

## Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) RICHARD L DOTTA AUCTION CO INC 330 W MOORESTOWN RD NAZARETH, PA 18064, NORTHAMPTON		2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 766020-2016-0146-B1B		
		3. PERMIT/LICENSE NUMBER 823095016M04514	4a. TARGET DATE 5/1/2016	4b. TARGET HOURS
		5. REQUESTED BY (SIGNATURE, TITLE AND DATE) 40.79825 075.35168		
6. ATF OFFICER(S) ASSIGNED (b)(6) - Lead Investigator				
7. ASSIGNED BY (SIGNATURE, TITLE AND DATE) (b)(6), Area Supervisor, 12/14/2015				
8. PURPOSE/SPECIAL INSTRUCTIONS Conduct DE Compliance Inspection utilizing guidelines set forth in the IO Manual.				
9. INSPECTION RESULTS <input type="checkbox"/> CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC				
NO. OF VIOLATIONS	1	NO. OF REFERRALS		
NO. OF TECS CHECKS	18	NO. OF TECS HITS		
NO. OF TAX ADJUSTMENTS		\$ VALUE OF TAX INCREASES	2111 - PER DIEM	
		\$ VALUE OF TAX DECREASES	2112 - P.O.A.	
NO. OF ASSESSMENTS		\$ VALUE OF ASSESSMENTS	2113 - COMM. AIR	
NO. OF CLAIMS		\$ VALUE OF CLAIMS	2114 - RENTAL CAR	
NO. OF TAX PERIODS		\$ VALUE OF TAXES VERIFIED	2115 - GPV EXPENSES	
			2116 - MISC.	
			TOTAL \$ FOR INSP.	
11. ATF OFFICER'S RECOMMENDATION Submitted by (b)(6) - Industry Operations Investigator  Submitted on: 04/20/2016  Viols WL ONLY and No Recall Inspection				
<b>12. TIME ACCOUNTING DATA</b>				
ATF OFFICER'S NAME (MONTH, YEAR, HOURS) (b)(6)				
DEC 2015		3.00		
FEB 2016		25.00		
APR 2016		26.00		
ATF OFFICER'S SUBTOTAL		54.00	ATF OFFICER'S SIGNATURE	
TOTAL HOURS		54.00		
<b>13. REVIEW AND ROUTING</b>				
REVIEW COMMENTS AND RECOMMENDATION Viols WL ONLY and No Recall Inspection				
<input checked="" type="checkbox"/> REVIEWED <input checked="" type="checkbox"/> CONCUR <input type="checkbox"/> SEE COMMENTS <input checked="" type="checkbox"/> FINAL DISPOSITION				
SIGNATURE AND TITLE (b)(6) - Area Supervisor			REVIEW DATE 04/20/2016	

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ROUTING SEQUENCE AND DATE

- ☐ 1. \_\_\_\_\_  
☐ 2. \_\_\_\_\_  
☐ 3. \_\_\_\_\_  
☐ 4. \_\_\_\_\_

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

U.S. Department of Justice

Bureau of Alcohol, Tobacco, Firearms and Explosives

Report of Violations

Instructions

Please write firmly with a ball point pen when completing this form. ATF officers will prepare this form in triplicate. The original copy will be given to the proprietor or a responsible representative. The remaining copies will be submitted with the completed inspection report. Supervisors will detach one copy from the completed report for their files.

Name of Proprietor RICHARD L DOTTA AUCTION CO INC	Street Address 330 W MOORESTOWN RD	City NAZARETH	State PA	Zip Code 18064-	County NORTHAMPTON	Page 1 of 1 Pages
License/Permit/Registry Number <i>(If any)</i> 823095016M04514		Expiration Date 12/1/2016	Date(s) or Period of Inspection 02/23/2016 through 04/11/2016			

Inspection Results

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

Number: 1

Nature of Violation:

Licensee failed to prepare and submit a Report of Multiple Sales or Other Disposition of Pistols and Revolvers, ATF Form 3310.4 on 02/09/2016 occasions involving for 02/09/2016 handguns.

Citation: 27 CFR 478.126a

Date Corrections to be Made:

*(If not corrected immediately)*

Corrective Action to be Taken:

*(If not corrected immediately)*

Licensee prepared and submitted a Report of Multiple Sales or Other Dispositions of Pistol and Revolvers, ATF Form 3310.4 on February 9, 2016.

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

Date

Signature and Title of ATF Officer

Date

April 9 2019 Document Production

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For Official Use Only

ATF E-Form 5030 5  
Revised April 2005



**U.S. Department of Justice**

**Bureau of Alcohol, Tobacco,  
Firearms and Explosives**

*Lansdale Area Office*

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www.atf.gov

April 18, 2016

766020: (b)(6)  
5400

Richard L. Dotta Auction Company  
330 W. Moorestown Road  
Nazareth, Pa 18064  
FFL 8-23-095-01-6M-04514  
Certified Reciept-7014 0150 0001 3969 6484

Dear Mr.Dotta:

During a recent compliance inspection at your firearms business covering the period of February 23, 2016 through March 11, 2016, you were cited for violation of 27 CFR 478.126a.

The violation was fully explained to you by the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) Industry Operations 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 relative to this issue.

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

You are further 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 me, or an Industry Operations Investigator at the Lansdale Area Office at (215) 362-1840.

Sincerely yours

(b)(6)

Area Supervisor

Enclosure

cc: Federal Firearms Licensing Center