

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) Maurer's Trading Post, Inc 1696 Pittsburgh Rd Franklin, PA 16323, Venango		2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 766060-2017-0174-B1B		
		3. PERMIT/LICENSE NUMBER 825121017A02676	4a. TARGET DATE 3/1/2017	4b. TARGET HOURS
5. REQUESTED BY (SIGNATURE, TITLE AND DATE)				
6. ATF OFFICER(S) ASSIGNED (b)(6) - Assigned Investigator (b)(6) - Lead Investigator (b)(6) - Assigned Investigator (b)(6) - Assigned Investigator (b)(6) - Assigned Investigator (b)(6) - Assigned Investigator (b)(6) - Assigned Investigator				
7. ASSIGNED BY (SIGNATURE, TITLE AND DATE) (b)(6), Area Supervisor, 10/03/2016				
8. PURPOSE/SPECIAL INSTRUCTIONS FY2017 DA MANDATORY FIREARMS RECALL RESULTING FROM WL **Cannot Start Until After 11/04/2016; Must Be Completed By 03/01/2017 Please complete an on-site Recall Compliance Inspection. As part of this inspection, please conduct the following activities: --Obtain a business profile --Explore ownership and control to include Deconfliction Queries --Conduct a full physical inventory in concurrence with a comprehensive A&D Record Book Review --Examine all ATF Form 4473s for the inspection period with a focus on suspicious purchasers worthy of referral to ATF CE for possible further investigation --Ensure all Multiple HG Sales for the inspection period were properly documented and timely reported to ATF --Conduct a detailed Trace Analysis --Issue a ROV (if applicable) --Complete a Federal Firearms Regulations Review with a RP --Complete a detailed Narrative Report complete with exhibits documenting any and all violations and recommendation				
9. INSPECTION RESULTS <input type="checkbox"/> CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC				
NO. OF VIOLATIONS	2	NO. OF REFERRALS	10. TRAVEL EXPENSES (OPTIONAL)	
NO. OF TECS CHECKS	54	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) - Industry Operations Investigator Submitted on: 01/03/2017 Viols WC with WL and Recall				
12. TIME ACCOUNTING DATA				
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)		(b)(6)		
DEC 2016	35.00			
ATF OFFICER'S SUBTOTAL	35.00	ATF OFFICER'S SIGNATURE		

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12. TIME ACCOUNTING DATA

ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)
DEC 2016	76.00
JAN 2017	9.00
ATF OFFICER'S SUBTOTAL	85.00
ATF OFFICER'S SIGNATURE	
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)
DEC 2016	48.00
ATF OFFICER'S SUBTOTAL	48.00
ATF OFFICER'S SIGNATURE	
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)
DEC 2016	40.00
ATF OFFICER'S SUBTOTAL	40.00
ATF OFFICER'S SIGNATURE	
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)
DEC 2016	36.00
ATF OFFICER'S SUBTOTAL	36.00
ATF OFFICER'S SIGNATURE	
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)
DEC 2016	48.00
ATF OFFICER'S SUBTOTAL	48.00
ATF OFFICER'S SIGNATURE	
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)
DEC 2016	36.00
ATF OFFICER'S SUBTOTAL	36.00
ATF OFFICER'S SIGNATURE	
TOTAL HOURS	328.00

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13. REVIEW AND ROUTING

REVIEW COMMENTS AND RECOMMENDATION

UI# 766060-2017-0174-B1B
FFL# 8-25-02676
Licensee: Maurer's Trading Post, Inc.
Dates of Inspection: 12/05/2016-12/21/2016
Scope of Inspection: Type 01 FFL Recall Compliance
Time Frame of Inspection: 12/05/2015-12/05/2016
Recommendation: Viols; ROV; WL; WC; Recall ALTERNATE TO Revocation
IOI: (b)(6)

A/S Comments: From 12/05/2016-12/21/2016, IOI (b)(6), along with a team of IOIs, conducted a Recall Compliance Inspection at the licensed premises of Maurer's Trading Post, Inc. As a result of this inspection, IOI (b)(6) cited 2 Repeat Violations:

27 CFR 478.125(e): A&D Record Book

REPEAT OF VIOLATIONS CITED ON NOVEMBER 4, 2015; MARCH 28, 2014; NOVEMBER 18, 2011; AND SEPTEMBER 3, 2010.

Licensee failed to record the dispositions of firearms in the A&D records:

- In (b)(6) instances, licensee transferred firearms to FFL, Riverview Sportsman Supply, on 11/16/2016 but failed to record the dispositions of the firearms in the A&D records.
- In (b)(6) instances, licensee sold firearms to non-licensees on ATF Forms 4473, but failed to record the dispositions of the firearms.
- In (b)(6) instance the licensee was unable to reconcile the disposition of a firearm, and the firearm was reported as missing on an ATF Form 3310.11, Federal Firearms Licensee Firearms Inventory Theft/Loss Report.

27 CFR 478.126a: Multiple Handgun Sales

REPEAT OF VIOLATIONS CITED ON NOVEMBER 4, 2015; MARCH 28, 2014; NOVEMBER 18, 2011; AND SEPTEMBER 3, 2010.

In (b)(6) instances, the licensee transferred (b)(6) handguns to the same unlicensed person at one time or within 5 consecutive business days, but failed to submit an ATF Form 3310.4, Report of Multiple Sale or Other Disposition of Pistols and Revolvers.

Since the licensee has been the subject of 2 DIO WCs within the last 5 years (8/7/2014 and 12/14/2012) and the current inspection merits a WC for repeated similar violations, per the AA Policy, Revocation is warranted. However, IOI (b)(6) has recommended an A/O WC alternate to Revocation.

A/S Recommendation: Viols; ROV; WL; WC; Recall ALTERNATE TO Revocation for the following reasons:

- 1.) Only (b)(6) missing firearm after inventorying over 1800 firearms. This is an improvement from the previous Compliance Inspection in which (b)(6) firearms were documented as missing. Of note, the (b)(6) missing firearm was queried through Open Fox and eTrace with (b)(6).
- 2.) Low Deficiency Ratings (1.4% Incomplete/Inaccurate Disposition Entries; 0% Incomplete/Inaccurate Acquisition Entries; 0% Deficient ATF Form 4473s)
- 3.) Vast improvement in reported Multiple HG Sales. For the current inspection, the licensee failed to report (b)(6) Multiple Sales involving (b)(6) handguns. During the previous inspection, it was discovered that the licensee failed to report (b)(6) Multiple HG Sales involving (b)(6) handguns. Of note, the (b)(6) handguns were queried through Open Fox and eTrace with (b)(6).
- 4.) Not a significant threat to public safety. Even though the licensee was the subject of (b)(6) traces during the inspection period, the average time-to-crime for these traces was (b)(6). No suspicious purchasers/firearms worthy of referral to ATF CE were identified as a result of the inspection.
- 5.) As they stand alone, excluding the licensee's compliance history, the violations rise only to the level of a WL.
- 6.) The violations do not appear to be willful in nature and more the product of oversight by RP Maurer and his employees.

For these reasons, a WC at the A/O Level should be sufficient to address the deficiencies. However, a Recall Inspection is needed to ensure continued improvement towards 100% compliance.

The Narrative Report and all supporting documentation will be sent to the DIO for secondary review and final recommendation.

Viols WC with WL and Recall

☒ REVIEWED

☒ CONCUR

☒ SEE COMMENTS

☐ FINAL DISPOSITION

SIGNATURE AND TITLE

(b)(6) - Area Supervisor

(b)(6)

Digital signed by Matthew S. Ginn
DN: cn=(b)(6), o=ATF
email=(b)(6), ou=ATF
Date: 2017.01.10 12:34:30 -0500

REVIEW DATE

01/03/2017

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13. REVIEW AND ROUTING

REVIEW COMMENTS AND RECOMMENDATION

In this 4th Recall compliance investigation, 2 repeat violations were found (i.e. ^{(b)(1)} missing gun ^{(b)(3)} unrecorded dispositions and ^{(b)(1)} unreported MSs involving ^{(b)(1)} HGs); however, this is a relative improvement over the past compliance findings, which do not appear willful. Consequently, given that there were no unresolved traces, apparent trafficking or straw sales, transfers to prohibited individuals, the firearms in question were not determined to be involved in crimes, and no apparent threat to the public safety, a WL, no recall, is deemed appropriate AA to address the violations found. Approval of the Renewal Application, as amended, is also recommended.

Viols WL ONLY and No Recall Inspection

☒ REVIEWED

☐ CONCUR

☒ SEE COMMENTS

☒ FINAL DISPOSITION

SIGNATURE AND TITLE

JFORELLANA - Director, Industry Operations

REVIEW DATE

01/10/2017

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

January 13, 2017

766060: (b)(6)
5300

CERTIFIED MAIL - RETURN RECEIPT REQUESTED
WARNING LETTER

Maurer's Trading Post, Inc.
1696 Pittsburgh Rd.
Franklin, PA 16323

M

ATTN: Jody Maurer, President and Responsible Person
RE: FFL# 8-25-121-01-7A-02676

Dear Mr. Maurer:

During a recent Compliance Inspection at your firearms business covering the period of December 5, 2015 through December 5, 2016, 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 two (2) violations. Both violations were REPEAT VIOLATIONS from previous Compliance Inspections:

27 CFR 478.125(e): Failure to record dispositions of firearms in the A&D records within the time frames required by regulation (total instances).
****REPEAT OF VIOLATIONS CITED ON NOVEMBER 18, 2011; AND SEPTEMBER 3, 2010**

Nature of violation:

The licensee failed to record the dispositions of firearms in the A&D records in (b)(3) 112 Public Law 55 12 total instances. Specifically:

- In (b)(3) - Public Law 112-55 (125 Stat. 552) instances, the licensee transferred firearms to licensee, Riverview Sportsman Supply of (b)(3) - Public Law 112-55 (125 Stat. 552) but failed to record the dispositions of the firearms in the A&D records.

- In (b)(3) 112 Public Law instances, the licensee sold firearms to non-licensees on ATF Forms 4473, but failed to record the dispositions of the firearms. These firearms were all sold more than seven (7) days prior to the start of the inspection.
- In (b)(3) 112 Public Law instance, the licensee was unable to reconcile the disposition of a firearm, and the firearm was reported as missing on an ATF Form 3310.11, Federal Firearms Licensee Firearms Inventory Theft/Loss Report.

27 CFR 478.126a: Failure to prepare and submit an ATF Form 3310.4, Report of Multiple Sale or Other Disposition of Pistols and Revolvers in (b)(3) 112 Public Law instances involving (b)(3) 112 Public Law handguns

**** REPEAT OF VIOLATIONS CITED ON NOVEMBER 4, 2015; MARCH 28, 2014; NOVEMBER 18, 2011; AND SEPTEMBER 3, 2010.**

Nature of Violation:

In (b)(3) 112 Public Law instances, the licensee transferred (b)(3) 112 Public Law handguns to the same unlicensed person at (b)(3) 112 Public Law time or within five (5) consecutive business days, but failed to submit an ATF Form 3310.4, Report of Multiple Sale or Other Disposition of Pistols and Revolvers. Specifically:

- (b) (3) - Public Law 112-55 (125 Stat. 552), (b) (6)
- (b) (3) - Public Law 112-55 (125 Stat. 552), (b) (6)
- (b) (3) - Public Law 112-55 (125 Stat. 552), (b) (6)

(b)(6)

The violations were fully explained to you by the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) Industry Operations Investigator (b)(3) 112 Public Law 55-124, who indicated that you understood the requirements of the firearms. (b)(3) 112 Public Law further indicated that corrective actions would be taken to eliminate future violations.

Regarding the instances where you failed to accurately complete the A&D Record Books resulting in missing/unaccounted for firearm, you attributed this violation to oversight and a lack of attention to details by yourself and your employees. Specifically, you stated that many of these record-keeping errors most likely occurred during a period of time when your Record Keeper, (b)(3) 112 Public Law, was absent from the licensed premises attending to (b)(3) 112 Public Law. (b)(3) 112 Public Law strongly advised you to begin conducting more frequent full physical inventories of the firearms on hand. (b)(3) 112 Public Law should include a concurrent A&D Record Book Review to ensure that all firearms are properly accounted for and all A&D Record Book entries are complete and accurate. (b)(3) 112 Public Law stressed that frequent full physical inventories will greatly assist with the prevention of missing/unaccounted for firearms in the future. Additionally, (b)(3) 112 Public Law suggested that the implementation of a computer-based A&D Record Book may greatly assist in ensuring accurate completion of the A&D Records and prevention of missing/unaccounted for firearms.

Regarding your failure to complete ATF Form 3310.4, Report of Multiple Sale or Other Disposition of Pistols and Revolvers in (b)(3) 112 Public Law instances involving (b)(3) 112 Public Law, you attributed this violation to

(b) (6)

(b)(6)

(b)(6)

(b)(6)

(b)(6)

(b)(3) 112 Public

(b)(6)

lack of attention to details by yourself and your employees. DOJ advised you that frequent reviews of your ATF Form 4473s should greatly assist you in identifying multiple handgun sales to the same unlicensed individuals within a five (5) day period. He encouraged you to (b)(6) internal control utilizing the ATF Form 4473 reviews to assist you with identifying and reporting these types of sales. Additionally, DOJ suggested that the implementation of computer-based records would greatly assist you in identifying multiple handgun sales.

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 412-393-0600.

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	Street Address	City	State	ZIP Code	County	Page <u>1</u> of <u>1</u> Pages
Maurer's Trading Post, Inc	1696 Pittsburgh Rd	Franklin	PA	16323	Venango	
License/Permit/Registry Number (if any)	Expiration Date	Date(s) or Period of Inspection				
8-25-121-01-7A-02676	1/1/2017	12/5/2015 to 12/5/2016				

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 478.125(e)	In ^{(b)(3)} instances the licensee failed to record the dispositions of firearms in the acquisition and disposition (A&D) records. The dispositions of ^{(b)(3)} firearms were reconciled. The firearms were sold/transferred, but were not logged out of the A&D records. The disposition of ^{(b)(3)} firearm could not be reconciled and it was reported as missing on an ATF Form 3310.11, Federal Firearms Licensee Firearms Inventory Theft/Loss Report.	The licensee recorded the disposition information for the reconciled firearms and reported the unreconciled firearm as missing. The licensee was instructed to properly record the dispositions of firearms.	Immediately
2.	27 CFR 478.126a	In ^{(b)(3) 112 (b)} instances the licensee transferred two handguns to the same unlicensed person at one time or within five consecutive business days, but failed to submit an ATF Form 3310.4, Report of Multiple Sale or Other Disposition of Pistols and Revolvers. Specifically: (b)(3) 112 Public Law 55 125 STAT 552 (b)(6)	During the inspection, the licensee prepared and submitted ATF Forms 3310.4 for the previously unreported multiple sales. The licensee was advised of the proper multiple handgun reporting requirements.	Immediately

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

Signature and Title of ATF Officer

(b)(6)

IOI

Date 12-21-16

Date 12-21-16

ATF B-Form 5030.5
Revised April 2005