478.124(c)(1), which was a REPEAT, for failing in (b)(6) instances to obtain a response (blank) from purchasers under Item #11b, #11d, #11e and #11g, Section A of ATF F 4473 and for failing in (b)(6) instances to obtain a complete response from a purchaser to Item #12 and #17, Section A of ATF F 4473.

-2-

Mr. David LaGuerra  
Riverview Sales

This violation has been corrected. You stated that you and your employees are now double checking each ATF F 4473 form. You further stated that your employees know the rules and that nothing leaves the store without a NICS check. You have hired two (2) part-time employees to assist with the increased sales volume. You were encouraged to seek assistance from this office if you or your employees have procedure questions.

Regarding violation number three (3) under 27 CFR 478.124(c)(5)(iv), for failing to complete in one (1) instance, Item #21a (blank), Section B of ATF F 4473. This violation has been corrected. You stated this was an oversight and your employees know the rules and that nothing leaves the store without a NICS check.

Regarding violation number four (4) under 27 CFR 478.125(e), which was a REPEAT, for failing in (b)(3) (Public Law 112-55) instances to record either a Record Receipt or Disposition of a firearm. This violation has been corrected. You stated new procedures have been implemented to triple check the computer system, distributor receipt, physical inventory, scanned inventory, and ATF F 4473. In addition to the computer program, a manual bound record is kept as a secondary back up and a print out of the computer A & D is rechecked to ensure daily entries are accurate. You and one other employee are performing a final check within 24 hours of an acquisition or disposition to ensure the computer A & D record is accurate. Allowing only two people access to the computer system has allowed for a more controlled input, verification, and a better understanding of the computer program.

Regarding violation number five (5) under 27 CFR 478.126a for failing to report and file ATF F 3310.4 -Report of Multiple Sale or Other Disposition of Pistols and Revolvers in (b)(3) (Public Law 112-55) instances from September 13, 2008 to May 23, 2009. The (b)(3) (Public Law 112-55) instances involved (b)(3) (Public Law 112-55) firearms. This violation has been corrected. You stated that new internal procedures have been implemented and at the end of each day a computer multiple sale list is printed. The computer multiple sale list is compared to the ATF F 4473's. More attention is being paid to the computer notifications of multiple sale form requirements. The new procedures are a little more time consuming but forms are being filed properly.

Regarding violation number six (6) under 27 CFR 478.129(b) for failing to return the ATF F 4473 record of denied sales when a NICS check was performed in (b)(3) (Public Law 112-55) instances. You stated that no new full denials had occurred but the form will be kept if a denial occurs in the future.

Regarding violation number seven (7) under 27 CFR 478.21(a), which was a REPEAT, for failing to obtain a correct response in (b)(3) (Public Law 112-55) instances on Item #11a, Section A of the ATF F 4473, Item #25 Section B of the ATF F 4473 and for failing in (b)(3) (Public Law 112-55) instance to obtain proper information on prescribed for ATF F 4473.

You stated you're not sure why these happened. New employees will check with you with any driver's license and identifying questions. Employees are on the lookout for potential straw purchasers and sales have been refused. You stated you will get it right and that you are trying to run a tight ship.

Mr. David LaGuercia  
Riverview Sales

You stated that ATF has your attention and that you are not looking to cause any problems with your license. You indicated you take these violations seriously and will be continuously checking and double checking the required records. You will make more changes as needed to ensure compliance. You stated that there was no criminal intent with the violations.

You stated that the following practices have been implemented since the inspection:

- You have hired part-time help to assist with the increased sales volume
- You have instructed newly hired help to check with you with any driver's license or identification questions.
- You are triple checking the computer system, distributor receipt, physical inventory, scanned inventory, and ATF F 4473.
- You are keeping a manual bound record as a secondary backup.
- You are printing out daily A & D computer entries and verifying the data.
- You and another employee are performing a final triple check of the computer entries within 24 hours of an acquisition or disposition.
- You are checking multiple sales at the end of each day to a computer record and ATF F 4473.
- Your sales employees are rechecking all ATF F 4473 information completed by the customer (Section A) prior to completing the firearm sale

The violations for which you were cited could adversely impact law enforcement's ability to reduce violent crime and protect the public. You are reminded that future violations, repeat or otherwise, could be viewed as willful and may result in revocation of your license. You may anticipate future inspections to ensure compliance.

Please contact us at (860)240-(b)(6) if you have any questions concerning your responsibilities as a licensee or if you require further clarification about particular requirements of Federal Firearms Laws.

Sincerely yours,

(b)(6)

Area Supervisor

Enclosure:

cc: National Licensing Center  
Hartford CT Industry Operations Office



U.S. Department of Justice

Bureau of Alcohol, Tobacco,  
Firearms and Explosives  
450 Main Street, Room 610  
Hartford, CT 06103

December 30, 2009

www.atf.gov

CERTIFIED MAIL  
RETURN RECEIPT

762055 (b)(6)  
5300

WARNING LETTER

Mr. David LaGuercia  
Riverview Sales  
4 Prospect Hill Road  
East Windsor, CT 06088  
FFL# 6-06-003-01-0L-01035

Dear Mr. LaGuercia:

During a recent compliance inspection at your firearms business covering the period of August 13, 2008 through August 13, 2009, 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 efforts to reduce violent crime and ensure the public's safety. It is essential that you comply with all Federal laws and regulations that govern your firearms business. 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 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 Area Supervisor  
(b)(6) at (860) 240-(b)(6)

Sincerely yours,

(b)(6)

Area Supervisor

Enclosure

cc: National Licensing Center  
Hartford I/O Office

### Report of Violations

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 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	Street Address	City	State	ZIP Code	County	Page 1 of 2 Pages
David E. Lagerda Riverview Sales	4 Prospect Hill Road	East Windsor	CT	06026	Hartford	

License/Permit/Registry Number (if any)	Expiration Date	Date(s) or Period of Inspection
6-06-003-01-OL-01635	11/1/2010	Period of Inspection 8/13/08 to 8/13/09

**Inspection Results**

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

Number	USC or CFR Citation	Nature of Violation	Corrective Action to be Taken (if not corrected immediately)	Date Corrections to be Made (if not corrected immediately)
1.	27 CFR 478.121(c) (REPEAT)	Licensee failed to properly maintain A & D records in instances. Duplicate serial numbers were recorded in instances. Serial numbers were transposed in instances and incorrectly recorded a made up serial number instead of "none" in instance. Failed to record the proper Manufacturer/Importer in instances and failed to record the proper transferee in instances.	Corrected immediately	
2.	27 CFR 478.124(c)(1) (REPEAT)	Licensee failed to obtain a response (Blank) from purchasers in instances under Items #11b, #11d, #11e and #11g, Section A of ATF F 4473. Licensee failed to obtain an incomplete response from purchasers in instances under Items #12 and #17, Section A of ATF F 4473.		
3.	27 CFR 478.124(c)(3)(iv)	Licensee failed to complete in instance Item #21a (Blank), Section B of the ATF F 4473.	Corrected immediately	

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

Signature and Title of ATF Officer

(b)(6)

Industry Operations Investigator  
Copy 1 - Proprietor's Copy  
IOI 9/11/09

Date

9/11/09

Date

9/11/2009

ATF Form 5030.3  
Revised April 2003



### 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 <b>David E. Laguerre Riverview Sales</b>	Street Address <b>4 Prospect Hill Road</b>	City <b>East Windsor</b>	State <b>CT</b>	ZIP Code <b>06021</b>	County <b>Hartford</b>	Page <u>2</u> of <u>2</u> Pages
--	---	-----------------------------	--------------------	--------------------------	---------------------------	---------------------------------

License/Permit/Registry Number (if any) <b>6-46-983-81-OL-81835</b>	Expiration Date <b>11/1/2018</b>	Date(s) or Period of Inspection <b>Period of Inspection 8/13/08 to 8/13/08</b>
--	-------------------------------------	---

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

Number	USC or CFR Citation	Nature of Violation	Corrective Action to be Taken (If not corrected immediately)	Date Corrections to be Made (If not corrected immediately)
4.	27 CFR 478.125(e) (REPEAT)	Licensee failed to Record Receipt and Disposition of Firearms in its instances (b)(3) (Public L) Instance failed to record an acquisition and instances of failing to record a disposition. (b)(3) (Public L)	Corrected immediately	
5.	27 CFR 478.126a	Licensee failed to report and file Multiple Sale or Other Disposition of Pistols and Revolvers ATF F 3318.4 in instances for (b)(3) (Public Law 112-255-7225) firearms.	Corrected immediately	
6.	27 CFR 478.125(b)	Licensee failed to retain ATF F 4473 record of denied sales when a NICS check was completed in instances. (b)(3) (Public L)		
7.	27 CFR 478.21(a) (REPEAT)	Licensee failed to obtain a correct response in instances on Item #11a, Section A of the ATF F 4473 and Item #23, Section B of the ATF F 4473.  Licensee failed in instance to obtain proper information on prescribed form ATF F 4473. (b)(3) (Public L)		



U.S. Department of Justice

Bureau of Alcohol, Tobacco,  
Firearms and Explosives

450 Main Street, Suite 610  
Hartford, CT 06103

December 30, 2009  
www.atf.gov

762055: (b)(6)  
5300

CERTIFIED MAIL  
RETURN RECEIPT

WARNING CONFERENCE

Mr. David LaGuercia  
Riverview Sales  
4 Prospect Hill Road  
East Windsor, CT 06088  
PFL# 6-06-003-01-0L-01035

Dear Mr. LaGuercia:

During a recent compliance inspection at your firearms business covering the period of August 13, 2008 through August 13, 2009 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.

You should be aware that any willful violations of Federal Firearms Laws and Regulations may result in the revocation of your Federal Firearms License. As a result of the recently cited violations, it is important that we have a meeting with you to discuss the violations found. As we discussed, the conference will be held on January 5, 2010 at 10:30 AM at the Ribicoff Federal Building, 450 Main Street, Room 610, Hartford, CT 06103 with Industry Operations Investigators (b)(6) and (b)(6) and I. The agenda for the meeting will include a discussion of the reasons for the violations, a review of legal requirements, and a discussion of steps to be taken by you to ensure future compliance.

Riverview Sales  
East Windsor, CT

Although we do not believe it is necessary, legal counsel may assist you at your own expense if you so choose. Please bring documentation with you, verifying the corrective action you have taken.

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 ensure the public's safety. It is essential that you comply with all firearms laws and regulations that govern your firearms business.

We will conduct a follow-up inspection in the future. Any violations, either repeat or otherwise, could be viewed as willful and may result in the revocation of your license.

Please contact Investigator (b)(6) or myself at (860) 240-(b)(6) to confirm this appointment, and please ask any questions you may have regarding this conference. We look forward to meeting with you to resolve these issues.

Sincerely yours,

(b)(6)

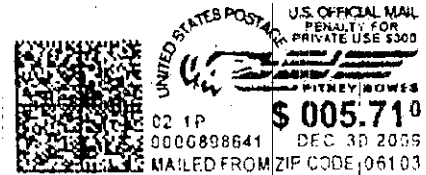
Area Supervisor

Enclosure

Cc: National Licensing Center  
Hartford, CT Industry Operations Office

U.S. DEPARTMENT OF JUSTICE  
BUREAU OF ALCOHOL, TOBACCO, FIREARMS  
AND EXPLOSIVES  
450 Main Street, Room 510  
Hartford, CT 06103  
OFFICIAL BUSINESS  
PENALTY FOR PRIVATE USE \$300

Mr. David LaGuercia  
Riverview Sales  
4 Prospect Hill Road  
East Windsor, CT 06088



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Sent to: **Mr. DAVID LAHERTELA**  
**Riverview Sales**

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**(b)(6)**

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FIREARMS INSPECTION REPORT

Name: David E. LaGuercia UI#: 762055-2009-0019-B1B  
Trade Name: Riverview Sales FFL#: 6-06-003-01-0L-01035  
Address: 4 Prospect Hill Road  
East Windsor, CT 06088

Introduction

Inspection Profile:

FFL Recall inspection assigned as follow up to the recommendation under UI#762055-2007-0208. FTI request received after the inspection began on August 13, 2009.

Pre-inspection tasks performed as follows:

- Verified no issues with licensee via ATF LE New Haven and ATF VCIT Hartford.
- Obtained History of Traces and Multiple Handgun/Pistol Sales from ATF VCA# (Exhibit #1).
- Contacted Connecticut Department of Public Safety, Firearms Unit (860)685-8160. Obtained State Sales and Acquisition Reports-NICS Validations (Exhibit #2 and #2a).
- Obtained verification of Connecticut Carry Permit #932880 for owner David LaGuercia (Exhibit #3).
- Performed On-Line Lead Queries on FFL.

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

-Verified via State of Connecticut, Secretary of State's Office business registration for Riverview Sales (Exhibit#5).

IOI (b)(6) and IOI (b)(6) began the unannounced inspection on August 13, 2009, at the premises of 4 Prospect Hill Road, East Windsor, CT which was open to the public. Present were employees, (b)(6) (b)(6) and (b)(6) The owner David LaGuercia was on vacation and out of town. (b)(6) phoned David LaGuercia who informed IOI (b)(6) that he would be returning in a few days and he had no issue with ATF Investigators commencing with the inspection in his absence. On-hand inventory began on August 13, 2009. Throughout the course of the inspection owner, David LaGuercia, and employees were interviewed. Many instances occurred throughout the inspection where David LaGuercia was not in the store until late evening. On-site inspection and closeout completed on

## FIREARMS INSPECTION REPORT

Name: David E. LaGuercia

UIN: 762055-2009-0019-B1B

Trade Name: Riverview Sales

FFL#: 6-06-003-01-01-01035

September 11, 2009. Records review period was August 13, 2008 to August 13, 2009 for ATF F 4473, A & D entries, NICS authorizations and multiple sale filings. However, due to the random A & D open entry selections and a portion of the on-hand inventory verification (non-NFA) parts of the inspection pre-dated August 2008.

Business Profile:

Riverview Sales is a domestic company owned and managed by David LaGuercia. In addition to the owner, Riverview Sales has three (3) full time employees and two (2) part-time employees. Riverview Sales acquires and sells new and used firearms (b)(3) 26 USC 6103. Sales also include hunting knives, hunting supplies and ammunition. Riverview Sales also provides a service of gunsmithing. The on-site repair service is mainly performed by employee

(b)(6) A portion of the store contains a work bench and inventory classified as repair/gunsmithing. Primary suppliers of new firearms are out of state FFL's. (b)(4)

(b)(4) The retail location also provides thru David LaGuercia, a service of NRA safety classes for permit certification.

From August 13, 2008 to August 13, 2009 the licensee acquired an estimate of (b)(3) (Public Law 112-55 125 Stat.552) firearms comprising of (b)(3) (Public Law 112-55 125 Stat.552) long guns, (b)(3) (Public Law 112-55 125 Stat.552)

(b)(3) (Public Law 112-55 125 Stat.552) pistols/revolvers and (b)(3) (Public Law 112-55 125 Stat.552) silencers. Dispositions during the same period were an estimate of (b)(3) (Public Law 112-55 125 Stat.552)

firearms comprising of (b)(3) (Public Law 112-55 125 Stat.552) long guns (b)(3) (Public Law 112-55 125 Stat.552) pistols/revolvers and (b)(3) (Public Law 112-55 125 Stat.552)

(b)(3) (Public Law 112-55 125 Stat.552) The reports for dealer acquisition/disposition/NICS validations received from the State of Connecticut were previous to August 13, 2008 (Exhibit 2 & 2a).

(b)(6) blacked out any transactions prior to August 13, 2008 from the aforementioned totals.

The owner, David LaGuercia does not hold any other FFL's. Licensee is compliant with local zoning and state laws. A Retail Permit to Sell Pistols/Revolvers is on file with the East Windsor, CT Chief of Police (860)282-8240. There is no off-site storage locations associated with this license and the licensee does not participate in gun shows. David LaGuercia resides in (b)(6) and confirmed no offsite or alternate storage is used by the FFL. All firearms remain at the licensed premise of 4 Prospect Hill Road, East Windsor, CT.



## FIREARMS INSPECTION REPORT

Name: David E. LaGuercia UI#: 762055-2009-0019-B1B  
Trade Name: Riverview Sales FFL#: 6-05-003-01-01-01035

### Ownership & Control:

Riverview Sales is owned by David LaGuercia (Exhibit #5). There were no additions to responsible parties. No hidden ownership issues were discovered and responsible people are correctly listed in FLS.

### Variance:

Variance approval of March 6, 2008 for recordkeeping requirements under 27 CFR 478.125 to use computerized acquisition and disposition (A&D) records in lieu of handwritten records (Exhibit #6). No issues were identified to warrant any other variance request.

### 2 - Recommendation

Violations, Warning Conference, Warning Letter and Recall Inspection

### 3 - Inspection History

#### • March 10, 2008; UI#762055-2007-0208

Special Inspection/Assist LE: Result: Four (4) Violations, ATF F 5030.5 issued.

**Alternate recommendation of Violations, Warning Letter, Warning Conference and Recall Inspection (Exhibit #14, #15 and #16).**

The Warning Letter, Warning Conference was based on violations 27 CFR of the following by the licensee:

- 478.125(e): Failing to properly record the disposition of a firearm in [REDACTED] instances.
  - 478.121(c): Failing to properly maintain A & D record in [REDACTED] instances.
- Twelve (12) of the instances were for duplicating serial numbers and [REDACTED] instances were for transposed serial numbers.
- 478.21(a): Failing to have the purchaser of a firearm recertify the ATF F 4473 when a

## FIREARMS INSPECTION REPORT

Name: David E. LaGuercia UI#: 762055-2009-0019-B1B  
 Trade Name: Riverview Sales FFL#: 6-06-003-01-0L-01035

firearm was transferred after the NICS check was complete. (b)(3) (Public Law 112-55 125 Stat.552) instance.  
 -478.124(c)(1): Failure to answer question 11a or 12a in (b)(3) (Public Law 112-55 125 Stat.552) instances. Failure in (b)(3) (Public Law 112-55 125 Stat.552) instances to correctly complete under Section A of 4473.  
 Warning letter issued January 17, 2008. Warning Conference held February 13, 2008.

• August 18, 2008: UI#762055-2007-0207-B1B

Special Inspection/Assist I.E. (b)(6) No violations issued. Assignment in conjunction with UI#762055-2007-0208. (b)(6) is a former employee of Riverview Sales. While an employee (b)(6) was opening and closing the store had keys, alarm codes and purchased a large quantity of firearms. As of May 31, 2007 (b)(6) had purchased (b)(3) (Public Law 112-55 125 Stat.552) firearms from Riverview Sales.

(b)(6) The  
 (b)(6)  
 firearms from Riverview Sales. (b)(6)  
 (b)(6)

• September 24, 2004: UI#762055-2004-0222-B1A

Application inspection with recommendation of approve with noted corrections. Type 01 FFL issued under #6-04-01542 and subsequently changed to the current #6-06-01035 when the FFL moved from Massachusetts to Connecticut

4 - Internal Controls Evaluation

During the review, weaknesses in the licensee's operations were discovered. Required records are kept in accordance with the ATF approved variance of March 6, 2008. However, employees are still familiarizing themselves with the computer system, entries and verification process. David LaGuercia confirmed that in January, 2009 the bound A & D records were converted to computerized records and that the computer record is the official record kept for ATF. However, bound A & D records are maintained as a backup. Since the previous inspection and (b)(6) issue inventories will be completed at least once a year.

The A&D and ATF F 4473 reviews found issues with inaccurate entries, and instances where the licensee failed to file ATF F 3310.4 Report of Multiple Sales for Pistols/Revolvers. Violations issued and acknowledged on September 11, 2009 included four (4) repeat citations. The licensee was cited for seven (7) violations. The

## FIREARMS INSPECTION REPORT

Name: David E. LaGuercia UI#: 752055-2009-0019-816  
 Trade Name: Riverview Sales FFL#: 6-06-003-01-01-01035

discrepancies and citations, ATF F 5030.5, Report of Violations (Attachment #1) and detailed explanations under the specific headings listed below.

During the course of the inspection, IOI (b)(6) and IOI (b)(6) had on-going discussions with David LaGuercia and his employees regarding full inventories, computer entries, computer capabilities, computer audits and ATF F 4473 record requirements.

To address the operational issues discovered the licensee plans to take the following actions:

- Hire additional employees for adequate coverage to service the store which is open seven days a week.
- Complete an audit of computer entries to the on-hand inventory to ensure accurate entries of make, model, type and serial number.
- Ensure all employees are familiar with the computer program, computer multiple sale notifications and reports.
- Ensure employees have customers complete ATF F 4473 prior to requesting a NIC's authorization and ensure denials and withdrawals are retained.

David LaGuercia has trained employees and implemented a procedure to verify on the store computer, customer purchases to ensure an ATF F 3310.4 is filed for same day sales as well as multiple pistol/revolver purchases made within five (5) business days. In addition, employees were advised to check customer sales histories.

### 5 - Acquisition & Disposition (A&D) Record - Inventory

On August 13, 2009, a full on-hand physical firearm inventory commenced with a comparison to computer print outs of on-hand inventory by serial number reports. Due to Mr. LaGuercia's absence and program access issues, employee (b)(6) waited to pull the computer record of A & D open entries. A full firearms inventory was completed due to the recall inspection.

IOI (b)(6) and (b)(6) completed a full audit of the on-hand physical inventory and compared the physical to the computer report of inventory. The physical inventory was also compared to the computer report of A & D entries. A full audit was also completed from the computer reports to the on-hand physical inventory. The licensee maintains a manual entry bound record of transactions as secondary back up to the computer system. However, since an ATF approved variance is on file, the computerized record is considered the official record held by the licensee. A full physical inventory of GCA firearms was taken of (b)(3) (Public Law 112-55 125 Stat.552) (b)(3) (Public Law 112-55 125 Stat.552) firearms were inventoried and compared to both the A&D book as

## FIREARMS INSPECTION REPORT

Name: David E. LaGuercia      UIN: 762055-2009-0019-019  
Trade Name: Riverview Sales      FFL#: 6-06-003-01-0L-01035

(b)(3) (Public Law 112-55 125 Stat.552) Exhibit #4 and Section 10 of this report).

Initial inventory discrepancies were in excess of (b)(3) (Public Law 112-55 125 Stat.552) firearms. The reconciliation resulted in violations with no theft/loss report.

The A & D computer record review revealed that the record was in the proper format. However, required entries were not accurate, were duplicated, and were not made timely. The violations cited included the following discrepancies: A&D open entries not being logged out, duplicate acquisition entries of serial numbers, transposed serial number entries, entries remained incorrectly opened when the firearms had been transferred (ROV #1 & #4).

On September 11, 2009, the licensee was cited for these violations under 27 CFR 478.121(c)-Repeat Violation for failing to properly maintain the A & D record in nineteen (b)(3) (Pub) instances (WS#1, Exhibit #7, ROV #1)

478.125(c)-Repeat Violation for failing to record the receipt and disposition of firearms in (b)(3) (Public Law) instances. (b)(3) (Public Law) instance was for failing to record the acquisition and (b)(3) (Public Law) instances were for failing to record a disposition (WS#1, Exhibits #7, ROV #4).

IOI (b)(6) verified that these instances for the review period were repeat and not previously cited. All A&D-inventory discrepancies were corrected immediately by the licensee during the inspection. No Theft/Loss Report was filed.

(b)(3) (Public Law 112-55 125 Stat.) was conducted for (b)(3) (Public Law 112-55 125 Stat.552) firearms. There were no discrepancies discovered with the A&D or ATF F 4473 entries during this trace review. There were no instances of obliterated serial numbers or illegal firearms discovered during the review period.

### 6 - ATF Forms 4473 - NICS & Other Dispositions

The ATF F 4473 review comprised of forms covering period of August 13, 2008 to August 13, 2009 including multiple sales. Due to the volume exceeding (b)(3) (Public Law) dispositions, IOI (b)(6) and IOI (b)(6) randomly selected (b)(3) (Public Law) of the remaining dispositions over the twelve (12) month period. However, additional forms were reviewed once instances were found that the licensee failed to obtain a correct response in Section "A" of ATF F 4473 and failed to file ATF F 3310.4 Report of Multiple Sales Pistols/Revolvers

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

## FIREARMS INSPECTION REPORT

Name: David E. LaGuercia UI#: 762055-2009-0019-010  
 Trade Name: Riverview Sales FFL#: 6-06-003-01-0L 01035

The licensee failed to retain ATF F 4473 NICS denials in (b)(3) (Public Law 1) instances. The licensee did retain ATF F 4473's as required for some NICS denials and sales withdrawn by customers. The licensee believes a former employee erroneously destroyed the denial forms. The licensee was cited under 27 CFR 478.129(b) (ROV #6). A listing of customers and denial information was provided to RAC-Hartford VCTT (Exhibit #11).

No law enforcement sales were on file for the review period. The NICS response audit log was obtained from the State of Connecticut Department of Public Safety (Exhibit #2 & #2a). There were no NICS number discrepancies in comparison to ATF F 4473's reviewed.

The disposition records reviewed were found to have discrepancies and the licensee was cited for violations relating to ATF F 4473's (WS#2, ROV #2, #3, #5, #6 & #7).

Under 27 CFR 478.124(c)(1) the licensee was cited for failing to obtain an answer from purchasers (blank) in (b)(3) (Public Law 1) instances from the purchasers on ATF F 4473's Section A for item #11b, #11c, #11d and 11g. Licensee failed to obtain a complete response from the purchaser in (b)(3) (Public Law 1) instances on ATF F 4473-Section A for item #12 and #17.

Under 27 CFR 478.124(c)(3)(iv) the licensee was cited for failing to record (blank) the NICS contact date, item 21a, in (b)(3) (Public Law 1) instance.

Under 27 CFR 478.129(b) the licensee was cited for failing to retain the ATF F 4473 record of denied sales when a NICS check was completed in (b)(3) (Public Law 1) instances.

Under 27 CFR 478.21(a) the licensee was cited for failing to obtain a correct response in (b)(3) (Public Law 1) instances on ATF F 4473-Section A, item #11a and Section B, Item #25.

Licensee failed in (b)(3) (Public Law 1) instance to obtain proper information on prescribed form ATF F 4473.

### 7 - Suspicious/Prohibited Purchasers

As a result of an ATF F 4473 review and TECS/NICS/OLI queries on purchasers.

The following referrals were completed on purchasers suspected of violating 18 U.S.C. 922(a)(g)(1) (See section 11-Referrals, worknote #4, Exhibit #10).

## FIREARMS INSPECTION REPORT

Name: David E. LaGuercia

UI#: 762055-2009-0019-818

Trade Name: Riverview Sales

FFL#: 6-06-003-01-0L-01035

(b)(6)

Referral #2010-0006 was submitted on purchaser (b)(6) for potentially violating 18 U.S.C. 922(a)3 and 5; as an out of state purchaser (NJ) (See section 11-Referrals, worknote #4, Exhibit #10).

Denied sales were documented and customer information provided to RAC-Hartford, VCIF (Exhibit #11).

### 8 - Trace Activity

ATF Crime Gun Analysis Branch Trace report (b)(3) (Public Law 112-55 125 Stat.552) in a twelve (12) month period from August 7, 2008 to August 7, 2009 (Exhibit #1). (b)(3) (Public Law 112-55 125 Stat.552)

in the last twelve (12) months, the licensee acquired an estimate of (b)(3) (Public Law 112-55 125 Stat.552) firearms and disposed of an estimate of (b)(3) (Public Law 112-55 125 Stat.552) firearms.

TECS/NCIC checks of previously owned firearms resulted in no new hits or additional reporting of data already noted by VCAB history (Exhibit #1).

TECS/OLL queries on previously owned firearms recorded on Worknote #2 revealed no trace/TECS hits.

### 9 - Multiple Sales

A comparison of the ATF Crime Gun Analysis Branch FFL Firearms Trace/ Multiple Sale History (July 21, 2007 to August 7, 2009) (Exhibit #1) to the State of Connecticut Department of Public Safety Firearms Disposition Report was conducted (Exhibit #2).

Data indicates that the licensee reported (b)(3) (Public Law 112-55 125 Stat.552) multiple sales on (b)(3) (Public Law 112-55 125 Stat.552) firearms to ATF between August 7, 2008 to August 7, 2009. However, State of Connecticut dispositions noted numerous multiple pistol/revolver sales had taken place during the same time period which were not reported to ATF on an ATF F 3310.4-Report of Multiple Sale or Other Disposition of Pistols and Revolvers.

The on-site review identified that the licensee failed to file ATF F 3310.4 -Report of Multiple Sale or Other Disposition of Pistols and Revolvers in (b)(3) (Public Law 112-55 125 Stat.552) instances for the review period of August 13, 2008 to August 13, 2009. The (b)(3) (Public Law 112-55 125 Stat.552) instances involved (b)(3) (Public Law 112-55 125 Stat.552) firearms (WS#2).

**FIREARMS INSPECTION REPORT**

**Name:** David E. LaGuercia **UI#:** 762055-2009-0019-B1B  
**Trade Name:** Riverview Sales **FFL#:** 6-06-003-01-0L-01035

During the review, IOI (b)(6) provided a list of purchasers and firearms to the licensee for confirmation. The licensee checked the computerized record, sales records and the ATF F 4473s as requested. He acknowledged the failure to file an ATF F 3310.4. He immediately corrected the discrepancy by filing the ATF F 3310.4 for each instance and sent these forms to the ATF Tracing Center (WS#2, Exhibit #8).

The licensee was cited on the ATF F 5030.5-Report of Violations on September 11, 2009 under 27 CFR 478.126a for failing to prepare and file an ATF F 3310.4 Report of Multiple Sale or Other Disposition of Pistols and Revolvers. This consisted of (b)(3) (Public Law) instances involving (b)(3) (Public Law 112-95 125 Stat.532) firearms (WS#2, Exhibit #8, RC#45).

**10 - NFA/Importer/Collector/Manufacturer**

(b)(3) 26 USC 6103  
(b)(3) 26 USC 6103  
(b)(3) 26 USC 6103  
(b)(3) 26 USC 6103  
(b)(3) 26 USC 6103  
(b)(3) 26 USC 6103

The licensee is not an Importer or Manufacturer. The licensee does acquire firearms with the Type 01-Dealers license which would be classified as collector's items.

**11 - Referrals**

As a result of the ATF F 4473 review, TECS/NCIC/NLETS/OLL queries, the following referrals were approved and routed as required to Boston Field Division-Intel Group. A hard copy with attached exhibits was retained in the A/O file (Exhibit #10).

FIREARMS INSPECTION REPORT

Name: David E. LaGuercia UID: 762055-2009-0019-616  
Trade Name: Riverview Sales FFL#: 6-06-003-01-01-01035

(b)(6), (b) (7)(C) for possibly violating 18 U.S.C. 922(a)(g)(1). The purchaser answered "No" to item #11c, ATF F 4473-Section A.  
(b)(6), (b) (7)(C)  
(b)(6), (b) (7)(C)  
(b)(6), (b) (7)(C) for possibly violating 18 U.S.C. 922(a) 3 and 5. Out of State purchaser of long guns. NJ resident purchased Ruger Mini-14 may have violated state law. (b)(6), (b) (7)(C)  
(b)(6), (b) (7)(C)  
(b)(6), (b) (7)(C) for possibly violating 18 U.S.C. 922(a)(g)(1). The purchaser answered "No" to item #11c, ATF F 4473-Section A.  
(b)(6), (b) (7)(C)  
(b)(6), (b) (7)(C) for possibly violating 18 U.S.C. 922(a)(g)(1). Purchaser answered "No" to item 11c on ATF F 4473 -Section A.  
(b)(6), (b) (7)(C) ATF F 4473 executed  
(b)(3) (Public Law 112-55 125 Stat.552)

12 - Other  
(b)(3) (Public Law 112-55 125 Stat.552)  
(b)(3) (Public Law 112-55 125 Stat.552) firearms were verified in the licensees A&D computerized records

13 - Closing Actions  
On September 11, 2009, IOI (b)(6) and IOI (b)(6) met owner, David LaGuercia to hold an inspection closing conference and issue ATF F 5030.5 Report of Violations (Attachment #1). Mr. LaGuercia was provided with a thorough explanation of ATF laws and regulations pertaining to his violations.  
IOI (b)(6) and IOI (b)(6) reviewed the regulatory requirements, including secure gun storage and safety devices. An Acknowledgement of Federal Firearms Regulations form was executed on September 11, 2009 (Exhibit #13). An explanation was provided with particular attention paid to record keeping.



**FIREARMS INSPECTION REPORT**

Name: David E. LaGuercia

UI#: 762055-2009-0019-B1B

Trade Name: Riverview Sales

FEL#: 6-06-003-01 OL 01035

filing ATF F 3310.4 and monitoring input to the approved computerized record system for compliance with variance and the ATF Ruling 2008-2.

In addition, David LaGuercia was provided with Listing of ATF contact numbers in headquarters and for the field division including I.E. ATF Publication 5300.4, Report of Thefts/Loss and Theft/Loss via Interstate Transfer, ATF F 5300.3B, Gun Show Guidelines, ATF Prohibitions of Domestic Violence, NICS Publication, Youth Gun Safety Act, ATF F 4473, Data pertaining to computerized ATF F 4473 and revised ATF F 4473, Sample of acquisition/disposition record, ATF F 3310.4, Personal Firearms Record, ATF F 6 & 6 A, ATF School Zone, FFL EZ Check data, NEA brochure, NEA Repair of Firearm Information, ATF F 5320.20, ATF F 1, ATF F 2, ATF F 3 and ATF F 4 and instructions for requesting a variance.

Post closing conference, the licensee confirmed availability to attend a Warning Conference. An invitation was issued thru A/S (b)(6) Attachment #2). The warning conference was held at the ATF Hartford Industry Operations Office located in the AA Ribicoff Building, 450 Main Street, Room 610, Hartford, CT on 1-7-2010. Present were A/S (b)(6) and IOI (b)(6). David LaGuercia acknowledged receipt of the warning letter during the meeting (Attachment #2). Violations issued on September 11, 2009 were fully discussed. A follow up letter was issued to (Attachment #3).

**14 - Violations**

- 1. 27 CFR 478.121(e)  
(REPEAT)

**Nature of Violation:** Licensee failed to properly maintain A & D records in (b)(3) (Public Law 112-55) instances. Duplicate serial numbers were recorded in (b)(3) (Public Law 112-55) instances. Serial numbers were transposed in (b)(3) (Public Law 112-55) instances and incorrectly recorded a made up serial number instead of "none" in (b)(3) (Public Law 112-55) instance. Failed to record the proper Manufacturer/Importer in (b)(3) (Public Law 112-55) instances and failed to record the proper transferee in (b)(3) (Public Law 112-55) instances.

**Licensee's Response:** Licensee indicated that records were converted to computer form and errors were an oversight. The program and entries will be reviewed more closely.

**Corrective Action:** Licensee immediately reviewed acquisition and disposition

FIREARMS INSPECTION REPORT

Name: David E. LaGuercia UIN: 762055-2009-0019-B18

Trade Name: Riverview Sales FFL#: 6-06-003-01-01-01035

records and corrected the computer entries. The licensee also informed his employees of the findings to ensure no further errors.

2. 27 CFR 478.124(c)(1) (REPEAT)

Nature of Violation: Licensee failed to obtain a response (Blank) from purchasers in instances under Items #11b, #11d, #11e and #11g, Section A of ATF F 4473.

Licensee failed to obtain a complete response from purchasers in instances under Items #12 and #17, Section A of ATF F 4473.

Licensee's Response: Unintentional error, an oversight not to catch the omission prior to completing the firearms transfer. In all instances, NICS was contacted and a proceed obtained.

Corrective Action: As instructed, the licensee contacted the purchasers.

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

Nature of Violation: Licensee failed to complete in instance Item #21a (Blank), Section B of the ATF F 4473.

Licensee's Response: NICS was contacted as required and the blank data was recorded on State of Connecticut DPS forms. An oversight not to record the information on ATF F 4473.

Corrective Action: Licensee corrected the blank data.

4. 27 CFR 478.125(e) (REPEAT)

Nature of Violation: Licensee failed to Record Receipt and Disposition of firearms in instances. instance failed to record an acquisition and instances of failing to record a disposition.

Licensee's Response: Licensee adjusting internal controls and procedures



**FIREARMS INSPECTION REPORT**

**Name:** David E. LaGuercia **UI#:** 762055-2009-0019-B1B  
**Trade Name:** Riverview Sales **FFL#:** 6-06-003-01-01-01035

Licensee failed in (b)(3) (Public Law) instance to obtain proper information on prescribed form ATF F 4473.

Licensee's Response: Employee errors and lack of oversight caused the error.

Corrective Action: Licensee adjusting internal controls and procedures to ensure ATF F 4473 properly completed by the customer and sales employees. Licensee informed the employees of errors to ensure future errors do not occur and stressed the need to monitor customers and those accompanying customers while completing ATF F 4473.

(b)(6)

Signature

ROI  
File

11/08/09  
Date of Report

Index of Attachments, Worksheets, Exhibits and Work notes

Attachments:

1. ATF F 5030.5- Report of Violations executed 09/11/09.
2. Warning Letter of
3. Warning Conference Invitation Letter of
4. Warning Conference Follow up Letter of

Worksheets:

1. Information Page
2. WS#1 Inventory and A & D Review
3. WS#2 ATF F 4473 (August 2008 Version)
4. Statistical Page

Exhibits:

1. VCAB Firearms Trace and Multiple Sale History.
2. State of CT Sales and Acquisition Reports-NICS Validations Sold by Dealer
- 2a. Purchased by Dealer
3. State of Connecticut Dept. of Public Safety Pistol Permit Data for David LaGuercia #932880
4. (b)(3) 26 USC 6103

## FIREARMS INSPECTION REPORT

Name: David E. LaGuercia

UI#: 762055-2009-0019-B18

Trade Name: Riverview Sales

FEL#: 6-06-003-01-01-01035

5. State of CT-Secretary of State's office business filing for Riverview Sales.
6. ATF approved computer record variance of March 6, 2008
7. WS#1 attachments (ROV #1 & #4)
8. WS#2 attachments (ROV#2, #3, #5 & #7)
9. ATF F 3 registration for M22-1040
10. Referrals ATF F 5000.21 - 21 out attached exhibits

(b)(6)

11. Denied sales for (b)(3) (Public Law 112-55 125 Stat.) transactions and customer data provided to RAC Hartford, VCIT
12. FTI list of (b)(3) (Public Law 112-55 125 Stat.) firearms confirmed thru FEL records
13. Acknowledgment of Federal Firearms Regulations executed 09/11/09.
14. Report of Violations ATF F 5030.5 issued/acknowledged 12/17/07.
15. Warning Letter and Warning Conference Invitation of 1/17/08.
16. Warning Conference follow up Letter of 2/13/2008.

### Work notes:

1. Information and Statistics.
2. Secondary Market Information
3. (b)(3) (Public Law 112-55 125 Stat.552)
4. TECS/NCIC/NLETS Queries
5. Firearms Inspection Safety & Security Profile

**FIREARMS INSPECTION**  
Informational Page

Enter the Licensee's Name and UI# in the boxes below to populate all worksheets in the Workbook.

David E. LaGuercia/Riverview Sales	762055-2809-8019
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Enter the Investigator's Name and Date to populate all worksheets in the Workbook.

IOI (b)(6)	10/30/09
------------	----------

Figures for the Results Tab in N-Spect		
478.99	Total Transactions With Violations:	0
478.100	Total Number of Transactions with Violations:	0
478.102	Total Number of Transactions with Violations:	0
478.124	Total Number ATF Forms 4473 Reviewed:	0
478.124	Total No. With Violations on F 4473 Certification:	(b)(3) (Public Law 1)
478.124	Total No. With Violations on F 4473 Section A:	0
478.124	Total Number with Other Violations:	(b)(3) (Public Law 1)
478.125	Firearms in Phys. Inventory Verified w A/D Book:	(b)(3) (Public Law 1)
478.125	Firearms in A/D Bk Verified w Phys Inventory:	(b)(3) (Public Law 1)
478.125	Number of Discrepancies:	(b)(3) (Public Law 1)
478.125	Firearms Missing/Stolen after Reconciliation:	(b)(3) (Public Law 1)
478.126a	Total Number of Unreported Multiple Sales:	(b)(3) (Public Law 1)
478.126a	Total Number of Guns Involved:	(b)(3) (Public Law 1)

ATF Form 4473 Review Violation Summary for Report of Violations			
Violation	Worksheet 2		Total Forms
	2008 Edition	2007 Edition	
478.21(a)	(b)(3) (Public Law 1)	0	(b)(3) (Public Law 1)
478.124(c)(1)	(b)(3) (Public Law 1)	0	(b)(3) (Public Law 1)
478.124(c)(3)(i)	0	0	0
478.124(c)(3)(ii)	0	0	0
478.124(c)(3)(iii)	0	0	0
478.124(c)(3)(iv)	0	0	0
478.124(c)(4)	0	0	0
478.124(c)(5)	0	0	0
478.102	0	0	0
478.126a	(b)(3) (Public Law 1)	0	(b)(3) (Public Law 1)
478.99(a)	0	0	0
478.99(b)	0	0	0
478.99(c)	0	0	0
* 478.99	0	0	0
478.125(e)			(b)(3) (Public Law 1)

\* 478.99 is the sum of 478.99(a), 478.99(b) and 478.99(c). 478.99 should not be cited separately from .99(a), (b), and (c) on the Report of Violations.

NOTE: Cells highlighted in light green contain formulas.

Revised 6/2/09

Document \_\_\_\_\_

EXEMPTION B(1)

\_\_\_\_\_

EXEMPTION B(2)

\_\_\_\_\_

EXEMPTION B(3)

✓

APPLICABLE STATUTE

Pub L No. 112-55,  
125 Stat. 552

EXEMPTION B(4)

\_\_\_\_\_

EXEMPTION B(5)

\_\_\_\_\_

DELIBERATIVE PROCESS PRIVILEGE

\_\_\_\_\_

ATTORNEY WORK PRODUCT

\_\_\_\_\_

ATTORNEY CLIENT

\_\_\_\_\_

EXEMPTION B(6)

\_\_\_\_\_

EXEMPTION B(7)(C)

\_\_\_\_\_

EXEMPTION B(7)(E)

\_\_\_\_\_

DUPLICATE

\_\_\_\_\_

NON-RESPONSIVE

\_\_\_\_\_

STRING E-MAIL

\_\_\_\_\_

Located in Document \_\_\_\_\_

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



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

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



FIREARMS INSPECTION  
Statistical Page

<b>Licensee Name:</b> David E. LaGarcia/Interview Sales				<b>UT Number:</b> 762055-2009-0019	
<b>Firearm:</b> IOI (b)(6)				<b>Date:</b> 10/30/09	
Type of Violation	Worksheet			Number of Instances	Percentages
	1	2	2		
		(2008 edition)	(2007 edition)		
<b>A &amp; D Bound Book and Inventory Violations</b>					
Number of firearms not timely and correctly recorded in A & D Book	(b)(3) (Public L)			(b)(3) (Public Law 112-55 Stat.552)	
Missing firearms after reconciliation	0			0	
<b>Forms 4473 Violations</b>					
Fails to execute ATF Forms 4473 or missing Forms 4473	0			0	
Fails to obtain complete or accurate information in certification or Section B		(b)(3) (Public L)	0	(b)(3) (Public L)	#DIV/0!
Fails to record any ID		0	0	0	#DIV/0!
Fails to record valid ID		0	0	0	#DIV/0!
<b>NICS Violations:</b>					
Fails to conduct NICS check or obtain alternative permit		0	0	0	
<b>Prohibited Sales Violations</b>					
Sale of long gun to a resident in another state that violates state law		0	0	0	
Transfer of handgun to out-of-state resident		0	0	0	
Transfer of firearm to a purchaser, who at the time of the transfer appeared to be prohibited.				0	
<b>Conduct of Business</b>					
Fails to report multiple handgun sales				(b)(3) (Public Law)	

Revised 6/2/09

For Official Use Only

TARGET SHEET

User ID: (b)(6)

04/12/2013 08:48:04

License Number: 8 06 003 01 RV 01036



(b)(3) 26 USC 6103

Licensee Name: LAGUERGA, DAVID E.

Business Name: RIVERVIEW SALES



Premises Address

Street: 4 PROSPECT HILL RD

City: EAST WINDSOR

State: CT

Zip Code: 06088

Mailing Address

Street: 1100 RIVER RD

City: AGAWAM

State: MA

Zip Code: 01001

Add Date  
08/01/2005

Change Date  
04/10/2013

Expiration Date  
11/01/2013

Inspection Date  
12/28/2009

Renewal Receive Date

Renewal Date  
10/05/2010

TECS	
(b)(7)(E)	

COMMENTS/REMARKS

INDEX CODES

(b)(7)(E)

(b)(6)

From: (b)(6)  
Sent: Friday, April 12, 2013 10:26 AM  
To: (b)(6)  
Subject: I W: 6-00-01035: LAGUERCIA, David  
Attachments: 20130412095939013.tif

Re: you re (b)(6)

NOTICE: This e-mail message and any attached files are intended solely for the use of the addressee(s) named above in connection with official business. This communication may contain sensitive but unclassified information that may be statutorily or otherwise prohibited from being released without appropriate approval. Any review, use, or dissemination of this e-mail message and any attached file(s) in any form outside of the Bureau of Alcohol, Tobacco, Firearms & Explosives or the Department of Justice without express authorization is strictly prohibited.

-Original Message-

From: (b)(6) [mailto:(b)(6)]  
Sent: Friday, April 12, 2013 10:00 AM  
To: (b)(6)  
Subject:

This E-mail was sent from "(b)(7)(E)

Scan Date: 04.12.2013 09:59:38 (-0400)  
Queries to: (b)(6)  
\*\*\*\*\*

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U.S. Department of Justice  
Bureau of Alcohol, Tobacco, Firearms and Explosives

Notice of Revocation of License

In the matter of License Number 6-06-063-01-011035 as Dealer in Firearms, Other than Destructive Devices

issued to

David E. Laguarda  
Newspaper Sales  
4 Prospect Hill Road  
East Windsor, Connecticut 06088

- (1)  Pursuant to section 923(a) of Title 18, U.S.C., and for the reasons stated in the pages of this notice, the license described above is hereby revoked effective December 20, 2012 as a result of the licensee's ineligibility for a hearing, the license described above is hereby revoked effective December 20, 2012.
- (2)  Pursuant to section 923(d)(2) of Title 18, U.S.C., you may file a request with the Director of Industry Operations (DIO), Bureau of Alcohol, Tobacco, Firearms and Explosives, (Address) in duplicate, within 15 days after receipt of this notice, for a hearing to review the revocation of your license;
- (3)  If you request a hearing, it will be held as provided in 27 CFR Part 478, and
- (4)  If your request for a hearing is filed on time, the effective date of revocation of your license will be stayed pending review of your request for hearing.

Date 12/20/2012 Signature and Title of Bureau of Alcohol, Tobacco, Firearms and Explosives Official (b)(6) DIO

I certify that on the date below I served the above notice on the person identified below by

- Delivering a copy of the notice to the address shown below.  Certified mail to the address shown below.

Date Notice Served 12/20/2012 Name of Person Served (Please state if served on partner or officer of corporation) David E. Laguarda

Address Where Notice Served 4 Prospect Hill Road East Windsor, Connecticut 06088 (b)(6) (6)

Date 12/20/2012 Signature of Person (b)(6) Title Area Supervisor



U.S. Department of Justice

Bureau of Alcohol, Tobacco,  
Firearms and Explosives

*Boston Field Division  
10 Causeway St., Room 791  
Boston, Massachusetts 02114*

December 20, 2012

3202  
001 BX 121657

PERSONAL SERVICE

David E. Lagueria  
Riverview Sales  
4 Prospect Hill Road  
East Windsor, Connecticut 06038  
FFL# 6-06-003-01 OL-01035

Dear Mr. Lagueria,

You are hereby advised that your Federal Firearms License is revoked effective December 20, 2012. Enclosed please find a Final Notice of Revocation and the Findings of Fact and Conclusions of Law from the hearing held on August 8<sup>th</sup> and 9<sup>th</sup>, 2012. The Notice is self-explanatory. You are no longer licensed to deal in firearms.

You may, within 60 days of receipt of this Notice, file a petition for judicial review of the revocation of your license. Such petition should be filed with the United States District Court for the district in which you reside or maintain your place of business. If you file a petition for review you may apply to the Director of Industry Operations for a stay of the effective date of the revocation pending judicial review.

Please contact Hartford Area Office Supervisor (b)(6) for assistance in closing out your records. She can be reached at 860-240-(b)(6). If you have any questions, please contact ATF Division Counsel (b)(6) at 617-557-(b)(6).

Sincerely,

(b)(6)

Director of Industry Operations

Encl.



U.S. Department of Justice  
Bureau of Alcohol, Tobacco, Firearms and Explosives

### Notice of Revocation of License

In the matter of License Number 6-06-003-01-01-01615

of Dealer in Firearms, Other than Destructive Devices

issued to

David E. Engwerlein

David E. Engwerlein  
Division Sales  
1 Prospect Hill Road  
East Windsor, Connecticut 06088

(1)  Pursuant to section 9236(c) of Title 18, U.S.C., and for the reasons stated in the pointer attached to this form, starting on or after the date of this opportunity for a hearing, the license described above is revoked effective December 20, 2012.

(2)  Pursuant to section 9236(f)(2) of Title 18, U.S.C., you may file a request with the Director of Industry Operations (DIO), Bureau of Alcohol, Tobacco, Firearms and Explosives

Address

in duplicate, within 15 days after receipt of this notice, for a hearing to review the revocation of your license.

(3)  If you request a hearing, it will be held as provided in 27 CFR Part 178, and

(4)  If your request for a hearing is filed on time, the effective date of revocation of your license will be stayed pending review pursuant to the hearing.

Date

12/20/2012

(b)(6)

Explosives Official

DJO

I certify that on the date below, I served the above notice on the person identified below by

Delivering a copy of the notice to the address shown below.

Certified mail to the address shown below.

Date Notice Served

12/20/2012

Name of Person Served *(Please state if served on partner or officer of corporation)*

David E. Engwerlein

Address Where Notice Served

1 Prospect Hill Road  
East Windsor, Connecticut 06088

Date

12/17/2012

Signature of Person Serving Notice

Title

UNITED STATES OF AMERICA : Case Number DNX-126655  
 :  
 In the Matter of the Final Notice :  
 Of Revocation of Federal Firearms :  
 License, as a Dealer in Firearms :  
 other than Destructive Devices. : FEDERAL BUREAU OF INVESTIGATION  
 : FIREARMS AND EXPLOSIVES  
 :  
 Licensee :  
 :  
 David LaGuercin :  
 dba Riverview Sales :  
 4 Prospect Hill Road :  
 East Windsor, Connecticut 06088 : BOSTON FIELD DIVISION  
 FFL No. 6-06-003 01-3L-01035 :

PROCEDURAL HISTORY

Under the provisions of Section 923(e), Title 18, United States Code, and Section 478.73(a), Title 27, Code of Federal Regulations, the Attorney General may, after notice and opportunity for hearing, revoke a license if the holder of the license has willfully violated any provision of the Gun Control Act or regulations issued under the authority of the Gun Control Act. On June 8, 2011, the Director of Industry Operations (DIO), Boston Field Division, issued a Notice of Revocation of Federal Firearms License, ATF Form 4500 (5300.4), to David LaGuercin, dba Riverview Sales ("the licensee"), Federal Firearms License Number 6-06-003-01-3L-01035 (a dealer in firearms, other than destructive devices), 4 Prospect Hill Road, East Windsor, Connecticut 06088. The proposed revocation of license was premised on willful record keeping and reporting violations. This Notice was served on the licensee via certified mail, and set forth in detail ATF's basis for revocation of the license and imposition of the civil fine.

On July 25<sup>th</sup> and July 27<sup>th</sup>, 2012, the Director of Industry Operations (DIO), Boston Field Division, issued revised Notices of Revocation of Federal Firearms License, ATF Form 4500 (5300.4), to the licensee, served via certified mail. The revised notices included allegations regarding licensee's sale of ammunition to a prohibited person, and that the licensee had allowed this prohibited person to handle firearms at the licensee's business premises.

An informal hearing was held on August 8<sup>th</sup> and 9<sup>th</sup>, 2012, at The Tip O'Neill Federal Building, 14 Causeway Street, Conference Room A, Boston, Massachusetts 02222. ATF scheduled the hearing - via May 7, 2012 Notice of Hearing - after receiving a hearing request (dated June 22, 2011) from (b)(6) Esq., representing Riverview Sales. The hearing concerned the Notice of Revocation of License. The hearing was held under the provision of 18 U.S.C. § 923(f) and

David LaGuercia  
Dho Riverview Sales

27 C.F.R. § 478.74. (b)(6) presided as the Hearing Officer.

### HEARING

#### Appearing for the Government:

ATF Assistant Chief Counsel (Eastern Region) (b)(6) and ATF Attorney (b)(6) (b)(6) (Boston Field Division) represented the government. (b)(6) (Boston Area Supervisor for Industry Operations (Plainfield Area Office), Industry Operations Investigators (IOIs) (b)(6) and (b)(6) and Special Agent (SA) (b)(6) appeared as witnesses for the Government.

#### Appearing for the Licensee Applicant:

The licensee was represented by Attorneys (b)(6) and (b)(6). Also present for the licensee were FFL Guard Consultants (b)(6) and (b)(6). Mr. LaGuercia testified in defense of his license. During the hearing, the Licensee was afforded the opportunity to present evidence and witnesses, and to cross examine the Government witnesses. After reviewing the entire record of the hearing and all the evidence submitted by both parties, I make the following findings:

### FINDINGS OF FACT

#### Findings of Facts Regarding Compliance History

- (1) In 2004, the licensee was subject to an inspection by an ATF Industry Operations Investigator. During the 2004 inspection, the ATF investigator reviewed federal firearms regulations and recordkeeping requirements with the licensee. The licensee signed an acknowledgement that the regulations were explained and discussed. *See* GX 7.
- (2) In 2007, the licensee was subject to a compliance inspection by ATF Industry Operations Investigators. At the conclusion of the inspection the licensee was cited for, among other things:
  - (a) Violations of 27 C.F.R. § 478.124(c)(1) for failing to correctly and completely record all of the required information on ATF Forms 4473;
  - (b) Violation of 27 C.F.R. § 478.121(c) for failing to properly maintain acquisition & disposition records (also called an "A&D Book") as required, by entering incorrect serial numbers into the records;
  - (c) Violations of 27 C.F.R. § 478.125(c) for failing to record disposition of firearms in the A&D Book in a timely manner; and

David LaGuercia,  
Dba Riverview Sales

- (b) Violations of 27 C.F.R. § 478.21(a) for failing to record a transfer or transference to record on his or her answers on ATF Form 4473 when transferring a firearm on a date when the firearm was originally certified as the state's licensed dealer.
- (c) During the 2007 inspection, an ATF investigator reviewed federal firearms regulations and recordkeeping requirements with the licensee. The licensee signed an acknowledgment that the regulations were explained and discussed. In addition, the licensee was given ATF telephone numbers and information on web-based resources and advised to call ATF with any questions. See GX 8.
- (d) On December 17, 2007, the licensee was provided with a copy of the Report of Violations (ROV), detailing the problems ATF found during the inspection. The licensee signed the ROV acknowledging that he had received it and that the ATF inspector had discussed the violations with him. See GX 9.
- (5) The Licensee received a warning letter on January 18, 2008, which reminded the licensee of the importance of compliance and that future violations may be considered willful and could result in the revocation of the federal firearms license. See GX 10.
- (6) On February 13, 2008, the licensee attended a warning conference at ATF's Hartford, Connecticut office. At the conference, the violations discovered during the 2007 inspection, as well as how to correct them and avoid future violations, were discussed in detail. The licensee was given the opportunity to ask any questions about the federal firearms regulations and was warned that future violations may be deemed willful. A few days later, ATF sent (and the licensee received) a letter summarizing the discussions that had taken place at the warning conference, warning the licensee that he should expect future inspections, and reminding the licensee that future violations may be considered willful and may result in revocation of the federal firearms license. See GX 11.
- (7) In 2009, the licensee was subject to a compliance inspection by ATF Industry Operations Investigators. At the conclusion of the inspection the licensee was cited for, among other things:
  - (a) Violations of 27 C.F.R. § 478.124(c)(1) and 27 C.F.R. § 478.21(a) for transferring firearms without recording and requiring the transferee to correctly and completely record all of the required information on ATF Forms 4473;
  - (b) Violation of 27 C.F.R. § 478.121(c) for failing to properly maintain acquisition & disposition records as required, by failing to record or entering incorrect serial numbers, manufacturers, importers, and transferees into the records;

David LaGuercia,  
Dba Riverview Sales

- (c) Violations of 27 C.F.R. § 478.126a for failing to submit reports of multiple handgun sales to ATF.
  - (d) Violations of 27 C.F.R. § 478.129(c) for failing to maintain records of transactions not completed due to a NICS denial.
  - (e) Violations of 27 C.F.R. § 478.125(e) for failing to record the acquisition and disposition of firearms in the A&D Book, and
  - (f) Violations of 27 C.F.R. § 478.124(c)(3)(iv) for failing to record the date NICS was contacted on the ATF Form 4473.
- (8) During the 2009 inspection, an ATF investigator reviewed federal firearms regulations and recordkeeping requirements with the licensee. The licensee signed an acknowledgement that the regulations were explained and discussed. In addition, the licensee was given ATF telephone numbers, and information on web-based resources and advised to call ATF with any questions. *See* GX 13.
- (9) On September 11, 2009 the licensee was provided with a copy of the Report of Violations (ROV), detailing the problems ATF found during the inspection. The licensee signed the ROV acknowledging that he had received it and that the ATF inspector had discussed the violations with him. *See* GX 12.
- (10) On December 30, 2009 ATF sent the licensee a Warning Letter, which reminded the licensee of the importance of compliance and warned that future violations may be considered willful and could result in the revocation of the federal firearms license. *See* GX 14.
- (11) On January 7, 2010, the licensee attending a warning conference at ATF's Hartford, Connecticut office. At the conference, the violations discovered during the 2009 inspection, as well as how to correct them and avoid future violations, were discussed in detail. The licensee was given the opportunity to ask any questions about the federal firearms regulations and was warned that future violations may be deemed willful. A few days later, ATF sent (and the licensee received) a letter summarizing the discussions that had taken place at the warning conference, warning the licensee that he should expect future inspections, and reminding the licensee that future violations may be considered willful and may result in revocation of the federal firearms license. *See* GX 15.

#### Findings of Facts Regarding Current Violations

Having reviewed the entire record in this matter, I make the following findings with respect to the Licensee's current violations:

David LaGuercia,  
Dba Riverview Sales

Beginning in January 2011, the licensee was subject to a compliance inspection by ATF Industry Operations Investigators. The inspection focused on the period August 13, 2009 – January 5, 2011. The inspection involved a complete inventory of the firearms at the licensee's business premises. The licensee had over 5,000 ATF Form 4473 forms on file, and the ATF Industry Operations Investigators did not review every ATF Form 4473. Based on the sample of approximately 1,500 forms reviewed, it is estimated that the licensee has approximately 1,500 forms to be reviewed.

The inspection revealed numerous violations of the Gun Control Act,<sup>1</sup> including the investigation of an individual who admitted to being a felon in possession of firearms and received the firearm from one of the licensee's store managers had sold ammunition to a known felon, and allowed that felon to handle firearms in the store, as described in the revised Notices of Revocation.

#### SPECIFIC FACTUAL FINDINGS

- (1) I find that the inspection revealed over 300 violations of 18 U.S.C. §§ 922(m) and 923(g)(1)(A), and 27 C.F.R. § 478.125(c) for failing to completely, accurately, and timely record information into the Acquisition and Disposition record. This is a repeat violation. The licensee was previously cited for other violations of this provision in 2007 and 2009.<sup>2</sup>
- (2) I find 14 violations of 18 U.S.C. §§ 922(m) and 923(g)(3)(A), and 27 C.F.R. § 478.126 for failing to report Multiple Sale or Other Disposition of Pistols and Revolvers to ATF on ATF Form 3310.4. This is a repeat violation. The licensee was previously cited for other violations of this provision in 2009.<sup>3</sup>
- (3) I find 21 violations of 18 U.S.C. §§ 922(m) and 923(g)(1)(A), and 27 C.F.R. § 478.124(c)(1) for transferring a firearm without first requiring the transferee to provide the personal identifying information (such as name, residential address, place of birth, citizenship, etc) and certify that he or she is not prohibited from possessing firearms, as required by ATF Form 4473. This is a repeat violation. The licensee was previously cited for other violations of this provision in 2007 and 2009.<sup>4</sup>
- (4) I find 102 violations of 18 U.S.C. §§ 922(m), 922(f)(1)(C), and 923(g)(1)(A), and 27 C.F.R. § 478.124(c)(3)(i) for failing to adequately verify and record the identity of the

<sup>1</sup> Note that Revocation Grounds #s 4 – 14 (as numbered in the Notices of Revocation) involve violations on the Forms 4473. As mentioned above, only 25% – 30% of the forms (randomly chosen) were reviewed by ATF during the inspection. Thus, 70% – 75% of the Form 4473s were not reviewed, and it is probable that additional violations of the statutory and regulatory provisions cited in Revocation Grounds 4 – 14 exist on those unreviewed forms. Statistically, one would estimate that the actual number of violations for Grounds #4 – 14 is three to four times what is cited herein.

<sup>2</sup> This is cited as the 2<sup>nd</sup> ground for revocation in the Notices of Revocation.

<sup>3</sup> This is cited as the 3<sup>rd</sup> ground for revocation in the Notices of Revocation.

<sup>4</sup> This is cited as the 4<sup>th</sup> ground for revocation in the Notices of Revocation.

David LaGuercia,  
Dba Riverview Sales

transferee by examining a valid government-issued identification document (as defined in 27 C.F.R. 478.111).<sup>5</sup>

- (5) I find 17 violations of 18 U.S.C. §§ 922(a)(1) and 922(b)(1)(A), and 27 C.F.R. § 478.124(c)(3)(i) for transferring a firearm without first completing the required sections of ATF Form 4473 and/or completing all licensee sections of ATF Form 4473. This included transferee responses to items 11a – 11f, failure to indicate type of firearms in item 18, failure to indicate seller's title in item 35, and failure to indicate transferee's name in items 24 and 25 when necessary, and failure to indicate total number of firearms in item 30 on ATF Form 4473. This is a repeat violation. The licensee was previously cited for other violations of this provision in 2008 and 2009.<sup>6</sup>
- (6) I find eight violations of 18 U.S.C. § 922(g)(1)(A) and 27 C.F.R. § 478.124(c)(3) for failing to sign and/or date the ATF Form 4473 certifying that the licensee has no reason to believe that the transferee is prohibited from receiving the firearm(s).<sup>7</sup>
- (7) I find 14 violations of 18 U.S.C. §§ 922(m), 922(i), and 923(g)(1)(A), and 27 C.F.R. § 478.124(c)(3)(iv) for failing to record the date NICS was contacted, the response by the system, and/or the identification number provided by the system on ATF Form 4473 prior to the transfer of a firearm. This is a repeat violation. The licensee was previously cited for other violations of this provision in 2009.<sup>8</sup>
- (8) I find three violations of 18 U.S.C. § 922(b)(3) and 27 C.F.R. § 478.99(a) for transferring firearms to non-Connecticut residents in violation of the laws of the transferee's home state, the laws of Connecticut, and/or federal law.<sup>9</sup> The licensee transferred firearms to

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

- (9) I find two<sup>10</sup> violations of 18 U.S.C. § 922(d) and 27 C.F.R. § 478.99(c) for transferring firearms to persons who appeared, at the time of the transaction, to be prohibited from receiving firearms.<sup>11</sup> **(b)(3) (Public Law 112-55 125 Stat.552)**  
**(b)(3) (Public Law 112-55 125 Stat.552)**

<sup>5</sup> This is cited as the 5<sup>th</sup> ground for revocation in the Notices of Revocation.

<sup>6</sup> This is cited as the 7<sup>th</sup> ground for Revocation in the Notices of Revocation.

<sup>7</sup> This is cited as the 8<sup>th</sup> ground for Revocation in the Notices of Revocation.

<sup>8</sup> This is cited as the 9<sup>th</sup> ground for Revocation in the Notices of Revocation.

<sup>9</sup> This is cited as the 11<sup>th</sup> ground for Revocation in the Notices of Revocation.

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

<sup>10</sup> This is cited as the 12<sup>th</sup> ground for Revocation in the Notices of Revocation.

David LaGuercia,  
Dba Riverview Sales

(10) I find one violation of 18 U.S.C. § 922(i) and 27 C.F.R. § 478.102(a)(2)(ii) for  
**(b)(3) (Public Law 112-55 125 Stat.552)**

(11) I find one violation of 18 U.S.C. § 922(i) and 27 C.F.R. § 478.102(a) for failing to  
conduct a National Instant Criminal Background check of the NICS system prior to  
transferring a firearm to a non-licensee.<sup>13</sup> On May 7, 2010, the licensee willfully violated  
**(b)(3) (Public Law 112-55 125 Stat.552)**

(12) I find willful violations of 18 U.S.C. § 922(d)(1) during the period from approximately  
January 2010 to July 2011. I find that an investigation by ATF law enforcement  
discovered that during this period, a senior Riverview employee **(b)(6)** sold  
**(b)(3) (Public Law 112-55 125 Stat.552)**

U.S.C. §§ 2 and 922(g)(1).<sup>14</sup>

(15) On or about July 7, 2011, you willfully violated 18 U.S.C. § 922 (d) (1) as your employee  
**(b)(6)** sold **(b)(3) (Public Law 112-55 125 Stat.552)**

CONCLUSIONS OF LAW

Under the provisions of Section 923(e), Title 18, United States Code, and Section 478.74, Title  
27, Code of Federal Regulations, the Attorney General may, after notice and opportunity for  
hearing, revoke a license if the holder of the license has willfully violated any provision of the  
Gun Control Act (GCA) or regulations issued pursuant to the Act.

As explained below, I find that the violations cited in my specific findings (these findings were  
described in the Notices of Revocation as grounds 2, 3, 4, 5, 7, 8, 9, 11, 12, 13, 14, and 15) were  
committed willfully.

Where a federal firearms licensee, such as this Licensee/Applicant, knows its legal obligations  
and purposefully disregards or is plainly indifferent to these obligations, such violations are

<sup>13</sup> This is cited as the 13<sup>th</sup> ground for Revocation in the Notices of Revocation

<sup>14</sup> This is cited as the 14<sup>th</sup> ground for Revocation in the Notices of Revocation

<sup>15</sup> This is cited as the 15<sup>th</sup> ground for Revocation in the Notices of Revocation.



David LaGuercia,  
 Dba Riverview Sales

committed willfully. *See American Arms Intl. v. Herbert*, 563 F.3d 78, 83 (4<sup>th</sup> Cir. 2008); *RSA/ Inc. v. Herbert*, 366 F.3d 316, 321-22 (4<sup>th</sup> Cir. 2006); *General Store v. Kim Loan*, 560 F.3d 920, 926 (9<sup>th</sup> Cir. 2009); *Armatus Inc. v. Lambert*, 544 F.3d 644, 647-48 (6<sup>th</sup> Cir. 2008); *Willingham Sports v. ATF*, 315 F.3d 1374, 1377 (11<sup>th</sup> Cir. 2005); *Loach v. U.S. Dept. of Treasury*, 672 F.2d 28, 30 (9<sup>th</sup> Cir. 1981); *Stem, Inc. v. Biosciotech, L.P.*, 201 F.2d 551, 561 (5<sup>th</sup> Cir. 1956); *U. v. Smith*, 606 F.2d 449, 451 (4<sup>th</sup> Cir. 1979); *Levy v. Blumenthal*, 200 F.2d 106, 109 (9<sup>th</sup> Cir. 1979); *Weaver v. Harris*, 2012 U.S. App. LEXIS 17758 (5<sup>th</sup> Cir. 2012).

Mr. LaGuercia did not dispute that he understood his Gun Control or compliance obligations.

During the licensee's 2004 application inspection, the ATF investigator explained the ATF laws and regulations to the licensee, Mr. David LaGuercia. Mr. LaGuercia signed an acknowledgment that

The inspector explained the above information to me on 9-9-04 and answered my questions regarding this information. I have received a copy of this for my records as a reference. I understand that this is only a general overview of the regulations and that I will be responsible for familiarizing myself with all of the laws and regulations governing my licensed firearms business.

During the 2007 and 2009 inspections, the ATF Investigator similarly reviewed the regulations with Mr. LaGuercia, and provided Mr. LaGuercia with an opportunity to ask any general or specific questions about the regulations. Mr. LaGuercia again signed acknowledgements that the regulations had been reviewed with him.

ATF Investigators found violations of the Gun Control Act during both the 2007 and 2009 inspections. At the conclusion of each of those inspections, the licensee was presented with a Report of Violations documenting the specific problems discovered. In each instance, the ATF investigator reviewed the reports of violations with the licensee to ensure he understood what had been done incorrectly and how to do it correctly in the future.

After each of the 2007 and 2009 inspections, ATF sent the licensee a warning letter, reminding the licensee

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.

Shortly after each warning letter, ATF met with the licensee for a warning conference. At each warning conference, the ATF investigator, an ATF supervisor, and the licensee discussed the specific violations discovered, how to prevent them from reoccurring, and the importance of compliance. At the warning conferences, the licensee was presented with the opportunity to ask ATF any questions regarding the regulations or licensee compliance obligations.

David LaGuercia,  
 Dba Riverview Sales

After each warning conference, ATF sent the licensee a follow up letter summarizing up what occurred at the conference.

You were given the opportunity to comment on the violations and what steps you took to ensure that the violations will not reoccur. The violations for which you were cited could adversely impact law enforcement's ability to reduce violent crime and protect the public. You are reminded that future violations, repeat or otherwise, cannot be viewed as willful and may result in the revocation of your license. Monitoring and/or further inspections to ensure your compliance.

On 12/10/09, September 2009 and January 2010, the licensee received correspondence and instruction from ATF regarding how to comply with Federal Firearms laws and regulations.

Although the licensee committed over 500 violations, and thus clearly did many things incorrectly, the licensee also successfully completed hundreds of transactions where all the requirements were completed correctly. This conclusively demonstrates that the licensee knew how to do things the right way, and was capable of getting things right when appropriate attention and effort were devoted to the job, but simply did not focus sufficient attention to ensure that he complied with the GCA each time he sold a firearm.

Accordingly, the large number of repeat violations demonstrates that, the licensee and his employees purposefully disregarded and/or were plainly indifferent to their GCA obligations, and in therefore committed willful violations of the GCA. *See American Arms Intl. v. Herbert*, 563 F.3d at 83; *See also Weaver v. Harris*, 2012 U.S. App LEXIS 11758 at \*4. (repeated violation of known legal requirement is sufficient to establish willfulness).

Regarding Finding 11, the government introduced evidence showing that the licensee understood that he could not transfer firearms without first completing a NICS check. In fact, at the warning conference associated with the 2009 inspection, the licensee told ATF "[my] employees know the rules... nothing leaves the store without a NICS check." *See* GX 15. However, the government presented evidence that on (b)(3) (Public Law 112-55 125 Stat. 552) the licensee allowed a customer to leave the store with his purchased firearm, but did not run a NICS check on that individual until (b)(3) (Public Law 112-55 125 Stat. 552)

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

At the hearing, the government introduced evidence showing that one of the licensee's senior employees allowed a known convicted felon to handle firearms in the store, and that on at least two occasions this employee sold (b)(3) (Public Law 112-55 125 Stat. 552). The licensee admitted that he knew that felons could not handle firearms or possess ammunition. He confirmed that he trains his employees not to allow felons to handle firearms or purchase ammunition. This employee knew the rules and intentionally violated them. These acts endangered the public. The licensee's business is responsible, under the doctrine of *respondent superior* for the actions of its employee and therefore these constitute willful violations of the GCA and constitute additional grounds for revocation of this license.

David LaCherida,  
Dba Riverview Sales

I find and that the record in this matter conclusively establishes that the Licensee knowingly and willfully violated the requirements of the federal firearms law.

Accordingly, as provided by 18 U.S.C. § 922(a)(1) and 28 U.S.C. § 1341, the Licensee's federal firearms license is hereby **REVOKED**.

Dated: December 20, 2012

(b)(6)

From: (b)(6)  
Sent: Friday, April 12, 2013 10:42 AM  
To: (b)(6)  
Cc: (b)(6)  
Subject: FW: 6-06 01035: LAGUERCIA, David

Follow up to last week's email about Laguercia's FLS still showing as active in FLS. My understanding from FLETC is that the license was revoked in FLETC on 4/11/13. The license was also revoked in FLS on 4/11/13. The license was also revoked in FLS on 4/11/13.

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From: (b)(6)  
Sent: Friday, April 12, 2013 8:50 AM  
To: (b)(6)  
Subject: 606-01035: LAGUERCIA, David

Good morning,

The license for LAGUERCIA has been revoked in FLS as requested. Would you please forward me a copy of the final Notice of Revocation for our files?

Thank you,

(b)(6)

Industry Operations Specialist - Adverse Actions  
Federal Firearms Licensing Center  
244 Needy Road  
Martinsburg, WV 25405  
p (304) 616-(b)(6)  
f (866)257-(b)(6)

\*\*\*\*\*

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(b)(6)

From: (b)(6)  
Sent: Friday, April 05, 2013 4:30 PM  
To: (b)(6)  
Subject: FW: 6-06 01035, David LAGUERCIA  
Importance: High

(b)(6)

Here is the FBI states receipt on it but was sent to me early. It looks like the information was all but don't see it either as missing it. Please let this to file as well.

(b)(6)

Legal Instrument Examiner  
Federal Firearms Licensing Center  
US Department of Justice  
Bureau of Alcohol, Tobacco, Firearms & Explosives  
244 Needy Road  
Martinsburg, WV 25405  
Telephone 304-616-(b)(6) Fax 304-616-(b)(6)  
Email: (b)(6)

\*\*\*\*\*

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-----Original Message-----

From: (b)(6)  
Sent: Friday, April 05, 2013 11:11 AM  
To: (b)(6)  
Subject: 6-06 01035, David LAGUERCIA

\*\*\*\*\*

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DEPARTMENT OF JUSTICE - BUREAU OF ALCOHOL, TOBACCO, FIREARMS AND EXPLOSIVES POST INSPECTION  
ACTION NOTIFICATION

DATE: 1/2/2013

FROM: (b)(6)

CASE IDENTIFICATION INFORMATION:

CASE/UI NUMBER: 762055-2010-0230

CASE/INSPECTION TITLE: REC11: RIVERVIEW SALES

ACTIONS:

SAF Pending Revocation

SAF Under IC Investigation

REMARKS:

A hearing was held to revoke Riverview Sales Firearms License on August 8, 2012. This covers events subsequent to the hearing.

Subsequent to the Newtown, CT School shooting on December 14, 2012, ATF Hartford, CT IOIs and Special Agents discovered that the licensee had sold the suspects mother (Nancy Lanza) the firearm that was believed to have been used in the school shooting (b)(3) (Public Law 112-55 125 Stat.552) (b)(3) (Public Law 112-55 125 Stat.552). Further investigation revealed that the licensee was cited for the particular transaction during the course of the 2011 inspection. See source documents folder for a summary of the inspection documents related to Nancy Lanza.

On December 18, 2012, ATF IOIs and ATF Special Agents discovered via news reports that an individual identified as (b)(6) was able to walk into Riverview Sales and was able to steal a firearm from inventory without being detected. A news video indicated the firearm was stored on a display case in close proximity to the front door of Riverview. During the Revocation hearing held in August 2012 for this licensee, a lack of inventory control and at least one discovered instance of an individual "walking off" with a gun was specifically cited during the revocation. The licensee, David Laguercia and his attorneys advised during the hearing that they had taken steps to ensure the security of the inventory after the issues were cited during the 2011 inspection.

On December 18, 2012, and December 20, 2012, ATF IOIs and Special Agents from Hartford, CT were requested to prepare a summary of possible criminal violations involving Riverview Sales for presentation to the U.S. Attorney's Office. Additionally, IOIs and SAs were requested to assist in preparing for a search warrant to be served on Riverview Sales.

Please see the additional PII Folder dated 1/2/13, for events related to the serving of an immediate revocation notice on Riverview and the execution of a search warrant on Riverview on 12/20/12.

END OF MESSAGE - END OF MESSAGE - END OF MESSAGE

(b)(6)

From: (b)(6)  
Sent: Friday, April 05, 2013 11:59 AM  
To: (b)(6)  
Cc:  
Subject: FW: 6-06-01035, David E. Laguercia

Importance: High

Hi,  
I will be out of the office for the next few days. If you have any important matters, please contact me via email below. Thank you, Bob

(b)(6)

Legal Instrument Examiner  
Federal Firearms Licensing Center  
US Department of Justice  
Bureau of Alcohol, Tobacco, Firearms & Explosives  
214 Newby Road  
Martinsburg, WV 25405  
Telephone 304-616 (b)(6) Fax 304-616 (b)(6)  
Email: (b)(6)

\*\*\*\*\*

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-----Original Message-----

From: (b)(6)  
Sent: Friday, April 05, 2013 11:22 AM  
To: (b)(6)  
Subject: 6-06-01035, David E. Laguercia

\*\*\*\*\*

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DEPARTMENT OF JUSTICE - BUREAU OF ALCOHOL, TOBACCO, FIREARMS AND EXPLOSIVES POST INSPECTION  
ACTION NOTIFICATION

DATE: 4/5/2013  
FROM: (b)(6)

CASE IDENTIFICATION INFORMATION:

CASL/ UI NUMBLR: 762055-2010-0230

CASE/INSPECTION TITLE: RIC11: RIVERVIEW SALES

ACTIONS:

AA Revocation Hearing Held  
IA Revoke License or Permit  
IA Update Licensing Center File

REMARKS:

David E. LAGUERCIA  
d.d.a. Riverview Sales  
6-08-2010 (Revoked)  
IOI (b)(6)

FELC please note the FFL was issued an immediate revocation notice effective December 18, 2012. Mr. Laguercia had 60 days to appeal the revocation notice. The 60 day period has passed, effective Feb. 18, 2013.

Please update FELC files to reflect revocation action.

END OF MESSAGE - END OF MESSAGE - END OF MESSAGE



(b)(6)

From: (b)(6)  
Sent: Friday, April 05, 2013 12:03 PM  
To: (b)(6)  
Cc:  
Subject: FW: Revoked FFL no. 6-06-01035, LAGUERCIA, David F  
Attachments: OSINT - 04042013 - ATF revokes license of gun dealer tied to Newtown 04052013.pdf; US FFL dealer record no. 6-06-01035 - David LAGUERCIA 04052013.pdf

Importance: High

(b)(6)

Federal Firearms Licensing Center  
U.S. Department of Justice  
400 ...  
Martinsburg, WV 25405  
Telephone 304-616-(b)(6) Fax 304-616-(b)(6)  
Email: (b)(6)

\*\*\*\*\*

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From: (b)(6)  
Sent: Friday, April 05, 2013 11:35 AM  
To: (b)(6)  
Subject: FW: Revoked FFL no. 6-06-01035, LAGUERCIA, David F  
Importance: High

Please see the e-mail below from Intel. Branch. Hi-profile case, I sent a PI folder update on this case today. Just giving you a heads up if you can make the adjustment as soon as possible please.

\*\*\*\*\*

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From: (b)(6)  
Sent: Friday, April 05, 2013 10:44 AM  
To: (b)(6)

**Subject:** FW: Revoked FFL no. 6-06-01035, LAGUERCIA, David E  
**Importance:** High

(b)(6)

ATF  
Director, Industry Operations  
(MA, VI, RI, CT, NH, ME)  
Director, ATF Firearms

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**From:** (b)(6)  
**Sent:** Friday, April 05, 2013 10:09 AM  
**To:** (b)(6)  
**Cc:** (b)(6)  
**Subject:** Revoked FFL no. 6-06-01035, LAGUERCIA, David E  
**Importance:** High

UNCLASSIFIED//FOR OFFICIAL USE ONLY  
Law Enforcement Sensitive - For Internal ATF Use Only

Good morning (b)(6)

Just in case you weren't aware, FFL dealer no. 6-06-01035, for David LAGUERCIA, that was revoked and the 60-day period ended on Feb. 18, 2013, remains an ACTIVE, LICENSE ISSUED license in FLS. The N-Spect record hasn't transmitted the revocation action to the FFLC. (UIN: 762055-2010-0230)

The attached open source reporting, dated April 4, 2013, that the FFL was revoked December 20, 2012 and that the 60-day time frame to appeal has expired. (<http://www.usatoday.com/story/news/nation/2013/04/04/gun-dealer-license-revoked/2053905>)

Sincerely,

(b)(6)

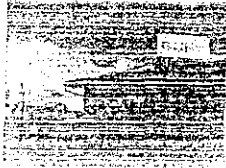
IOI Program Manager  
OSII / Criminal Intelligence Division ... Intelligence-Led Policing / At The Frontline Against Violent Crime  
Strategic Projects Branch

Desk Phone: (202) 648-(b)(6)  
Office Fax : (202) 648-(b)(6)

# ATF revokes license of gun dealer tied to Newtown

Lee Higgins, The (Westchester County, N.Y.) Journal News 3:07pm EDT April 4, 2013

*Nancy Lanza may have legally bought a gun from Riverview Gun Sales in Connecticut*



Shawn Davana looks into the closed Riverview Gun Sales shop on Dec. 21 in East Windsor, Conn. The federal Bureau of Alcohol, Tobacco and Firearms announced in April 2013 that it has permanently revoked the federal firearms license of owner David LaGuercia. (Photo: John Moore, Getty Images)

WHITE PLAINS, N.Y. - The federal Bureau of Alcohol, Tobacco and Firearms has permanently revoked the federal firearms license (<http://www.lobj.com/article/2013/04/04/NEWS02/3040-0084/Newtown-massacre-ATF-revokes-gun-dealer-s-license>) of East Windsor, Conn. gun store owner David LaGuercia, whose shop reportedly sold guns used in the Newtown, Conn., school massacre last month.

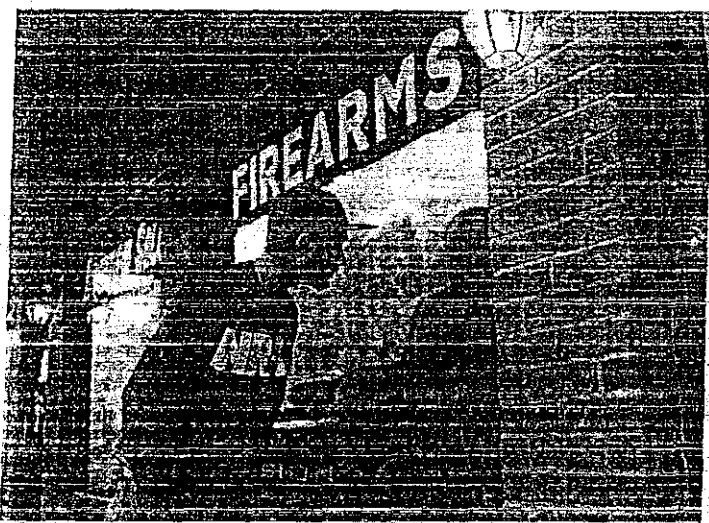
ATF spokeswoman Deb Seifert told The (Westchester County, N.Y.) Journal News on Thursday that the agency permanently revoked LaGuercia's license to sell firearms, but said she could not be more specific on the reasons. It was revoked Dec. 20 and the agency will inform the public "as soon as it's been reviewed," Seifert said. "It's final at this point."

STORY: Conn. governor signs USA's toughest gun law (<http://www.usatoday.com/story/news/nation/2013/04/04/connecticut-gun-control/2013257/>)

Seifert declined to comment on any criminal investigation into Riverview Gun Sales, which ATF agents raided in December, days after the Dec. 14 massacre at Sandy Hook Elementary School left 26 dead. She referred questions on any criminal probe to U.S. Attorney's office spokesman Tom Carson, who could not be reached for comment Thursday.

Citing anonymous sources, The Hartford Courant has reported that the guns used in the Newtown massacre, including a Bushmaster rifle, and the mass shooting at Hartford Distributors Inc. in 2010 that left eight dead were both bought legally at LaGuercia's gun shop.

On Thursday, Connecticut Gov. Dannel Malloy signed the nation's most far-reaching gun control bill. The bill establishes the nation's first statewide registry for people convicted of crimes involving dangerous weapons.



Shawn Davana looks into the closed Riverview Gun Sales shop on Dec. 21 in East Windsor, Conn. The federal Bureau of Alcohol, Tobacco and Firearms announced in April 2013 that it has permanently revoked the federal firearms license of owner David LaGuercia. (Photo: John Moore, Getty Images)

LaGuercia could not be reached for comment Thursday at the store, which continues to sell ammunition, clothes and other accessories, according to a female employee, who declined to give her name.

In December, LaGuercia said in a statement that he was "absolutely appalled" to learn that a gun he sold to Nancy Lanza may have been used by her son, Adam, in the Newtown massacre.

Document \_\_\_\_\_

EXEMPTION B(1) \_\_\_\_\_

EXEMPTION B(2) \_\_\_\_\_

EXEMPTION B(3) \_\_\_\_\_

APPLICABLE STATUTE \_\_\_\_\_

EXEMPTION B(4) \_\_\_\_\_

EXEMPTION B(5) \_\_\_\_\_

DELIBERATIVE PROCESS PRIVILEGE \_\_\_\_\_

ATTORNEY WORK PRODUCT \_\_\_\_\_

ATTORNEY CLIENT \_\_\_\_\_

EXEMPTION B(6)  \_\_\_\_\_

EXEMPTION B(7)(C) \_\_\_\_\_

EXEMPTION B(7)(E) \_\_\_\_\_

DUPLICATE \_\_\_\_\_

NON-RESPONSIVE \_\_\_\_\_

STRING E-MAIL \_\_\_\_\_

Located in Document \_\_\_\_\_

(b) (6)

Document \_\_\_\_\_

EXEMPTION B(1)

\_\_\_\_\_

EXEMPTION B(2)

\_\_\_\_\_

EXEMPTION B(3)



*Pub L No. 112-55,  
125 Stat. 552*

APPLICABLE STATUTE

EXEMPTION B(4)

\_\_\_\_\_

EXEMPTION B(5)

\_\_\_\_\_

DELIBERATIVE PROCESS PRIVILEGE

\_\_\_\_\_

ATTORNEY WORK PRODUCT

\_\_\_\_\_

ATTORNEY CLIENT

\_\_\_\_\_

EXEMPTION B(6)

\_\_\_\_\_

EXEMPTION B(7)(C)

\_\_\_\_\_

EXEMPTION B(7)(E)

\_\_\_\_\_

DUPLICATE

\_\_\_\_\_

NON-RESPONSIVE

\_\_\_\_\_

STRING E-MAIL

\_\_\_\_\_

Located in Document \_\_\_\_\_

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

Document \_\_\_\_\_

EXEMPTION B(1)

\_\_\_\_\_

EXEMPTION B(2)

\_\_\_\_\_

EXEMPTION B(3)



PubL No. 112-55,

125 Stat. 552

APPLICABLE STATUTE

EXEMPTION B(4)

\_\_\_\_\_

EXEMPTION B(5)

\_\_\_\_\_

DELIBERATIVE PROCESS PRIVILEGE

\_\_\_\_\_

ATTORNEY WORK PRODUCT

\_\_\_\_\_

ATTORNEY CLIENT

\_\_\_\_\_

EXEMPTION B(6)

\_\_\_\_\_

EXEMPTION B(7)(C)

\_\_\_\_\_

EXEMPTION B(7)(E)

\_\_\_\_\_

DUPLICATE

\_\_\_\_\_

NON-RESPONSIVE

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STRING E-MAIL

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Located in Document \_\_\_\_\_



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

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

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

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

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

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



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

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

For Official Use Only

TARGET SHEET

UNIT ID: (b)(6)

08/19/2010 11:10:59

License Number: 6 06 003 01 0L 01035



Licensee Name: LAGUERDIA, DAVID E  
Business Name: RIVERVIEW SALES

Premises Address

Street: 4 PROSPECT HILL RD  
City: EAST WINDSOR State: CT Zip Code: 06088

Mailing Address

Street: 1100 RIVER RD  
City: AGAWAM State: MA Zip Code: 01001

Add Date	Change Date	Expiration Date	Inspection Date	Renewal Receive Date	Renewal Date
08/01/2005	08/19/2010	11/01/2010	03/10/2008	06/16/2010	08/28/2007

TECS	
(b) (7)(E)	

COMMENTS/REMARKS

INDEX CODES

(b) (7)(E)

U.S. Department of Justice  
Bureau of Alcohol, Tobacco, Firearms and Explosives

Federal Firearms License (FFL) RENEWAL Application

November 2010

FFL no.: **6-06-003-01-0L-01035**  
FFL Type: **01-DEALER IN FIREARMS OTHER THAN DESTRUCTIVE DEVICES**

Method of Payment (check one):  
 Check (if enclosed)     Cashier's Check or Money Order (if enclosed)  
Visa    MasterCard    American Express    Discover    Other (circle)

Renewal application DUE PRIOR TO: November 1, 2010  
RENEWAL FEE DUE: \$90.00

Card Debit Card Number: \_\_\_\_\_  
M M Y Y    State (if applicable) (circle the letter and number)  
Expiration Date: \_\_\_\_\_

CHECK OR MONEY ORDER MUST BE ENCLOSED (check payment only)  
MONEY ORDER OR CHECK MUST BE CASHED BY THE CREDIT CARD CARD

Card Payment Information: \_\_\_\_\_

MAIL APPLICATION & PAYMENT TO:  
ATF  
P.O. Box 409567  
Atlanta, GA 30384-9567

**WARNING:** Failure to file this application prior to the expiration date of your license may result in the loss of your license and the right to apply for a new license. If you are a collector of curios or relics, you must also file ATF Form 5030.1 with this application.

**WARNING:** Renewal of your license does not guarantee that you will be able to engage in the business or operations authorized by your license. You must also comply with all applicable laws and regulations. If you are a collector of curios or relics, you must also file ATF Form 5030.1 with this application.

**NOT RENEWING**

1. Return this application and your firearms records within 30 days of discontinuance of your business to:  
**ATF Out-of-Business Records Center  
244 Needy Road  
Martinsburg, WV 25405  
(800)788-7133, x204**

2. Check the box below and sign & date on the line provided.  
 I am NOT renewing my license and will submit my records to ATF.  
 I understand I may NOT engage in the business or operations authorized by my license on or after the expiration date of the license.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**A. CURRENT FFL INFORMATION**

**LAQUERCIA, DAVID E**  
Licensee Name  
**RIVERVIEW SALES**  
Trade or Business Name  
FEDERAL ADDRESS: **4 PROSPECT HILL RD  
EAST WINDSOR, CT 06088-**  
MAILING ADDRESS: **1100 RIVER RD  
AGAWAM, MA 01001-**  
Telephone Number (business): \_\_\_\_\_  
Telephone Number (fax): \_\_\_\_\_  
24-hour Emergency Telephone Number: \_\_\_\_\_  
E-mail Address: **MAIN@RIVSALES.COM**

\* Using your trade or business name with ATF licensing requires such a name. You MUST comply with Federal, State and local laws regarding trade or business name registration.

Check here for a change in your current FFL information. AND complete the appropriate box below if you have updated information.

NEW Trade or Business Name: \_\_\_\_\_

NEW Business Address: \_\_\_\_\_

NEW Mailing Address: \_\_\_\_\_

NEW Telephone Number (business): \_\_\_\_\_  
NEW Telephone Number (fax): \_\_\_\_\_

24-hour Emergency Telephone Number: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

**B. HOURS OF OPERATION** Please indicate AM for morning hours and PM for afternoon/evening hours when stating your business hours.

You do NOT have a set hour of operation if you are a collector or consignor. If this applies to you, please check the appropriate box below.  
 Collector of Curios or Relics     Consigning activities ONLY

TIME	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Open	10 AM	1 AM	10 AM	1 AM	1 AM	1 AM	1 AM
Close	11 PM	11 PM	11 PM	11 PM	11 PM	11 PM	11 PM
	Closed All day NO business hours	Closed All day NO business hours	Closed All day NO business hours	Closed All day NO business hours	Closed All day NO business hours	Closed All day NO business hours	Closed All day NO business hours

**WARNING:** You may NOT continue the operations authorized by your FFL after the expiration date of your license UNLESS you have filed this renewal application PRIOR TO the expiration date of your license. Failure to renew your license may result in the loss of your license and the right to apply for a new license.

Expires 11/01/2010

ATF Form 5030.1 (Rev. 10-2009)

FFI No: 6-06-003-01-0L-01035

FFI License Name: LAGUERCIA, DAVID E

FFI Type: DEALER IN FIREARMS OTHER THAN DESTRUCTIVE DEVICES

Premises Address: 4 PROSPECT HILL RD EAST WINDSOR, CT 06035-

Expiration Date: November 1, 2010

RENEWAL APPLICATION QUESTIONNAIRE

2016 AUG 17 PM 1:37

C. Answer questions 1 - 7 by writing "yes" or "no" in the boxes to the right of the questions.

- 1. Is the location of ammunition activity to be conducted under the Federal firearms license (FFL) at the premises address shown above and on the front of this renewal application prohibited by the State in which it is located?
- 2. Will you certify that this application has been processed with the Firearms Administration Agency (FAA) with the Department of State and Education appropriate to the jurisdiction of the State in which the license is being renewed?
- 3. Will the applicable Federal and State laws that are applicable to the fire arms or ammunition activity (including all laws or rules) be in compliance with the terms of the applicable State laws?
- 4. Has a completed copy of this renewal application form (Form A) been sent or delivered to the Chief Law Enforcement Officer of FFL in the jurisdiction in which the premises are located? (Date: 8/17/16) (FFL No: 6-06-003-01-0L-01035)
- 5. A computer system (PC or MAC) will access and storage or safety device be made available at any place in which firearms are sold under the Federal Firearms License (FFL) for persons and NFF licensees. Will the system be a direct effect of a Manufacturer of Ammunition?
- 6. A record of the sale of firearms, ammunition, or explosives (FFL) has been maintained in accordance with the requirements of the applicable State laws?
- 7. Do you have any outstanding warrants or judgments for any crime involving firearms or explosives?
- 8. Do you have any outstanding warrants or judgments for any crime involving firearms or explosives?
- 9. Do you have any outstanding warrants or judgments for any crime involving firearms or explosives?
- 10. Do you have any outstanding warrants or judgments for any crime involving firearms or explosives?
- 11. Do you have any outstanding warrants or judgments for any crime involving firearms or explosives?
- 12. Do you have any outstanding warrants or judgments for any crime involving firearms or explosives?
- 13. Do you have any outstanding warrants or judgments for any crime involving firearms or explosives?
- 14. Do you have any outstanding warrants or judgments for any crime involving firearms or explosives?
- 15. Do you have any outstanding warrants or judgments for any crime involving firearms or explosives?
- 16. Do you have any outstanding warrants or judgments for any crime involving firearms or explosives?
- 17. Do you have any outstanding warrants or judgments for any crime involving firearms or explosives?
- 18. Do you have any outstanding warrants or judgments for any crime involving firearms or explosives?

LAGUERCIA, DAVID E  
RIVERVIEW SALES  
1100 RIVER RD  
AGAWAM, MA 01001.

D. The following questions apply to you and to any other person who has the power to direct the management and policies of your firearms activities. Answer questions 8 - 18 by writing "yes" or "no" in the boxes to the right of the questions.

- 8. Are you an individual named in a judgment or court order for a crime for which a conviction or judgment is in effect for more than one year? (No)
- 9. Have you ever been convicted in any court of a crime for which the judge could have imprisoned you for more than one year even if the judge actually gave you a shorter sentence? (No)
- 10. Are you presently appearing in connection with a crime punishable by imprisonment for a term exceeding one year? (No)
- 11. Are you a fugitive from justice? (No)
- 12. Are you an individual named in a judgment or court order for a crime involving the manufacture, distribution, or possession of a controlled substance? (No)
- 13. Have you ever been found mentally incompetent or have you ever been committed to a mental institution? (No)
- 14. Do you ever have a court order from the Federal Government under dishonorable conditions? (No)
- 15. Are you an alien illegally in the United States? (No)
- 16. Have you ever been deported from the United States? (No)
- 17. Are you subject to a court order restraining you from harassing, stalking, or threatening an intimate partner or child of such partner? (No)
- 18. Have you been convicted in any court of a misdemeanor of domestic violence? (No)

Under penalties imposed by 18 U.S.C. 924, I certify that the statements contained in this renewal application, and any attached statements, are true and correct to the best of my knowledge and belief.

Authorized Signature: [Signature] Title: [Title] Date: 8/17/16  
Telephone No: 800 271 9131

PRINTED NAME of applicant above: [Name]  
PAPERWORK REDUCTION ACT NOTICE  
All Form 5010 (1-10) Part D

DEPARTMENT OF THE TREASURY  
BUREAU OF ALCOHOL, TOBACCO AND FIREARMS  
CERTIFICATION OF COMPLIANCE WITH 18 U.S.C. 922(G)(5)(B)  
NOTE: THE PERSON CERTIFYING TO CITIZENSHIP MUST COMPLETE THIS FORM  
(All entries must be in ink, printed in CAPITAL LETTERS, and legible)

CERTIFICATION - CONTINUED

6. If you answered "YES" to question 5, you MUST answer the following questions:

- a. Are you in possession of a valid hunting license or permit lawfully issued in the United States? Answer "YES" or "NO".  
If you answered "YES" complete the following:  
Hunting license/permit number, if any: 732530 State of issuance: CA Expiration date, if any: 12/31/00
- b. Are you an official representative of a foreign government who is accredited to the United States Government, or your Government's mission to an international organization having its headquarters in the United States? Answer "YES" or "NO".
- c. Are you an official of a foreign government or a distinguished foreign visitor who has been so designated by the United States Department of State? Answer "YES" or "NO".
- d. Have you received a waiver from the normal migrant alien prohibition from the Attorney General of the United States? Answer "YES" or "NO". ALL

FOIA RELEASE

IF YOU ANSWERED "YES" TO QUESTION 6a, OR 6d, YOU MUST SUBMIT APPROPRIATE DOCUMENTATION IN SUPPORT OF YOUR "YES" ANSWER.

7. Under penalties imposed by 18 U.S.C. 924, I certify that the statements contained in this CERTIFICATION OF COMPLIANCE WITH 18 U.S.C. 922 (g)(5)(B) form, and any attached statement in support thereof, are true and correct to the best of my knowledge and belief.

SIGNATURE OF INDIVIDUAL WHO IS IDENTIFIED IN QUESTION 2

*[Handwritten Signature]* DATE 5/10/00

ATF F 5300 20 (3-2002)

PAPERWORK REDUCTION ACT NOTICE

This request is in accordance with the Paperwork Reduction Act of 1995. The information collection is used to determine whether the operations will be in conformity with Federal laws and regulations. The information requested is required to obtain or retain a benefit and is mandatory by statute (26 U.S.C. 5172). The estimated average burden associated with this collection of information is 3 minutes per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be addressed to Record Management Officer, Document Services Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, DC 20226. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid GMB control number.

BEST COPY AVAILABLE

OMB No. 1512-0571

DEPARTMENT OF THE TREASURY  
BUREAU OF ALCOHOL, TOBACCO AND FIREARMS  
CERTIFICATION OF COMPLIANCE WITH 18 U.S.C. 922(G)(5)(B)  
NOTE: THE PERSON CERTIFYING TO CITIZENSHIP MUST COMPLETE THIS FORM  
(All entries must be in ink, printed in CAPITAL LETTERS, and legible)

CERTIFICATION

You MUST complete this certification or ATF will NOT be able to act upon your application and the application will be returned to you. 18 U.S.C. 922 (g)(5)(B) generally makes it unlawful for any nonimmigrant alien to ship or transport in interstate or foreign commerce, or possess in or affecting commerce, any firearms or ammunition; or to receive any firearm or ammunition which has been shipped or transported in interstate or foreign commerce.

A nonimmigrant alien is an alien in the United States in a nonimmigrant classification. The definition includes, in large part, persons traveling temporarily in the United States for business or pleasure, persons studying in the United States who maintain a residence abroad, and certain foreign workers. The definition does NOT include permanent resident aliens.

1. NAME under which the application was filed: Richard J. ...  
Last Name First Name Middle Initial or Name of Corporation, Partnership, or Association, if applicable

2. Name of person CERTIFYING TO citizenship: Richard J. ...  
Last Name First Name Middle Initial

\*If applying for a Federal Firearms License (FFL), ALL listed responsible persons MUST complete a CERTIFICATION.

3. What is your COUNTRY of citizenship? USA  
country name (List additional country(ies) below if applicable)  
country name

If you are a citizen of the UNITED STATES, skip to question 7.

4. Immigration and Naturalization Service (INS) issued alien number or admission number: \_\_\_\_\_

5. Are you a NON-IMMIGRANT alien? Answer "YES" or "NO": NO

If you answered "NO", skip to question 7.

ATF F 5339.06 (3-20-02)

Document \_\_\_\_\_

EXEMPTION B(1) \_\_\_\_\_

EXEMPTION B(2) \_\_\_\_\_

EXEMPTION B(3) \_\_\_\_\_

APPLICABLE STATUTE \_\_\_\_\_

EXEMPTION B(4) \_\_\_\_\_

EXEMPTION B(5) \_\_\_\_\_

DELIBERATIVE PROCESS PRIVILEGE \_\_\_\_\_

ATTORNEY WORK PRODUCT \_\_\_\_\_

ATTORNEY CLIENT \_\_\_\_\_

EXEMPTION B(6) \_\_\_\_\_ ✓

EXEMPTION B(7)(C) \_\_\_\_\_

EXEMPTION B(7)(E) \_\_\_\_\_

DUPLICATE \_\_\_\_\_

NON-RESPONSIVE \_\_\_\_\_

STRING E-MAIL \_\_\_\_\_

Located in Document \_\_\_\_\_



(b) (6)

**TARGET SHEET**

11/05/2011 07:55:53

License Number: N 02 003 01 01 01005

11/05/2011 07:55:53  
11/05/2011 07:55:53  
11/05/2011 07:55:53

(b)(3) 26 USC 6103

License Name: LAGUERGA, DAVID E

Business Name: RIVERVIEW GARAGE

Residence Address

Street: 4 PROSPECT HILL RD

City: EAST WINDSOR

State: CT

Zip Code: 06088

Mailing Address

Street: 1100 RIVER RD

City: AGAWAM

State: MA

Zip Code: 01001

Add Date  
09/01/2005

Change Date  
11/05/2011

Expiration Date  
11/01/2013

Inspection Date  
12/28/2009

Renewal Receive Date

Renewal Date  
10/05/2010

TECS	
(b) (7)(E)	

**COMMENTS/REMARKS**

**INDEX CODES**

(b) (7)(E)

### Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) DAVID E LAGUERCA RIVERVIEW SALES 4 Prospect Hill Road East Windsor, CT 06089, Hartford	2. U.I. NUMBER (ORG. SEQ. CODE, ASSIGNMENT NO., P.P.C.) 762055-2009-0019-B1B		
	3. PERMIT/LICENSE NUMBER 60603010LG1035	4a. TARGET DATE 1/30/2009	4b. TARGET HOURS 40
5. REQUESTED BY (SIGNATURE, TITLE AND DATE)			

6. ATF OFFICERS ASSIGNED

(b)(6) - Lead Inspector  
(b)(6) - Assigned Inspector

7. APPROVED BY (SIGNATURE, TITLE AND DATE)  
(b)(6) - Area Supervisor, 10/02/2008

8. PURPOSE/SPECIAL INSTRUCTIONS  
RECALL INSPECTION

9. INSPECTION RESULTS		CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC		10. TRAVEL EXPENSES (OPTIONAL)	
NO. OF VIOLATIONS	7	NO. OF REFERRALS		2111 - FUEL DIESEL	
NO. OF TEOG CHECKS	33	NO. OF TEOG 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) - Inspector  
Submitted on: 12/10/2009

Viols WC with WL and Recall

12. TIME ACCOUNTING DATA

ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)	ATF OFFICER'S SIGNATURE
APR 2009	2.50	
MAY 2009	2.50	
JUN 2009	1.00	
JUL 2009	6.00	
AUG 2009	87.00	
SEP 2009	51.50	
OCT 2009	15.50	
NOV 2009	60.50	
DEC 2009	18.00	
ATF OFFICER'S SUBTOTAL	244.50	
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)	ATF OFFICER'S SIGNATURE
AUG 2009	57.00	
SEP 2009	21.00	
ATF OFFICER'S SUBTOTAL	78.00	
TOTAL HOURS	322.50	

### Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) DAVID E LAGUERCIA RIVERVIEW SALES 4 Prospect Hill Road East Windsor, CT 06020, H&W	2. U.I. NUMBER (ORG. SEQ. CODE, ASSIGNMENT NO., P.P.C.) 762055-2000-0019-B1B
	3. PERMIT/LICENSE NUMBER   4a. TARGET DATE   4b. TARGET HOURS 606003010101035   1/30/2003   40
5. REQUESTED BY (SIGNATURE, TITLE AND DATE)	

#### 13. REVIEW AND ROUTING

REVIEW COMMENTS AND RECOMMENDATION

*See H-SPIT*

*Exhibits remain in Area Office*

REVIEWED

CONCUR

SEE COMMENTS

FINAL DISPOSITION

(b)(6) <i>Att. Spent</i>	REVIEW DATE <i>12/29/03</i>
--------------------------	--------------------------------

ROUTING SEQUENCE AND DATE

- 1. *FLL* *12/29/03*
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_
- 4. \_\_\_\_\_

CONTROL FILE POSTED DATE \_\_\_\_\_

Document \_\_\_\_\_

EXEMPTION B(1) \_\_\_\_\_

EXEMPTION B(2) \_\_\_\_\_

EXEMPTION B(3) \_\_\_\_\_

APPLICABLE STATUTE \_\_\_\_\_

EXEMPTION B(4) \_\_\_\_\_

EXEMPTION B(5) \_\_\_\_\_

DELIBERATIVE PROCESS PRIVILEGE \_\_\_\_\_

ATTORNEY WORK PRODUCT \_\_\_\_\_

ATTORNEY CLIENT \_\_\_\_\_

EXEMPTION B(6)  \_\_\_\_\_

EXEMPTION B(7)(C) \_\_\_\_\_

EXEMPTION B(7)(E) \_\_\_\_\_

DUPLICATE \_\_\_\_\_

NON-RESPONSIVE \_\_\_\_\_

STRING E-MAIL \_\_\_\_\_

Located in Document \_\_\_\_\_

(b) (6)

**(b)(6)**

From: **(b)(6)**  
 Sent: Tuesday, June 26, 2007 11:26 AM  
 To: **(b)(6)**  
 Cc: **(b)(6)**  
 Subject: FFL history query - 075520  
 Attachments: 0301035.doc

Good Morning Investigator **(b)(6)**

The Violent Crime Analysis Branch has processed your request to provide an FFL history query for Riverview Sales (FFL# 6-06-01035).

Attached is a Word document revealing the activity for the FFL for the time period of August 26, 2004 to June 26, 2007.

Riverview Sales (FFL# 6-06-01035) was associated with **(b)(3)** firearm trace requests **(b)(3)** of which were not completed for an individual purchaser. The **(b)(3)** firearm **(b)(3)** (Public Law 112-25) were not completed for an individual purchaser because the firearms were previously reported stolen. This FFL was also associated with **(b)(3)** multiple sale transactions involving **(b)(3)** firearms and **(b)(3)** FFL theft involving **(b)(3)** firearms **(b)(3)** of which were recovered.

Whenever the Violent Crime Analysis Branch responds via email, a copy is forwarded to the Division Operations Officer for their review. If you have any questions or need additional information please contact the Violent Crime Analysis Branch at 304-616-**(b)(6)**

Please be advised that H.R. 4818, the Consolidated Appropriations Act of 2003, severely restricts the disclosure of any part of the contents of the Firearms Tracing System or any information required to be kept by Federal Firearms Licensees pursuant to 18 USC 923(g), or required to be reported pursuant to 18 USC 923(g)(3) and 923(g)(7).

The information, which is being provided per your request, is for official law enforcement use only and may only be disseminated to law enforcement agencies with investigative jurisdiction to the information. The information should not be used for statistical representation without the prior approval of the Chief, National Tracing Center Division. We recommend that you discuss these restrictions with ATF legal counsel prior to disclosing any of the information provided in this correspondence outside of ATF. Non-ATF requestors must obtain the approval of the Chief, Violent Crime Analysis Branch, prior to disclosing any of the information provided in this correspondence outside of their agency.

Thank you,

**(b)(6)**

Contractor  
 ATF - Violent Crime Analysis Branch  
 304-616-**(b)(6)**

Exhibit # 12

6/26/2007

Document \_\_\_\_\_

EXEMPTION B(1)

\_\_\_\_\_

EXEMPTION B(2)

\_\_\_\_\_

EXEMPTION B(3)

✓  
Pub L No. 112-55  
125 Stat. 552

APPLICABLE STATUTE

EXEMPTION B(4)

\_\_\_\_\_

EXEMPTION B(5)

\_\_\_\_\_

DELIBERATIVE PROCESS PRIVILEGE

\_\_\_\_\_

ATTORNEY WORK PRODUCT

\_\_\_\_\_

ATTORNEY CLIENT

\_\_\_\_\_

EXEMPTION B(6)

\_\_\_\_\_

EXEMPTION B(7)(C)

\_\_\_\_\_

EXEMPTION B(7)(E)

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DUPLICATE

\_\_\_\_\_

NON-RESPONSIVE

\_\_\_\_\_

STRING E-MAIL

\_\_\_\_\_

Located in Document \_\_\_\_\_



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

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

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

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

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

## Acknowledgement of Federal Firearms Regulations

Page references are in ATF P 5300.4 (Sept. 2005)

Licensee Name:	UI Number:
(Blank space for name)	(Blank space for UI number)

		ATF CFR	Page Numbers
<b>1. DEFINITIONS</b>			
<input checked="" type="checkbox"/>	Ammunition	478.11	36
<input checked="" type="checkbox"/>	Antique Firearms	478.11	36
<input checked="" type="checkbox"/>	Curios and Relics	478.11	36
<input checked="" type="checkbox"/>	Engaged in the Business	478.11	37
<input checked="" type="checkbox"/>	Firearm Frame or Receiver	478.11	37
<input checked="" type="checkbox"/>	Identification Document	478.11	38
<input checked="" type="checkbox"/>	Short Barreled Rifles & Shotguns	478.11	38
<b>2. MISCELLANEOUS PROVISIONS</b>			
<input checked="" type="checkbox"/>	Right of Entry and Examination	478.23	41
<input checked="" type="checkbox"/>	"Straw" Purchase	478.111 & General Inscr. # 15	69 & 166
<input checked="" type="checkbox"/>	Tracing Request from ATF	478.25a	42
<input checked="" type="checkbox"/>	Compliance with State Law Publication/ATF P 5300.5	478.24	41
<input checked="" type="checkbox"/>	Firearm Transportation	478.38	45
<input checked="" type="checkbox"/>	Reporting Thefts or Losses/ATF F 3310.11 **	478.39a	45
<b>3. LICENSES</b>			
<input checked="" type="checkbox"/>	Correction of Error	478.48	59
<input checked="" type="checkbox"/>	Renewal/Duration	478.45 & 478.49	48 & 50
<input checked="" type="checkbox"/>	Provisos Covered	478.50	59
<input checked="" type="checkbox"/>	Reporting Changes of Address/ATF F 5300.3a	478.52	49
<input checked="" type="checkbox"/>	Reporting Changes in Trade Name	478.53	49
<input checked="" type="checkbox"/>	Reporting Changes of Control	478.54	49
<input checked="" type="checkbox"/>	Discontinuance of Business	478.57 & 478.127	50 & 69
<b>4. CONDUCT OF BUSINESS</b>			
<input checked="" type="checkbox"/>	Posting of License	478.91	51
<input checked="" type="checkbox"/>	Sales or Deliveries Between Licensees	478.94 & 478.95	51
<input checked="" type="checkbox"/>	Gun Show Guidelines **	478.100	55
<input checked="" type="checkbox"/>	Out of State and Mail Order Sales	478.96	53
<input checked="" type="checkbox"/>	Prohibited Sales and Deliveries	478.99	54-55
<input checked="" type="checkbox"/>	NKS Requirements	478.102 & 478.131	55-56 & 70
<input checked="" type="checkbox"/>	Obliterated Serial Number	478.134	64
<input checked="" type="checkbox"/>	Youth Handgun Safety Act (YHSA)-Sales of Handguns	18 U.S.C. 922(x)	15-16
<input checked="" type="checkbox"/>	Youth Handgun Safety Act Poster and Notices	18 U.S.C. 922(x) & 478.103	15-16 & 56-57
<input checked="" type="checkbox"/>	Secure Gun Storage or Safety Device	921(a)(3-4), 922(z) & 923(d)(1)(G)	8 & 16-18
<input checked="" type="checkbox"/>	Non-resident Aliens	478.29a & ATF Rul. 2004-1	43 & 144-145
<input checked="" type="checkbox"/>	Sales to Law Enforcement Officers	478.134	70-71
<b>5. REQUIRED RECORDS</b>			
<input checked="" type="checkbox"/>	Retention of Records	478.129	69-70
<input checked="" type="checkbox"/>	Transaction Record/ATF F 4473 **	478.124	64-66
<input checked="" type="checkbox"/>	Acquisition and Disposition Record	478.125(e)	67
<input checked="" type="checkbox"/>	Report of Multiple Handgun Sales/ATF F 3310.4 **	478.126a	69
<input checked="" type="checkbox"/>	Personal Firearms	478.125a	68
<input checked="" type="checkbox"/>	Consignment of Firearms (Also, see Q&A section F15)	478.124(a)	64 & 183
<b>6. STATE LAWS AND LOCAL ORDINANCES</b>			
<input checked="" type="checkbox"/>	Review of basic concepts including licenses, waiting periods, concealed carry permits		

\*\* Provide copy of form and explain requirements to consignee.

## Acknowledgement of Federal Firearms Regulations

Page references are in ATF P 5300.4 (Sept. 2005)

Licensee Name:	UI Number:
<i>[Signature]</i>	75203-007-030-BIB-SEA

Topic	27 CFR	Page Number
<b>7. GUNSMITH ACTIVITIES</b>		
<input type="checkbox"/> Gunsmithing (Also, see Q&A section I)	N/A <input type="checkbox"/>	
<input checked="" type="checkbox"/> Gunsmith Recordkeeping	478.124(a) & .125(c), ATF Rul. 77-1	64, 67 & 126
<input type="checkbox"/> Firearms & Ammunition Excise Tax - Contact ITB	Part 53	1-877-882-3277
<b>8. NFA DEALER</b>		
<input checked="" type="checkbox"/> Authorized Operations	N/A <input checked="" type="checkbox"/>	
<input checked="" type="checkbox"/> General Information	ATF Ruling 76-22	126
<input checked="" type="checkbox"/> Special Occupational Tax **	Q&A - M11 & M12	188
<input checked="" type="checkbox"/> NFA Firearms	479.32 - 479.37	85-87
	Part 479	80-98
<b>9. IMPORTER</b>		
<input type="checkbox"/> Importer Definition	N/A <input checked="" type="checkbox"/>	
<input type="checkbox"/> ATF Forms 6 and 6A **	478.11	38
<input type="checkbox"/> Importation Acquisition & Disposition Record	478.112	56-59
<input type="checkbox"/> Markings	478.122 & 478.125(i)	63-64 & 68
<input type="checkbox"/> NFA Firearms	TD ATF-461, 478.92 & 479.102	51-52 & 92-93
<input type="checkbox"/> Firearm & Ammunition Excise Tax - Contact ITB	479.111 - 479.113	94-95
	Part 53	1-877-882-3277
<b>10. EXPORTATION</b>		
<input checked="" type="checkbox"/> Arms Export Control Act of 1976	Part 447	99-101
<b>11. FIREARMS &amp; AMMUNITION MANUFACTURERS</b>		
<input type="checkbox"/> Manufacturer Definition	N/A <input checked="" type="checkbox"/>	
<input type="checkbox"/> Markings	478.11 and 479.11	38 & 83
<input type="checkbox"/> Records	TD ATF-461 & 478.92	51-52
<input type="checkbox"/> Firearms & Ammunition Excise Tax - Contact ITB	478.123 & 478.125(i)	64 & 68
<input type="checkbox"/> NFA Firearms	Part 53	1-877-882-3277
<input type="checkbox"/> Special Occupational Tax **	479.103	93
<input type="checkbox"/> Annual Firearms Manufacturing & Exportation Report	479.32 - 479.37	85-87
	Part 53	ATF F 5300.11
<b>12. SCHOOL ZONE</b>		
<input type="checkbox"/> If the FFL's premises fall within 1000 feet of a school zone, advise the FFL that firearms in possession of FFL's customers must be unloaded and placed in a locked container, or a locked firearms rack that is on a motor vehicle. Also, advise of the specific means the FFL can ensure that their customers are not in violation of 18 U.S.C. 922(q) (e.g. advise customer of State license/permit options, the use of lockable containers, etc.).	N/A <input checked="" type="checkbox"/>	

\*\* Provide copy of form and explain requirements to complete.

The investigator explained the above information to me on 12/17/07 and answered my questions regarding this information. I have received a copy of this for my records as a reference. I understand that this is only a general overview of the regulations and that I will be responsible for familiarizing myself with all of the laws and regulations governing my licensed firearms business.

Applicant's/Licensee's Signature and Date: [Signature]

ATF Investigator Signature and Date: [Signature] 12/17/07

ATF Website: [www.atf.gov](http://www.atf.gov)

Area Office Phone: 860-240-3400

Tracing Center: 1-800-788-7133

Reporting Thefts: 1-888-930-9275

Revised 4/13/05

Page 2 of 2

1-800-800-3855

(b)(6)

4a

**Certification of Compliance with 18 U.S.C. 922(e)(5)(D)**

**Model: The Person Certifying to Compliance must Complete this Form.**

**Certification**

**Test MUST complete this certification of ATF will NOT be able to act upon your application and the application will be returned to you.**

**18 U.S.C. 922(e)(5)(D) generally states it unlawful for any nonimmigrant alien to ship or transport in interstate or foreign commerce, or to receive any firearm or ammunition which has shipped or transported in interstate or foreign commerce.**

**A FOREIGNERIAL alien is an alien in the United States in a nonimmigrant classification. The definition includes, in large part, persons receiving temporary entry in the United States for business or pleasure, persons studying in the United States who maintain a residence abroad, and certain foreign workers. The definition does NOT include permanent residents.**

**If applying for a Federal firearms license (FFL), ALL listed responsible persons must complete a CERTIFICATION.**

**1. Name under which the application was filed. (Last Name, First Name, Middle Initial, or - Name of Corporation, Partnership, or Association, if applicable)**

OverView Sales, Dave LaGuerria

**2. Name of person certifying to citizenship. (Last Name, First Name, Middle Initial)**

Dave LaGuerria

**3. What is your COUNTRY (country of citizenship)? (Use additional countries if applicable)**

USA

**4. If you are a citizen of the United States, file in question 1.**

**4. Immigration and Naturalization Service (INS) issued alien number or admission number**

**5. Are you a NONIMMIGRANT alien? (Answer "YES" or "NO")**

**If you answered "No" to question 5, skip to question 7.**

**6. If you answered "Yes" to question 5, you must answer the following questions.**

**A. Are you in possession of a valid hunting license or permit lawfully issued in the United States? (Answer "YES" or "NO") If "YES" you must submit appropriate documentation in support of your "YES" answer.**

**If you answered "Yes" to question 6A, complete the following forms:**

\_\_\_\_\_  
Hunting license permit number (if any)      State of issuance      Expiration date (if any)

**B. Are you an official representative of a foreign government who is accredited to the United States? (Answer "YES" or "NO") If "YES" you must submit appropriate documentation in support of your "YES" answer.**

**C. Are you an official of a foreign government or a designated foreign visitor who has been designated by the United States Department of State? (Answer "YES" or "NO")**

**D. Have you received a waiver from the nonimmigrant alien prohibition from the Attorney General of the United States? (Answer "YES" or "NO") If "YES" you must submit appropriate documentation in support of your "YES" answer.**

**I, the undersigned, certify that the statements contained in this certification of compliance with 18 U.S.C. 922(e)(5)(D) are true and correct to the best of my knowledge and belief.**

**Signature of individual who is identified in question 2**

Date: 12/17/07

ATF Form 510-20  
Revised June 2001

EXH. B + 5

Document \_\_\_\_\_

EXEMPTION B(1) \_\_\_\_\_

EXEMPTION B(2) \_\_\_\_\_

EXEMPTION B(3) \_\_\_\_\_

APPLICABLE STATUTE

✓  
Pub L No. 112-55,  
125 Stat. 552

EXEMPTION B(4) \_\_\_\_\_

EXEMPTION B(5) \_\_\_\_\_

DELIBERATIVE PROCESS PRIVILEGE \_\_\_\_\_

ATTORNEY WORK PRODUCT \_\_\_\_\_

ATTORNEY CLIENT \_\_\_\_\_

EXEMPTION B(6) \_\_\_\_\_

EXEMPTION B(7)(C) \_\_\_\_\_

EXEMPTION B(7)(E) \_\_\_\_\_

DUPLICATE \_\_\_\_\_

NON-RESPONSIVE \_\_\_\_\_

STRING E-MAIL \_\_\_\_\_

Located in Document \_\_\_\_\_

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



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

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

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

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

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

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



<p>1. Complete this form for all registered mail.          2. Complete items 1 and 2 for unregistered mail.          3. Complete items 3, 4, and 5b.          4. Print your name and address for the return of this form so that we can return it to you.          5. Attach this form to the front of the envelope, or on the back if space does not permit.          6. Write "Return Receipt Requested" on the envelope unless the words appear.          7. The Return Receipt will allow us to advise you of delivery and the date delivered.</p>		<p>1. Also mark to receive the tracking service (to an extra fee):          1. <input type="checkbox"/> Addressee's Address          2. <input type="checkbox"/> Restricted Delivery          Consult postmaster for fee.</p>	
<p>3. Article Addressed to:          David E. LaGrone          Riverside Sales          4 Prospect Hill Road          East Windsor, CT 06028</p>		<p>4a. Article Number</p>	
<p>4b. Service Type:  <input type="checkbox"/> Registered <input checked="" type="checkbox"/> Certified  <input type="checkbox"/> Express Mail <input type="checkbox"/> Insured  <input checked="" type="checkbox"/> Return Receipt for Merchandise <input type="checkbox"/> COD</p>		<p>7. Date of Delivery          1/18/85</p>	
<p>5. Received by (Print Name)  <i>[Signature]</i></p>		<p>8. Addressee's Address (Only if requested and fee is paid)</p>	
<p>6. Signature (Addressee or Agent)  <i>[Signature]</i></p>			

PS Form 3877, December 1984 back to these Domestic Return Receipt

Thank you for using Return Receipt Service.

BEST COPY AVAILABLE



U.S. Department of Justice

Bureau of Alcohol, Tobacco,  
Firearms and Explosives  
450 Main Street, Room 610  
Hartford, CT 06103

January 17, 2007

Certified Mail  
Return Receipt

762055- (b)(6)  
5300

David e. LaGuercia  
Riverview Sales  
4 Prospect Hill road  
East Windsor, CT 06088

FFL# 6-06-003-01-7L-01035

Dear Mr. LaGuercia,

During a recent compliance inspection at your firearms business, covering the period of January 1, 2006 through June 20, 2007, you were cited for violations of 27 Code of Federal Regulations, Part 478. A copy of the Report of Violations, ATF Form 5080.5, issued at the time of the inspection is enclosed.

These 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 that you and other industry members make in this area, and we look forward to continuing our 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.

Exhibit 9-

-2-

Riverview Sales  
East Windsor, CT

Should you have any questions regarding this matter, please contact Area Supervisor  
(b)(6) or Investigator (b)(6) at 860-240-(b)(6)

Sincerely yours,

(b)(6)

Area Supervisor

Enclosure:

cc: National Licensing Center  
Hartford I. O. Office.



U.S. Department of Justice

Bureau of Alcohol, Tobacco,  
Firearms and Explosives

450 Main Street, Suite 610  
Hartford, CT 06103

January 17, 2008

762055 (b)(6)  
5300

Certified Mail  
Return Receipt

David e. LaGuercia  
Riverview Sales  
4 Prospect Hill road  
East Windsor, CT 06088

FFL# 6-06-003-01-7L-01035

Dear Mr. LaGuercia,

During a recent compliance inspection at your firearms business covering the period of January 1, 2006 through June 20, 2007 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.

You should be aware that any willful violations of Federal Firearms Laws and Regulations may result in the revocation of your Federal Firearms License. As a result of the recently cited violations, it is important that we have a meeting with you to discuss the violations found. As we discussed, the conference will be held on Wednesday, February 13, 2008 at 10:00 AM at the Ribicoff Federal Building, 450 Main Street, Suite 610, Hartford, CT 06103 with Area Supervisor (b)(6) and Investigator (b)(6). (b)(6) The agenda for the meeting will include a discussion of the reasons for the violations, a review of legal requirements, and a discussion of steps to be taken by you to ensure future compliance. Although we do not believe it is necessary,

Exhibit 10 -

Riverview Sales  
East Windsor, CT

legal counsel may assist you at your own expense if you so choose. Please bring documentation with you, verifying the corrective action you have taken.

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 ensure the public's safety. It is essential that you comply with all firearms laws and regulations that govern your firearms business.

We will conduct a follow-up inspection in the future. Any violations, either repeat or otherwise, could be viewed as willful and may result in the revocation of your license.

Please contact Investigator (b)(6) or myself at (860) 240-(b)(6) to confirm this appointment, and please ask any questions you may have regarding this conference. We look forward to meeting with you to resolve these issues.

Sincerely yours,

(b)(6)

Area Supervisor

Enclosure

Cc: National Licensing Center  
Hartford, CT Industry Operations Office

10a

1. Complete items 1 through 7 for additional services:  
 a. Complete items 1 through 7 for additional services.  
 b. Complete items 1 through 7 for additional services.  
 c. Print your name and address on the reverse of this form so that we can return the card to you.  
 d. Attach this form to the front of the response, or on the back if there is no other space.  
 e. Write "Return Receipt Requested" on the envelope below the mailing address.  
 f. The return receipt will show to whom the article was delivered and the date delivered.

I also wish to request the following service (check one in the box):  
 Registered Mail  
 Restricted Delivery  
 Contact postmaster for fee

2. Article Addressed to:  
 David Laguercia  
 Silverview Sales  
 Prospect Hill Road  
 West Windsor, NJ 08888

3. Article Number

4. Service Type  
 Registered  Certified  
 Express Mail  Insured  
 Return Receipt for Merchandise  COD

5. Date of Delivery  
 2/14/88

6. Addressee's Address (Only if requested and not in part)

7. Signature (Address only)  
 David Laguercia

PS Form 3825, JANUARY 1986  
 42501-00-4-8000 Domestic Return Receipt

Thank you for using Return Receipt Service.

BEST COPY AVAILABLE



U.S. Department of Justice

Bureau of Alcohol, Tobacco,  
Firearms and Explosives  
450 Main Street, Room 610  
Hartford, CT 06103

www.atf.gov

February 13, 2008

Certified Mail  
Return Receipt

762055 (b)(6)  
5300

David S. LaGuercia  
Riverview Sales  
4 Prospect Hill road  
East Windsor, CT 06038

PTL# 6-05-003-01-7L-01035

Dear Mr. LaGuercia,

This letter is a follow-up to the warning conference held with you on February 13, 2008 at the Ribicoff Federal Building, 450 Main Street, Suite, 610, Hartford, Connecticut 06103 with Investigator (b)(6) and I. During this conference, the violations cited during the inspection covering the period from 1/1/2006 through 6/30/2007 were discussed, as well as the necessary action to prevent the violations from reoccurring.

You were given the opportunity to comment on the violations and what specific action you have taken to ensure that the violations will not reoccur. First, in reference to the violations regarding Acquisition and Disposition records, Failure to Record the Disposition or Acquisition of a Firearm in a timely fashion and clerical errors such as transposed or incorrect serial numbers you stated that you will be more observant and vigilant in order to insure future compliance. Additionally, you have expressed interest in applying for a computerized variance for your Acquisition and Disposition records as you feel this will keep your records more accurate. Second, in reference to the violations regarding the ATF Form's 4473, you will be more observant and vigilant in order to insure future compliance; you have hired a clerical assistant in order to review ATF forms 4473. Third, in reference to the theft loss reports you filed based on missing firearms, you stated that you will be more observant and vigilant in order to insure future compliance.

Exhibit 11

The violations for which you were cited could adversely impact law enforcement's ability to reduce violent crime and protect the public. You are reminded that future violations, repeat or otherwise, could be viewed as willful and may result in the revocation of your license. You may anticipate further inspections to ensure your compliance.

Please contact Investigator (b)(6) or myself, if you have any questions concerning your responsibilities as a licensee or if you require further clarification about particular requirements of Federal Firearms Laws.

Sincerely yours,

(b)(6)

Area Supervisor

Enclosure

Cc: National Licensing Center  
Hartford, CT Industry Operations Office