

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) Ellis, Richard 9316 U.S. Rt 34, Suite B Yorkville, IL 60560, Kendall	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 772060-2015-0758-B1B			
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%;">3. PERMIT/LICENSE NUMBER 336037016B02638</td> <td style="width: 33%;">4a. TARGET DATE</td> <td style="width: 33%;">4b. TARGET HOURS</td> </tr> </table>	3. PERMIT/LICENSE NUMBER 336037016B02638	4a. TARGET DATE	4b. TARGET HOURS
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5. REQUESTED BY (SIGNATURE, TITLE AND DATE)				

6. ATF OFFICER(S) ASSIGNED

(b)(6) - Lead Investigator
 (b)(6) - Assigned Investigator

7. ASSIGNED BY (SIGNATURE, TITLE AND DATE)

(b)(6) Area Supervisor, 09/16/2015

8. PURPOSE/SPECIAL INSTRUCTIONS

Please conduct a full scope firearms compliance inspection of this Type 01 FFL. During initial review of this assignment please ensure the shared drive is reviewed for any additional variance approvals, correspondences, etc. that are not located in the file.

Zoning - Please utilize the Shared Zoning Folder for all zoning information. If a location needs added, deleted or amended/updated, please do so to ensure we maintain an accurate and up to date database.

9. INSPECTION RESULTS		<input type="checkbox"/> CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC		10. TRAVEL EXPENSES (OPTIONAL)	
NO. OF VIOLATIONS	2	NO. OF REFERRALS		2111 - PER DIEM	
NO. OF TECS CHECKS	2	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: 10/07/2015

Viols WL ONLY and No Recall Inspection

12. TIME ACCOUNTING DATA			
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)		(b)(6)	
SEP 2015	1.50		
OCT 2015	10.50		
ATF OFFICER'S SUBTOTAL	12.00	ATF OFFICER'S SIGNATURE	
TOTAL HOURS	12.00		

13. REVIEW AND ROUTING

REVIEW COMMENTS AND RECOMMENDATION

Concur with recommendation of WL. WL signed and mailed by A/S (b)(6) on 10/7/15.

Viols WL ONLY and No Recall Inspection

REVIEWED
 CONCUR
 SEE COMMENTS
 FINAL DISPOSITION

SIGNATURE AND TITLE (b)(6) - Area Supervisor	REVIEW DATE 10/07/2015
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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 Ellis, Richard	Street Address 9316 U.S. Rt 34, Suite B	City Yorkville	State IL	Zip Code 60560-	County Kendall	Page 1 of 1 Pages
License/Permit/Registry Number <i>(If any)</i> 336037016B02638		Expiration Date 2/1/2016	Date(s) or Period of Inspection 10/01/2014 through 10/05/2015			

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:

Form 4473 review disclosed the following:

- instances, licensee used an obsolete Form 4473
- instances, Forms 4473 did not contain information in block 10a (ethnicity)
- instances, Form 4473 did not contain the number of firearms transferred in block 30a

Citation: 27 CFR 478.21(a)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

No corrective action is required. Licensee educated on proper completion of Form 4473. Licensee was instructed to destroy all obsolete Forms 4473, which he did.

Number: 2

Nature of Violation:

Review of Forms 4473 disclosed the following:

- instances, Form 4473 did not contain a full middle name of purchaser
- instance, Form 4473 did not contain a complete POB in block 3
- instance, Form 4473 did not contain a response to question 11j (renounced citizenship)
- instances, Form 4473 did not contain a state of residence in block #13
- instances, Form 4473 did not contain citizenship info in block #14

Citation: 27 CFR 478.124(c)(1)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

No corrective action is required. Licensee was educated on proper completion of Form 4473.

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	Date



U.S. Department of Justice

Bureau of Alcohol, Tobacco,
Firearms and Explosives

Springfield II Field Office

3161 W. White Oaks Dr. Suite 200
Springfield, IL 62704
www.atf.gov

10/7/15

772060 (b)(6)
5300

Mr. Richard Ellis
9316 U.S. Route 34, Suite B
Yorkville, Illinois 60560

Dear Mr. Ellis:

During a recent compliance inspection at your firearms business covering the period of October 1, 2014 through October 5, 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.

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

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, 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.

Mr. Richard Ellis

Should you have any questions regarding this matter, please contact Senior Investigator (b)(6) in Downers Grove, Illinois, at (b)(6)

Sincerely yours,

(b)(6)

Area Supervisor
Springfield Area Office
Downers Grove Satellite Office

Enclosure

c: ATF Firearms Licensing Center