

## Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY)  Lohman, David John 29616 150th Ave N Hillsdale, IL 61257, Rock Island	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) <p style="text-align: center;">772060-2016-0478-B1B</p> 3. PERMIT/LICENSE NUMBER    4a. TARGET DATE    4b. TARGET HOURS <p style="text-align: center;">336161017F03148</p> 5. REQUESTED BY (SIGNATURE, TITLE AND DATE)
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6. ATF OFFICER(S) ASSIGNED  
 (b) (6) - Lead Investigator

7. ASSIGNED BY (SIGNATURE, TITLE AND DATE)  
 (b) (6) Area Supervisor, 05/18/2016

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.

Not associated with any other FFL  
 No NFA

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	4	NO. OF REFERRALS		2111 - PER DIEM
NO. OF TECS CHECKS	22	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

SI (b) (6) 2016  
 IOI (b) (6) conducted a full scope firearms compliance inspection July 12, 2016 at the licensed premise. Licensee David John Lohman was interview during the inspection. The inspection period was January 1, 2014 through July 11, 2016. This was the licensee's first compliance inspection. Although the licensee was cited for 27 CFR 478.102(a) for transferring (b) (6) - Public Law 112-55 (125 Stat. 559) prior to conducting a background check, the licensee thought he could transfer the firearm after 3 days. The licens (b) (6) that he does not use a computer and had called the IL State Police prior to the transfer but that the phone system was temporarily down. The licensee also stated that he had recently obtained an approval number for the same individual and that he did obtain a new approval number prior to filing the ATF F 4473. IOI (b) (6) explained that in accordance to Illinois State law, a firearm cannot be transferred until an approved background check transaction number had been issued. No prohibited transfers or suspicious activities were disclosed, and none of the associated firearms had been traced. Furthermore, the licensee has not been associated with a trace request since issuance of the license in 2011. See narrative and exhibits for further details.

Viols WL ONLY and Recall Inspection

12. TIME ACCOUNTING DATA			
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)		(b) (6)	
JUN 2016	2.00		
JUL 2016	27.00		
ATF OFFICER'S SUBTOTAL	29.00	ATF OFFICER'S SIGNATURE	
TOTAL HOURS	29.00		

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	3. PERMIT/LICENSE NUMBER 336161017F03148	4a. TARGET DATE	4b. TARGET HOURS
	5. REQUESTED BY (SIGNATURE, TITLE AND DATE)		

### 13. REVIEW AND ROUTING

#### REVIEW COMMENTS AND RECOMMENDATION

Concur with recommendation of Warning Letter but due to [REDACTED] instance of a violation that could have warranted a warning conference A/S is recommending no Recall Inspection. PII forwarded to DIO Arnold on 7/26/16 for review.

With DIO concurrence the Warning Letter was signed and mailed by A/S (b) (6) on 8/17/16.

Viols WL ONLY and No Recall Inspection

REVIEWED     CONCUR     SEE COMMENTS     FINAL DISPOSITION

SIGNATURE AND TITLE (b) (6) T - Area Supervisor	REVIEW DATE 07/26/2016
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#### REVIEW COMMENTS AND RECOMMENDATION

DOI concurs with Warning Letter recommendation.

Viols WL ONLY and No Recall Inspection

REVIEWED     CONCUR     SEE COMMENTS     FINAL DISPOSITION

SIGNATURE AND TITLE TEARNOLD - Director, Industry Operations	REVIEW DATE 08/17/2016
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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 Lohman, David John	Street Address 29616 150th Ave N	City Hillsdale	State IL	Zip Code 61257-	County Rock Island	Page 1 of 2 Pages
License/Permit/Registry Number <i>(If any)</i> 336161017F03148	Expiration Date 6/1/2017	Date(s) or Period of Inspection 07/12/2016 through 07/12/2016				

### 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:**

Instances, the licensee transferred a firearm although ATF F 4473 Question 11a was answered "No". (Actual Buyer)

**Citation:** 27 CFR 478.21(a)

**Date Corrections to be Made:**

*(If not corrected immediately)*

**Corrective Action to be Taken:**

*(If not corrected immediately)*

The violations were reviewed and the licensee was reminded to review each form when completed and prior to the transfer. The licensee was instructed that the actual buyer must complete the ATF F 4473. The licensee was further instructed that firearms cannot be transferred when any question on the ATF F 4473 is not answered correctly.

**Number:** 2

**Nature of Violation:**

Instances, the licensee failed to complete an ATF F 3310.4 (Report of Multiple Sale or Other Disposition of Pistols or Revolvers) when handguns were transferred to a non-licensee.

**Citation:** 27 CFR 478.126a

**Date Corrections to be Made:**

*(If not corrected immediately)*

**Corrective Action to be Taken:**

*(If not corrected immediately)*

The licensee completed an ATF F 3310.4 for each of the transactions during the inspection.

**Number:** 3

**Nature of Violation:**

In 1 instance, the licensee transferred a firearm prior to conducting a background check.

**Citation:** 27 CFR 478.102(a)

**Date Corrections to be Made:**

*(If not corrected immediately)*

**Corrective Action to be Taken:**

*(If not corrected immediately)*

The licensee was reminded that an approval number must be issued before transferring a firearm.

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License/Permit/Registry Number <i>(If any)</i> 336161017F03148	Expiration Date 6/1/2017	Date(s) or Period of Inspection 07/12/2016 through 07/12/2016				

### Inspection Results

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

**Number:** 4

**Nature of Violation:**

<sup>(b)(3)(F)</sup> instances, firearms found in inventory were not recorded in the A&D and/or did not have an open disposition.

**Citation:** 27 CFR 478.125(e)

**Date Corrections to be Made:**

*(If not corrected immediately)*

**Corrective Action to be Taken:**

*(If not corrected immediately)*

Licensee recorded the acquisition of each firearm during the inspection.

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

AUG 17 2016

772060: (b) (6)  
5300

**CERTIFIED MAIL  
RETURN RECEIPT REQUESTED**

David John Lohman  
29616 150<sup>th</sup> Ave N  
Hillsdale, IL 61257

FFL #3-36-161-01-7F-03148

Dear Mr. Lohman:

During a recent compliance inspection at your firearms business covering the period of January 1, 2016 through July 11, 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.

The 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. 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.

Should you have any questions regarding this matter, please contact IO Investigator (b) (6) at (b) (6)

Sincerely yours

(b) (6)

Area Supervisor  
Springfield II  
Downers Grove SO

Enclosure

c: Federal Firearms Licensing Center