

## Assignment and Report

|  |    |  |                                    |                  |
|--|----|--|------------------------------------|------------------|
| 1. OPERATING NAME AND ADDRESS<br>(INCLUDE ZIP CODE AND COUNTY)<br><br>Maurer's Trading Post, Inc<br>1696 Pittsburgh Rd<br>Franklin, PA 16323, Venango  |    | 2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.)<br><b>766060-2016-0147-B1B</b> |                                    |                  |
|  |    | 3. PERMIT/LICENSE NUMBER<br><b>825121011B02676</b>                                     | 4a. TARGET DATE<br><b>3/1/2016</b> | 4b. TARGET HOURS |
|  |    | 5. REQUESTED BY (SIGNATURE, TITLE AND DATE)  |                                    |                  |
| 6. ATF OFFICER(S) ASSIGNED   |    |  |                                    |                  |
| (b)(6) - Assigned Investigator   |    |  |                                    |                  |
| (b)(6) - Assigned Investigator   |    |  |                                    |                  |
| (b)(6) - Assigned Investigator   |    |  |                                    |                  |
| (b)(6) - Assigned Investigator   |    |  |                                    |                  |
| (b)(6) - Lead Investigator   |    |  |                                    |                  |
| (b)(6) - Assigned Investigator   |    |  |                                    |                  |
| (b)(6) - Assigned Investigator   |    |  |                                    |                  |
| 7. ASSIGNED BY (SIGNATURE, TITLE AND DATE)   |    |  |                                    |                  |
| (b)(6), Area Supervisor, 10/01/2015  |    |  |                                    |                  |
| 8. PURPOSE/SPECIAL INSTRUCTIONS  |    |  |                                    |                  |
| Please conduct an on-site Recall Compliance Inspection. This inspection should include: a full physical inventory of the firearms on hand in conjunction with an A&D Records Review and a comprehensive review of the ATF Form 4473s on hand for the time frame of the inspection. |    |  |                                    |                  |
| 9. INSPECTION RESULTS <input type="checkbox"/> CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC  |    |  |                                    |                  |
| NO. OF VIOLATIONS  | 3  | NO. OF REFERRALS   | 10. TRAVEL EXPENSES (OPTIONAL)     |                  |
| NO. OF TECS CHECKS   | 76 | NO. OF TECS HITS   | 2111 - PER DIEM                    |                  |
| NO. OF TAX ADJUSTMENTS   |    | \$ VALUE OF TAX INCREASES  | 2112 - P.O.A.                      |                  |
|  |    | \$ VALUE OF TAX DECREASES  | 2113 - COMM. AIR                   |                  |
| NO. OF ASSESSMENTS   |    | \$ VALUE OF ASSESSMENTS  | 2114 - RENTAL CAR                  |                  |
| NO. OF CLAIMS  |    | \$ VALUE OF CLAIMS   | 2115 - GPV EXPENSES                |                  |
| NO. OF TAX PERIODS   |    | \$ VALUE OF TAXES VERIFIED   | 2116 - MISC.                       |                  |
|  |    |  | TOTAL \$ FOR INSP.                 |                  |
| 11. ATF OFFICER'S RECOMMENDATION   |    |  |                                    |                  |
| Submitted by (b)(6) - Senior Investigator  |    |  |                                    |                  |
| Submitted on: 11/19/2015   |    |  |                                    |                  |
| ALTERNATE RECOMMENDATION   |    |  |                                    |                  |
| Violts WL ONLY and No Recall Inspection  |    |  |                                    |                  |
| 12. TIME ACCOUNTING DATA   |    |  |                                    |                  |
| ATF OFFICER'S NAME (MONTH, YEAR, HOURS) (b)(6)   |    |  |                                    |                  |
| OCT 2015 27.00   |    |  |                                    |                  |
| ATF OFFICER'S SUBTOTAL 27.00   ATF OFFICER'S SIGNATURE   |    |  |                                    |                  |
| ATF OFFICER'S NAME (MONTH, YEAR, HOURS) (b)(6)   |    |  |                                    |                  |
| OCT 2015 26.00   |    |  |                                    |                  |
| ATF OFFICER'S SUBTOTAL 26.00   ATF OFFICER'S SIGNATURE   |    |  |                                    |                  |
| ATF OFFICER'S NAME (MONTH, YEAR, HOURS) (b)(6)   |    |  |                                    |                  |
| OCT 2015 33.00   |    |  |                                    |                  |
| ATF OFFICER'S SUBTOTAL 33.00   ATF OFFICER'S SIGNATURE   |    |  |                                    |                  |

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|   | 3. PERMIT/LICENSE NUMBER<br>825121011B02676                                     | 4a. TARGET DATE<br>3/1/2016 | 4b. TARGET HOURS |
|   | 5. REQUESTED BY (SIGNATURE, TITLE AND DATE)                                     |                             |                  |
|   |   |                             |                  |

### 12. TIME ACCOUNTING DATA

|   |        |
|---|--------|
| ATF OFFICER'S NAME (MONTH, YEAR, HOURS) | (b)(6) |
| OCT 2015                                | 32.00  |
| ATF OFFICER'S SUBTOTAL                  | 32.00  |
| ATF OFFICER'S SIGNATURE                 |        |
| ATF OFFICER'S NAME (MONTH, YEAR, HOURS) | (b)(6) |
| OCT 2015                                | 64.00  |
| NOV 2015                                | 67.00  |
| ATF OFFICER'S SUBTOTAL                  | 131.00 |
| ATF OFFICER'S SIGNATURE                 |        |
| ATF OFFICER'S NAME (MONTH, YEAR, HOURS) | (b)(6) |
| OCT 2015                                | 26.00  |
| ATF OFFICER'S SUBTOTAL                  | 26.00  |
| ATF OFFICER'S SIGNATURE                 |        |
| ATF OFFICER'S NAME (MONTH, YEAR, HOURS) | (b)(6) |
| OCT 2015                                | 27.00  |
| ATF OFFICER'S SUBTOTAL                  | 27.00  |
| ATF OFFICER'S SIGNATURE                 |        |
| TOTAL HOURS                             | 302.00 |







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|   | 3. PERMIT/LICENSE NUMBER<br>825121011B02676                                     | 4a. TARGET DATE<br>3/1/2016 | 4b. TARGET HOURS |
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|   |   |                             |                  |

a Recall inspection is needed to follow-up on this Repeat violation and ensure proper reporting of multiple handgun sales.

3.) The licensee has implemented various standard operating procedures and safeguards to track and protect their firearms inventory as well as ensure proper completion of each ATF Form 4473 including:

- Inventories twice a month
- Inventory Tag System
- Separate A&D Record Books for long guns, handguns, and consignment firearms
- Handwritten Receipts for all firearms transactions
- Secondary checks of ATF Form 4473s
- SOP for receipt and logging in of all newly acquired firearms
- All handguns are locked in secure cases
- Long guns secured with cable locks
- Internal Training: SIOI (b)(6) noted that Jody Maurer and (b)(6) conducted internal training for all employees after completion of his inspection.
- Continued affiliation and work with FFL Guard. A representative from FFL Guard was present via Conference Call during the Closing Conference.

The implementation of the above-mentioned internal controls signals that the licensee is making a sincere effort to comply with Federal Firearms Regulations. The licensee's efforts have proven effective in that the Deficiency Ratings for both inventory discrepancies (1.3%) and ATF Form 4473 completion (.05%) have been significantly reduced. However, it is evident that more work needs to be done, especially in the area of tracking and maintaining the firearms inventory. Therefore, a Recall Inspection is needed to ensure continued progress is made in this area.

4.) No significant trace activity. Despite the licensee's inventory issues, they continue to have insignificant trace activity and, therefore, do not appear to be a threat to public safety. SIOI (b)(6) reports, "According to E-Trace this licensee was associated with (b)(6) firearm traces in the past 12 months. E-Trace indicates all traces were (b)(6). The average time to crime for the firearms traced in the past 12 months is (b)(6). None of the firearms traced in the last 12 months have a time to crime of (b)(6); only (b)(6) of the firearms traced have a time to crime of (b)(6). Overall, this licensee is associated with (b)(6) traces, with an average time to crime of (b)(6)." (b)(3) 112 Public Law 55 125 STAT 55

Based upon the above reasons, a Warning Letter with Recall Inspection alternate to Revocation is sufficient recourse at this time. However, the Narrative Report with all supporting documentation will be forwarded to the DIO for secondary review and final recommendation.

Violts WL ONLY and Recall Inspection

☒ REVIEWED

☐ CONCUR

☒ SEE COMMENTS

☐ FINAL DISPOSITION

SIGNATURE AND TITLE

(b)(6) - Area Supervisor

(b)(6)

(b)(6)

REVIEW DATE

11/30/2015

ROUTING SEQUENCE AND DATE

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

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



U.S. Department of Justice

Bureau of Alcohol, Tobacco,  
Firearms and Explosives  
1000 Liberty Avenue, Suite 1515  
Pittsburgh, Pennsylvania 15222

www.atf.gov

March 3, 2016

766060: (b)(6)  
5300

**CERTIFIED MAIL - RETURN RECEIPT REQUESTED**  
**WARNING LETTER**

Maurer's Trading Post, Inc.  
1696 Pittsburgh Rd.  
Franklin, PA 16323  
FFL# 8-25-121-01-1B-02676  
ATTN: Jody Maurer, President & Responsible Person

Dear Mr. Maurer:

During a recent Compliance Inspection at your firearms business covering the period of October 20, 2014 through October 20, 2015, 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.

As a result of this Compliance Inspection, you were cited for the following three (3) Repeat Violations:

- 1.) **27 CFR 478.125(e) Records and Reports (A&D Record Books)**  
**Nature of Violation:** Licensee failed to make timely/accurate entries in the Acquisition and Disposition Record Books (A&D Record Books) in [REDACTED] instances resulting in [REDACTED] missing/unaccounted for firearms. (b)(3) 112 PUBLIC LAW 55 125
- 2.) **27 CFR 478.124(c)(1) Records and Reports (ATF Form 4473s)**  
**Nature of violation:** Licensee failed to obtain a completed ATF Form 4473 prior to the transfer of a firearm to an unlicensed person. In [REDACTED] instance, the transferee failed to answer Item 11j of the ATF Form 4473. (b)(3) 112 PUBLIC LAW 55 125



3.) **27 CFR 478.126a Records and Reports (Multiple Handgun Sales Reports)**

**Nature of violation:** Licensee failed to report to ATF the multiple dispositions of pistols or revolvers to unlicensed persons in (b)(3) 112 Public Law 55 125 STAT 552 (b)(6) instances involving (b)(3) 112 Public Law 55 125 STAT 552 (b)(6) handguns. In all instances, the ATF F 3310.4 was prepared but faxed to the incorrect law enforcement agency.

The violations were fully explained to you by the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) Senior 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.

Regarding the A&D Record Book violation (Violation #1), you advised SIOI (b)(6) that the (b)(3) 112 Public Law 55 125 STAT 552 (b)(6) instances of this violation could be attributed to errors by new, inexperienced employees. In order to prevent these errors from occurring in the future, SIOI (b)(6) strongly recommended that you complete frequent audits of your A&D Record Books. These audits should entail a comparison of the information recorded on each firearm in inventory to the information recorded in the A&D Record Books. Additionally, these audits should entail a comparison of the information recorded on the ATF Form 4473s to the information recorded in the A&D Record Books in order to ensure completeness and accuracy of both required records.

Regarding the ATF Form 4473 violation (Violations #2), you attributed this violation to lack of attention to detail and, in general, human error. In order to capture and correct ATF Form 4473 errors and omissions, SIOI (b)(6) urged you to consistently follow your Standard Operating Procedures and ensure that each ATF Form 4473 is reviewed at the time of sale by another employee separate from the sales clerk and again by yourself prior to being placed to file. SIOI (b)(6) reminded you that frequent audits of the ATF Form 4473s are instrumental to identifying and correcting ATF Form 4473 errors.

Finally, regarding the violation concerning unreported Multiple Handgun Sales (Violation #3), you, again, attributed this to human error and lack of attention to details. You advised that the forms were inadvertently faxed to the Pennsylvania State Police (PSP) instead of ATF. In order to prevent this violation from occurring again in the future, you corrected the fax number posted near the fax machine to accurately reflect the correct reporting number for ATF.

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 reminded that retention of your Federal Firearms License is conditioned upon your compliance with Federal Laws and Regulations. Any future violations, 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 the Pittsburgh Area Office at 412-395-0600.

Sincerely yours,

(b)(6)

Area Supervisor, Industry Operations  
Pittsburgh III, Philadelphia Field Division

Enclosure

cc: National Licensing Center  
Pittsburgh III Area Office



## 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<br><b>Maurer's Trading Post, Inc.</b>               | Street Address<br><b>1696 Pittsburgh Road</b> | City<br><b>Franklin</b>                   | State<br><b>PA</b>  | ZIP Code<br><b>16323</b> | County<br><b>Venango</b> | Page <b>1</b> of <b>1</b> Pages |
| License/Permit/Registry Number (if any)<br><b>8-25-121-01-7A-02676</b> |   | Expiration Date<br><b>January 1, 2017</b> | Date(s) or Period of Inspection<br><b>October 20, 2015 - November 4, 2015</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<br>(if not corrected immediately)   | Date Corrections to be Made<br>(if not corrected immediately) |
|--------|----------------------|---|---|---|
| 1      | 27 CFR 478.124(c)(1) | Licensee failed to obtain a completed ATF Form 4473 prior to the transfer of a firearm to an unlicensed person. In <sup>(b)(3)</sup> instance the transferee failed to answer Item 11X <sup>(b)(3)</sup> 112 PUBLIC LAW 55 125 STAT 552 (b)(3)  | Licensee will ensure ATF Form 4473 is properly completed prior to the transfer of a firearm.  | Immediate   |
| 2      | 27 CFR 478.125(c)    | Licensee failed to make timely/accurate entries in the Acquisition and Disposition records in <sup>(b)(3)</sup> instances. This includes <sup>(b)(3)</sup> instances where firearms were sold on ATF F 4473 and disposition entries not timely recorded; <sup>(b)(3)</sup> instances where the firearms were transferred to other licensees and the disposition entries not timely recorded; <sup>(b)(3)</sup> duplicate entries; and <sup>(b)(3)</sup> instances where the firearms are not accounted for and there is no disposition entry. | Licensee will make correcting entries where possible and submit a theft/loss report where necessary. Licensee will ensure A&D entries are properly and timely recorded. | Immediate   |
| 3      | 27 CFR 478.126       | Licensee failed to report to ATF the multiple dispositions of pistols or revolvers to unlicensed persons in <sup>(b)(3)</sup> instances. In all instances the ATF F 3310.4 was prepared, but faxed to the wrong law enforcement agency.   | Licensee will submit the Forms to ATF, and instruct employees regarding the correct procedures for the submission of future transactions.                               | Immediate   |

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

X *[Signature]*  
Signature and Title of ATF Officer

(b)(6)

ATF INQUIRY OPERATIONS INVESTIGATOR

Date **11-4-15**  
Date **NOV. 4, 2015**

ATF E-Form 5036.2  
Revised April 2005

ROY