

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) Rockwood Corp 410 D Clermont Terrace Union, NJ 07083, Union		2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 769020-2015-0243-B1B	
		3. PERMIT/LICENSE NUMBER 822039015H33804	4a. TARGET DATE 8/28/2015
		4b. TARGET HOURS	
5. REQUESTED BY (SIGNATURE, TITLE AND DATE)			

6. ATF OFFICER(S) ASSIGNED (b)(6) - Lead Investigator	
7. ASSIGNED BY (SIGNATURE, TITLE AND DATE) (b)(6), Area Supervisor, 07/29/2015	

8. PURPOSE/SPECIAL INSTRUCTIONS Conduct a firearms compliance inspection utilizing DE guidelines in the IO Manual. Verify that there is no open CE investigation pertaining to the licensee; verify EIN/Trade name, proper zoning if applicable, and NJ licensure. In addition, please have applicant answer Item C8, and have a valid/current responsible person sign this renewal form. Finally, please have applicant initial and date any change/corrections made to the application.	
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9. INSPECTION RESULTS		☐ CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC		10. TRAVEL EXPENSES (OPTIONAL)	
NO. OF VIOLATIONS	2	NO. OF REFERRALS		2111 - PER DIEM	
NO. OF TECS CHECKS	3	NO. OF TECS 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) - Industry Operations Investigator Submitted on: 10/23/2015 Recommend approval of the renewal application. Violts WL ONLY and No Recall Inspection	
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12. TIME ACCOUNTING DATA	
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)
AUG 2015	3.00
SEP 2015	1.00
OCT 2015	39.00
ATF OFFICER'S SUBTOTAL	43.00
ATF OFFICER'S SIGNATURE	
TOTAL HOURS	43.00

13. REVIEW AND ROUTING	
REVIEW COMMENTS AND RECOMMENDATION Renew Type 01 FFL; Warning Letter sent out 10-26-15. Violts WL ONLY and No Recall Inspection	

☒ REVIEWED		☒ CONCUR	☒ SEE COMMENTS	☒ FINAL DISPOSITION
SIGNATURE AND TITLE (b)(6) - Area Supervisor		(b)(6)		REVIEW DATE 10/26/2015

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ROUTING SEQUENCE AND DATE

- ☐ 1. _____
☐ 2. _____
☐ 3. _____
☐ 4. _____

CONTROL FILE POSTED DATE _____

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 Rockwood Corp	Street Address 410 D Clermont Terrace	City Union	State NJ	Zip Code 07083-	County Union	Page 1 of 1 Pages
License/Permit/Registry Number <i>(If any)</i> 822039015H33804		Expiration Date 8/1/2015		Date(s) or Period of Inspection 10/07/2015 through 10/09/2015		

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 obtain the buyers signature on ATF F 4473 - Item 16- Section A.  instance out of 54 4473's reviewed

Citation: 27 CFR 478.124(c)(1)

Date Corrections to be Made:
(If not corrected immediately)

Corrective Action to be Taken: Corrections were made immediately. Licensee ensured future compliance
(If not corrected immediately)
- Number:** 2

Nature of Violation:
Licensee failed to report required multiple sales form  instance involving  firearms

Citation: 27 CFR 478.126a

Date Corrections to be Made:
(If not corrected immediately)

Corrective Action to be Taken: Corrections were made immediately. Licensee ensured future compliance.
(If not corrected immediately)

I Have Received a Copy of This Report of Violations <i>(Proprietor's signature and title)</i>	Date
Signature and Title of ATF Officer March 11 2019 Document Production 301	Date



U.S. Department of Justice

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

Newark Field Division – Newark III

October 26, 2015

www.atf.gov

**Rockwood Corp
410 D Clermont Terrace
Union, NJ 07083-
RE: 822039015H33804**

Dear Mr. DeBono :

During a recent inspection at your firearms business covering the period October 2014 to October 2015 you were cited for violations of Title 27, Code of Federal Regulations, Part 478. A copy of the Report of Violations, ATF F 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) Industry Operations Investigator (b)(6). You indicated that you understood the requirements of the firearms laws and regulations and that corrective actions would be taken to eliminate future violations. This Warning Letter is sent to emphasize your responsibility to ensure adherence to ATF laws/regulations as an FFL.

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 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 to ensure that criminals do not gain access to firearms. ATF appreciates the efforts you and other industry members make in this area. 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.

-2-

Rockwood Corp

Should you have any questions regarding this matter, please contact (b)(6)
(b)(6), Sr. Industry Operations Investigator at (b)(6).

Sincerely yours,

(b)(6)

Area Supervisor - Newark III

Enclosure

c: Federal Firearms Licensing Center
Newark III (IO) Field Office