

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) Parkway Pawn & Gun LLC Parkway Pawn & Gun 2 Knox Plaza Barbourville, KY 40906, Knox	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 775025-2016-0035-B1B		
	3. PERMIT/LICENSE NUMBER 461121028H04874	4a. TARGET DATE 5/1/2016	4b. TARGET HOURS
	5. REQUESTED BY (SIGNATURE, TITLE AND DATE) 05/01/2016		

6. ATF OFFICER(S) ASSIGNED
(b)(6) - Assigned Investigator
(b)(6) - Lead Investigator

7. ASSIGNED BY (SIGNATURE, TITLE AND DATE)
(b)(6), Area Supervisor, 10/03/2015

8. PURPOSE/SPECIAL INSTRUCTIONS
Conduct full EEI Inspection following instructions provided in the Frontline Manual and FY 16 Coding Guidelines.

9. INSPECTION RESULTS		<input type="checkbox"/> CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC		10. TRAVEL EXPENSES (OPTIONAL)	
NO. OF VIOLATIONS	7	NO. OF REFERRALS		2111 - PER DIEM	
NO. OF TECS CHECKS	31	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: 11/04/2015
On October 14, 2015, IOI (b)(6) and IOI (b)(6) began an on-site FFL inspection of Parkway Pawn & Gun LLC in Barbourville, Kentucky. James Miles, LLC Member/Responsible Person, assisted IOI (b)(6) and IOI (b)(6) during this inspection by providing access to the licensee's inventory and records. IOI (b)(6) and IOI (b)(6) held a closing conference with Mr. Miles on October 28, 2015.

IOI (b)(6) issued a report of violations to the licensee. The licensee was cited for seven (7) violations of the Gun Control Act (See ATF Form 5030.5, Worksheet 1 and Worksheet 2, and Exhibits 1-23). IOI (b)(6) recommends a warning letter and recall inspection.

Violation #2 rises to a warning letter. See ATF F 4473 Number: (b)(3) 112 Public Law 55 125 STAT 552 (b)(6). On this form, the licensee transferred a firearm to an individual who, although not actually prohibited at the time of transfer, appeared to be prohibited. The transferee answered "yes" in Item 11.f. (Have you ever been adjudicated mentally defective?). The licensee proceeded to contact NICS and transfer a firearm to the transferee. On October 16, 2015, IOI (b)(6) queried the transferee in NCIC. No prohibiting information was identified. (See Violation #2 on ATF Form 5030.5, Worksheet 2, and Exhibit 23)

The other violations cited during this inspection rise to a report of violations only.

At the time of inspection, the licensee had 455 firearms in inventory. The licensee had 328 ATF Forms 4473 on file for the inspection period. In the past 12 months, the licensee had acquired (b)(4) firearms and disposed of approximately (b)(4) firearms.

See Narrative Report, Worksheets and Exhibits for more information.

Viols WL ONLY and Recall Inspection

Assignment and Report

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	5. REQUESTED BY (SIGNATURE, TITLE AND DATE) 05/01/2016		

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	61.00
NOV 2015	24.00
ATF OFFICER'S SUBTOTAL	85.00
ATF OFFICER'S SIGNATURE	
TOTAL HOURS	117.00

13. REVIEW AND ROUTING

REVIEW COMMENTS AND RECOMMENDATION

W/L mailed 11/23/2015. PII sent to the FFLC on same date.

Viols WL ONLY and Recall Inspection

☒ REVIEWED

☒ CONCUR

☒ SEE COMMENTS

☒ FINAL DISPOSITION

SIGNATURE AND TITLE (b)(6) - Area Supervisor	REVIEW DATE 11/23/2015
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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 Parkway Pawn & Gun LLC Parkway Pawn & Gun	Street Address 2 Knox Plaza	City Barbourville	State KY	Zip Code 40906-	County Knox	Page 1 of 10 Pages
License/Permit/Registry Number <i>(If any)</i> 461121028H04874		Expiration Date 8/1/2018		Date(s) or Period of Inspection 10/14/2015 through 10/28/2015		

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:

Failure to record certain required information on (b)(3) ATF Forms 4473. All (b)(3) of the Forms 4473 listed below contained multiple errors. In total, this violation occurred in (b)(3) instances. There were blank entries on the following ATF Forms 4473:

(b)(3) 112 Public Law 55 125 STAT 552

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

In the future, the licensee will record all of the required information on the ATF Forms 4473.

U.S. Department of Justice

Bureau of Alcohol, Tobacco, Firearms and Explosives

Report of Violations

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Name of Proprietor Parkway Pawn & Gun LLC Parkway Pawn & Gun	Street Address 2 Knox Plaza	City Barbourville	State KY	Zip Code 40906-	County Knox	Page 2 of 10 Pages
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License/Permit/Registry Number (If any) 461121028H04874	Expiration Date 8/1/2018	Date(s) or Period of Inspection 10/14/2015 through 10/28/2015
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Inspection Results

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

(b)(3) 112 Public Law 55 125 STAT 552

Citation: 27 CFR 478.21(a)

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ATF E-Form 5030 5
Revised April 2005

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 Parkway Pawn & Gun LLC Parkway Pawn & Gun	Street Address 2 Knox Plaza	City Barbourville	State KY	Zip Code 40906-	County Knox	Page 3 of 10 Pages
License/Permit/Registry Number <i>(If any)</i> 461121028H04874		Expiration Date 8/1/2018	Date(s) or Period of Inspection 10/14/2015 through 10/28/2015			

Inspection Results

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

Number: 2

Nature of Violation:

The licensee transferred a firearm to an individual who, although not actually prohibited at the time of transfer, appeared to be prohibited. On [REDACTED] ATF Form 4473, the transferee answered "yes" in Item 11.f. (Have you ever been adjudicated mentally defective?). The licensee proceeded to contact NICS and transfer a firearm to the transferee. On October 16, 2015, IOI (b) (6) queried the transferee in NCIC. No prohibiting information was identified.

Form Number: (b)(3) 1

Citation: 27 CFR 478.99(c)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

: In the future, the licensee will review the ATF Form 4473 prior to contacting NICS and conducting a background check. If the transferee answers "yes" to any of the prohibiting questions in Section A, the licensee will stop the transaction immediately and will not contact NICS.

Report of Violations

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Name of Proprietor Parkway Pawn & Gun LLC Parkway Pawn & Gun	Street Address 2 Knox Plaza	City Barbourville	State KY	Zip Code 40906-	County Knox	Page 4 of 10 Pages
License/Permit/Registry Number <i>(If any)</i> 461121028H04874		Expiration Date 8/1/2018		Date(s) or Period of Inspection 10/14/2015 through 10/28/2015		

Inspection Results

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

Number: 3

Nature of Violation:

Failure to obtain complete and accurate information on (b)(3) 112 Public Law 55 125 STAT 552 of the Forms 4473 listed below contained multiple errors. In total, this violation occurred in (b)(3) instances. There were blank entries on the following ATF Forms 4473:

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken: In the future, the licensee will obtain complete and accurate

(If not corrected immediately) ATF Forms 4473.

(b)(3) 112 Public Law 55 125 STAT 552

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 Parkway Pawn & Gun LLC Parkway Pawn & Gun	Street Address 2 Knox Plaza	City Barbourville	State KY	Zip Code 40906-	County Knox	Page 5 of 10 Pages
License/Permit/Registry Number <i>(If any)</i> 461121028H04874		Expiration Date 8/1/2018	Date(s) or Period of Inspection 10/14/2015 through 10/28/2015			

Inspection Results

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

(b)(3) 112 Public Law 55 125 STAT 552

Citation: 27 CFR 478.124(c)(1)

Number: 4

Nature of Violation:

Failure to record certain required information on (b)(3) 112 Public L ATF Forms 4473. There were blank entries on the following ATF Forms 4473:

(b)(3) 112 Public Law 55 125 STAT 552

Citation: 27 CFR 478.124(c)(3)(iv)

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

Corrective Action to be Taken: In the future, the licensee will record all of the required
(If not corrected immediately) information on the ATF Forms 4473.

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 Parkway Pawn & Gun LLC Parkway Pawn & Gun	Street Address 2 Knox Plaza	City Barbourville	State KY	Zip Code 40906-	County Knox	Page 6 of 10 Pages
License/Permit/Registry Number <i>(If any)</i> 461121028H04874		Expiration Date 8/1/2018		Date(s) or Period of Inspection 10/14/2015 through 10/28/2015		

Inspection Results

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

Number: 5

Nature of Violation:

Failure to record certain required information on (b)(3) ATF Forms 4473. Both of the Forms 4473 listed below contained multiple errors. In total, this violation occurred in (b)(3) instances. There were blank entries on the following ATF Forms 4473:

(b)(3) 112 Public Law 55 125 STAT 552

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

In the future, the licensee will record all of the required information on the ATF Forms 4473.

Citation: 27 CFR 478.124(c)(4)

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 Parkway Pawn & Gun LLC Parkway Pawn & Gun	Street Address 2 Knox Plaza	City Barbourville	State KY	Zip Code 40906-	County Knox	Page 7 of 10 Pages
License/Permit/Registry Number <i>(If any)</i> 461121028H04874		Expiration Date 8/1/2018		Date(s) or Period of Inspection 10/14/2015 through 10/28/2015		

Inspection Results

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

Number: 6

Nature of Violation:

Failure to record certain required information on (b)(3) ATF Forms 4473. (b)(3) 112 Public Law 55 125 STAT 552
Forms 4473 listed below contained multiple errors. In total, this violation occurred in (b)(3)
instances. There were blank entries on the following ATF Forms 4473:

(b)(3) 112 Public Law 55 125 STAT 552

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken: In the future, the licensee will record all of the required
(If not corrected immediately) information on the ATF Forms 4473.

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 Parkway Pawn & Gun LLC Parkway Pawn & Gun	Street Address 2 Knox Plaza	City Barbourville	State KY	Zip Code 40906-	County Knox	Page 8 of 10 Pages
License/Permit/Registry Number <i>(If any)</i> 461121028H04874	Expiration Date 8/1/2018	Date(s) or Period of Inspection 10/14/2015 through 10/28/2015				

Inspection Results

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

(b)(3) 112 Public Law 55 125 STAT 552



Citation: 27 CFR 478.124(c)(5)

U.S. Department of Justice

Bureau of Alcohol, Tobacco, Firearms and Explosives

Report of Violations

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Name of Proprietor Parkway Pawn & Gun LLC Parkway Pawn & Gun	Street Address 2 Knox Plaza	City Barbourville	State KY	Zip Code 40906-	County Knox	Page 9 of 10 Pages
License/Permit/Registry Number <i>(If any)</i> 461121028H04874		Expiration Date 8/1/2018	Date(s) or Period of Inspection 10/14/2015 through 10/28/2015			

Inspection Results

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

Number: 7

Nature of Violation:

Failure to timely record the disposition of a firearm in the A&D record in (b)(3) 112 Public instances.
The following firearms had been transferred, but they had not been logged out in the licensee's A&D record prior to this inspection:

(b)(3) 112 Public Law 55 125 STAT 552

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

Corrective Action to be Taken:
(If not corrected immediately)

On October 15, 2015, the licensee made all of the required disposition entries in the A&D record. In the future, the licensee will timely record all firearms dispositions in the A&D record.

Ultimately, no firearms were missing from inventory upon inventory reconciliation.

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ATF E-Form 5030 5
Revised April 2005

U.S. Department of Justice

Bureau of Alcohol, Tobacco, Firearms and Explosives

Report of Violations

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Name of Proprietor Parkway Pawn & Gun LLC Parkway Pawn & Gun	Street Address 2 Knox Plaza	City Barbourville	State KY	Zip Code 40906-	County Knox	Page 10 of 10 Pages
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License/Permit/Registry Number <i>(If any)</i> 461121028H04874	Expiration Date 8/1/2018	Date(s) or Period of Inspection 10/14/2015 through 10/28/2015
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Inspection Results

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

Citation: 27 CFR 478.125(e)

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

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ATF E-Form 5030 5
Revised April 2005

1040 Monarch Street, Suite 250
Lexington, Kentucky 40513

November XX, 2015

775025 (b)(6)
5300

**CERTIFIED MAIL/
RETURN RECEIPT REQUESTED**

Parkway Pawn & Gun LLC
Attention: James Miles
2 Knox Plaza
Barbourville, KY 40906

Dear Licensee:

During a recent compliance inspection at your firearms business covering the period of October 14, 2015, through October 28, 2015, you were cited for violations of 27 Code of Federal Regulations, Part 478. A copy of the ATF Form 5030.5, Report of Violations, issued at the time of the inspection is enclosed.

The violations were fully explained to you by Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) Industry Operations Investigator (IOI) (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 IOI (b)(6) or myself at (b)(6).

Sincerely yours,

(b)(6)
Area Supervisor
Lexington II Field Office

Enclosure

cc: Federal Firearms Licensing Center
Director, Industry Operations
File