

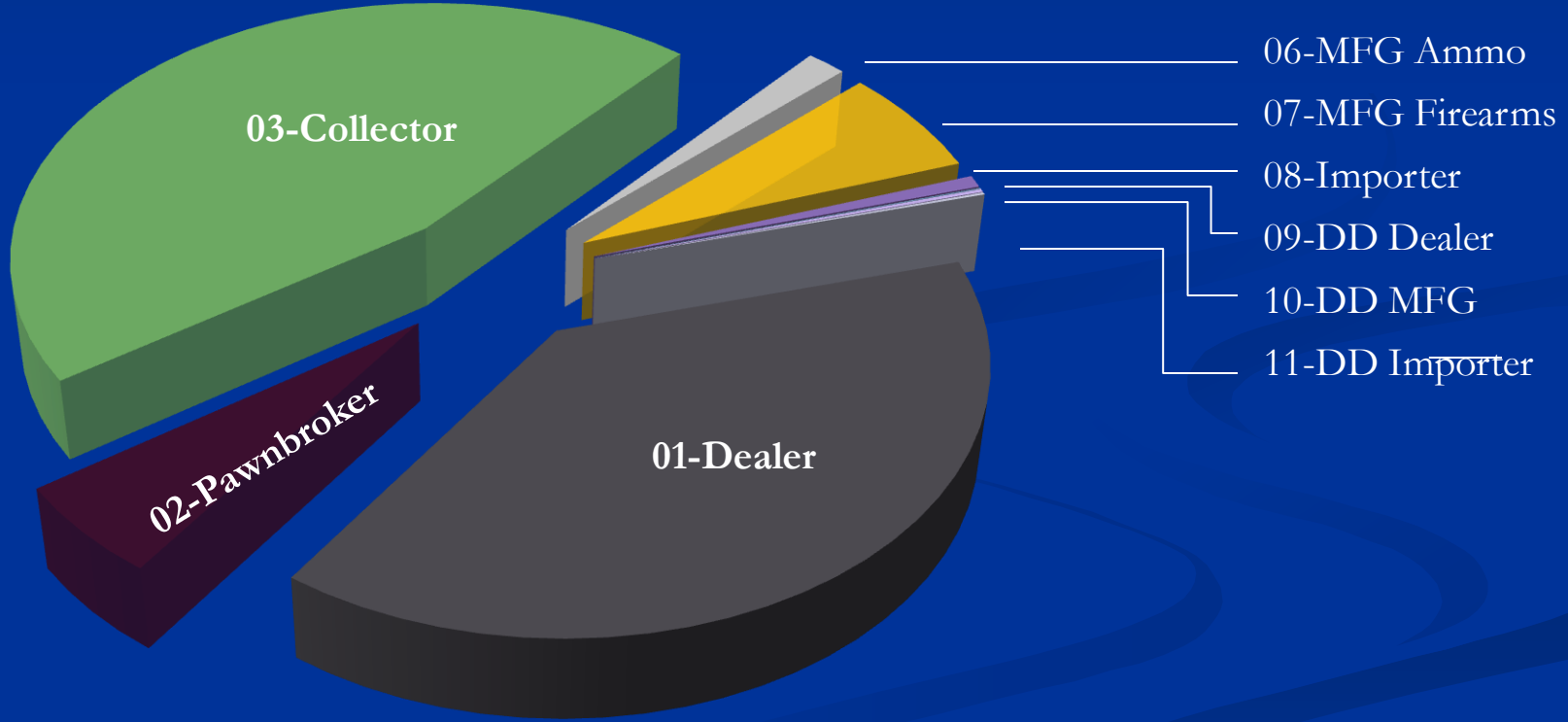
United States Department of Justice
Bureau of Alcohol, Tobacco, Firearms and Explosives

SHOT Show – January 2014



Industry Operations Inspection Results

Firearms Industry by License Type



Active Licenses

(as of December 16, 2013)

Type	Number	Percent
01-Dealer	54,187	38.85
02-Pawnbroker	7,862	5.64
03-Collector	64,227	46.05
06-MFG of Ammo	2,389	1.71
07-MFG of Firearms	9,263	6.64
08-Importer	1,024	0.73
09-DD Dealer	58	0.04
10-DD MFG	273	0.20
11-DD Importer	186	0.13
Total	139,469	100%

Main purposes of Inspections

Public Safety!

- Evaluate the level of compliance.
- Educate the licensee on regulatory requirements.
- Promote voluntary internal controls to improve public safety.
- Detect diversion if present.

FY 2013

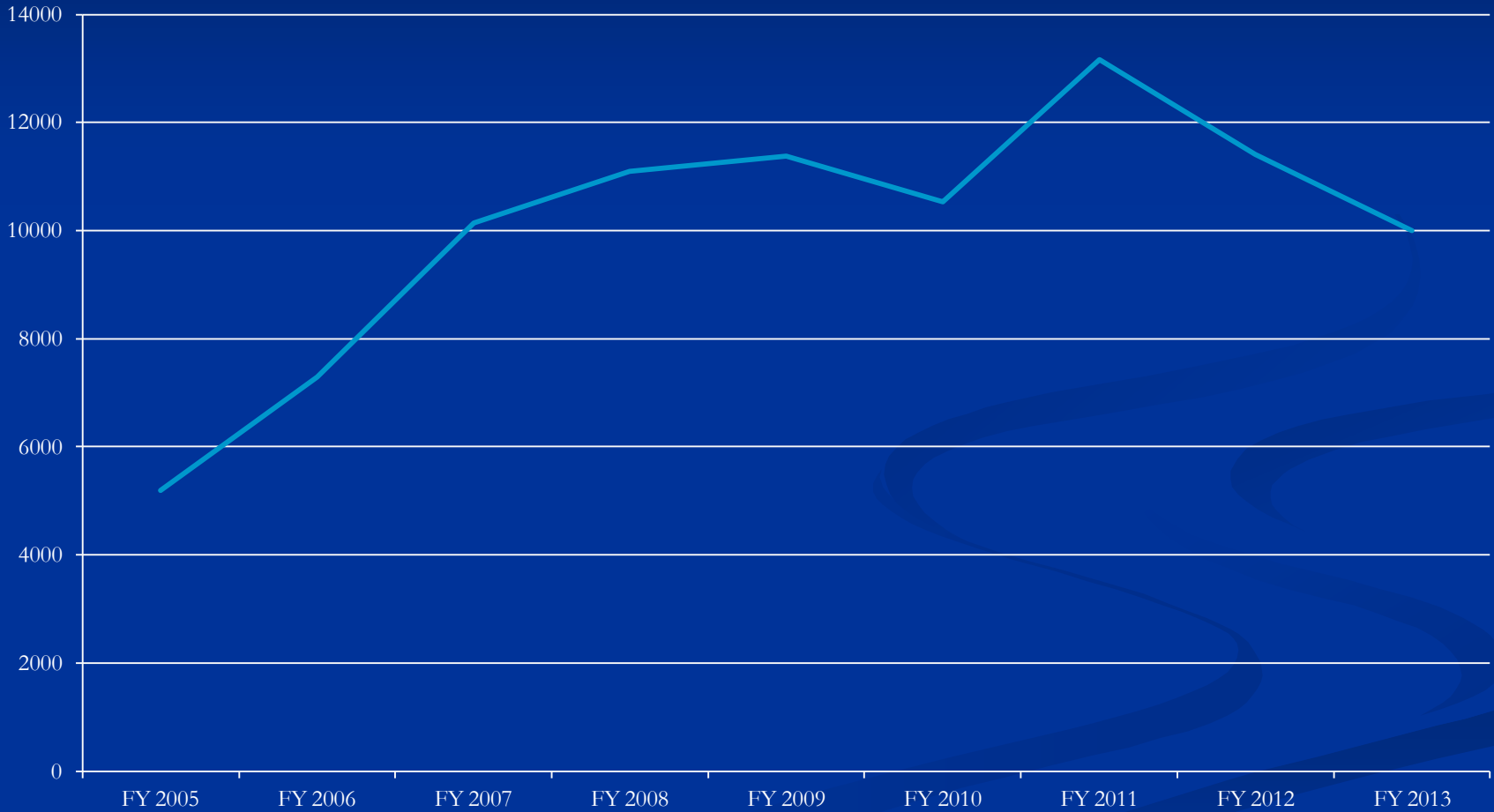
Compliance Inspections Conducted

Result	Number	Percent
No Violations	4,874	48.73
Report of Violations	1,379	13.79
Warning Letter	1,421	14.21
Warning Conference	704	7.04
Revoked/Deny Renewal	69	.69
Surrender in lieu of Revocation	37	.37
Other (eg., OOB, etc.)	1,518	15.17
Total	10,002	100.00

Last Five years

Result	Percent				
	2009	2010	2011	2012	2013
No Violations	53.79	50.23	50.32	48.21	48.73
Report of Violations	10.60	12.96	12.55	11.17	13.79
Warning Letter	11.89	13.36	11.78	7.19	14.21
Warning Conference	8.64	7.78	6.02	7.18	7.04
Revoked/Deny Renewal	.63	.64	.54	.60	.69
Surrender in lieu of Revocation	.35	.31	.32	.17	.37
Other (OOB, etc.)	14.10	14.72	18.47	25.49	15.17
Total	100.00	100.00	100.00	100.00	100.00

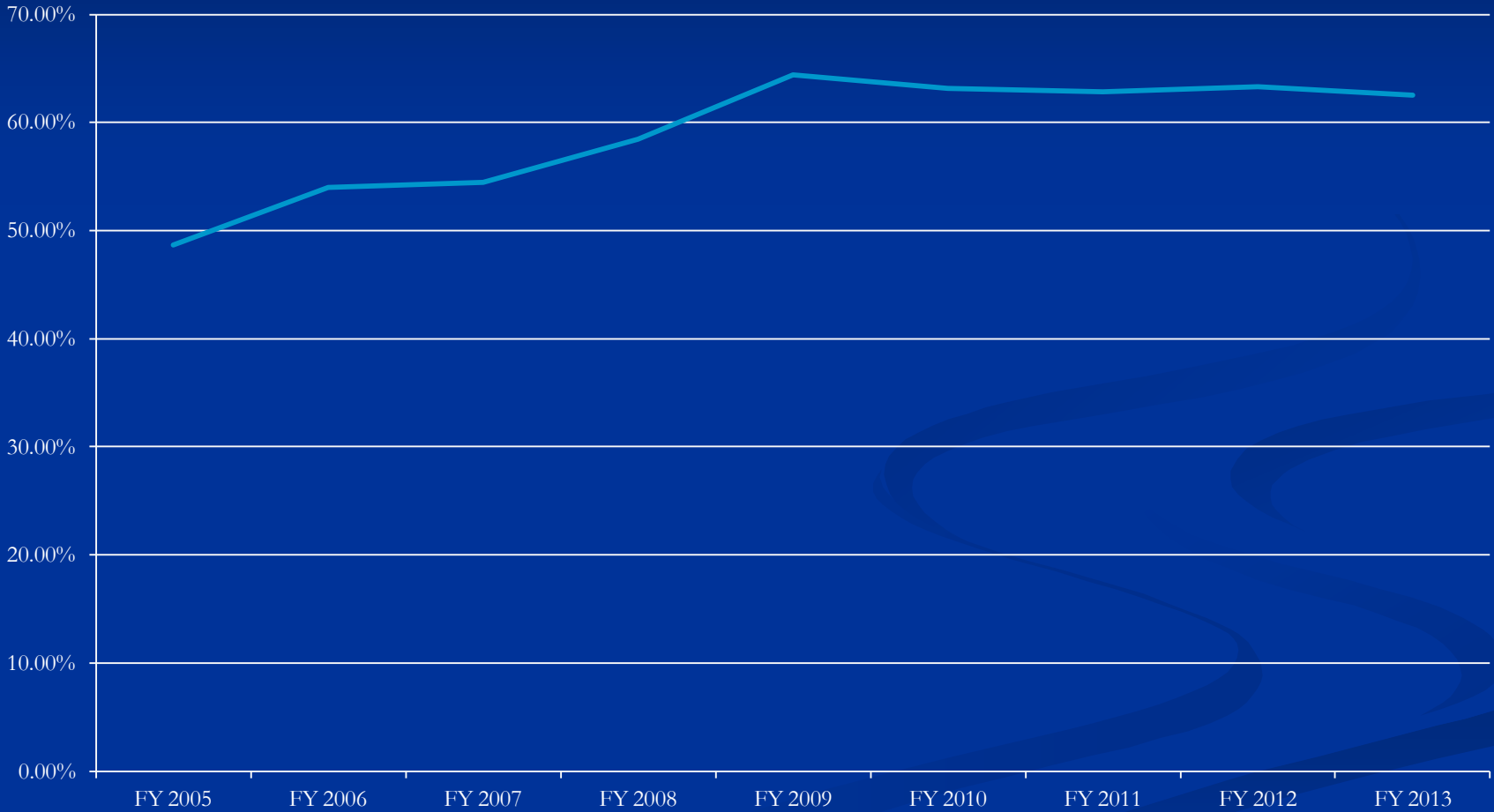
Compliance Inspections



No Violations



No Adverse Action



Revoked/Denied Renewal

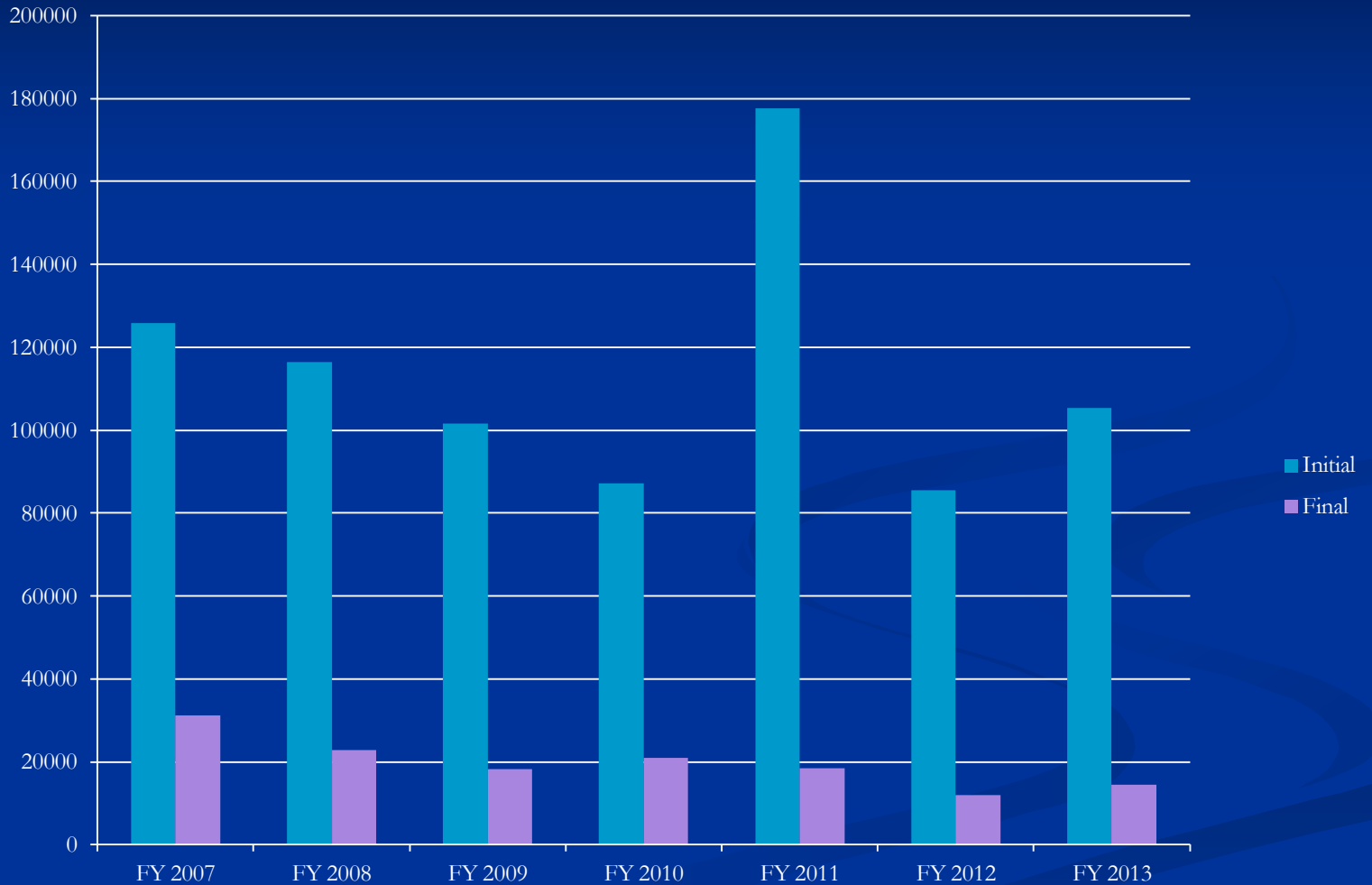


MOST FREQUENTLY CITED FIREARMS VIOLATIONS		YEAR					
		FY 2011		FY 2012		FY 2013	
Citation	Violation Description	No.	RANK	No.	RANK	No.	RANK
27 CFR 478.124(c)(1)	Transferee did not properly complete Section A, F 4473	2284	2	2096	2	1792	1
27 CFR 478.125(e)	Failure to timely record information in bound record (A&D record)	2666	1	2329	1	1782	2
27 CFR 478.21 - (a) - (b)	Failure to complete forms as indicated in instructions (this violation is often cited when the licensee failed to properly complete a form, but there is not a separate regulatory citation addressing the omitted or misdocumented item)	2025	3	1951	3	1690	3
27 CFR 478.124(c)(3)(iv)	Licensee did not record on F 4473 the date on which NICS was contacted	1745	4	1591	4	1371	4
27 CFR 478.124(c)(3)(i)	Licensee failed to obtain and/or document purchaser's ID	1619	5	1483	5	1284	5
27 CFR 478.124(c)(5)	Licensee did not sign and date F 4473	1419	6	1255	6	1134	6
27 CFR 478.126a	Licensee failed to report multiple handgun sales	1312	7	1110	7	1014	7
27 CFR 478.124(c)(4)	Licensee failed to properly identify firearm on F 4473	738	8	676	8	575	8
27 CFR 478.102(a)	Licensee failed to contact NICS and wait stipulated time prior to transfer of firearm	116	14	379	9	471	9
27 CFR 478.99(c)	Licensee disposed of firearm to a person he had reasonable cause to believe was prohibited	395	10	353	10	369	10

Missing Firearms

	2011	2012	2013	Total
Initial Inventory Check	177,514*	85,600	105,431	368,545
After Reconciliation	18,527	11,906	14,529	44,962

Firearms Inventory Discrepancies



Field IOIs

FY 2007	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
621	638	601	590	624	618	655	???

FFL Qualifications



Additional Activities

- Outreach
- Firearms & Explosives theft/loss
- ATF Magazines
- Special requests
- Collateral Inspections
- Initiatives
- Federal, State & local support

Performance Measures

- Industry members inspected in the last five years (application/compliance)
- Missing firearms from inventory (initial and after reconciliation)
- Annual compliance inspections completed
- % of license applications acted upon within authorize time frames
- % of ATF license actions upheld by judicial rulings.

Relevant Topics

- Security with firearms regarding travel representatives.
- Keep accurate records.
- Conduct Inventory checks periodically.
- Properly executed ATF 4473 and Multiple Sales Report.
- Computerized Records.
- Accuracy of Theft/Loss reports.
- Trace requests.

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