

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) James Stephen Speakman SS Firearms 2753 Pioneer Drive Bowling Green, KY 42101, Warren	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 775045-2017-0033-B1B		
	3. PERMIT/LICENSE NUMBER 461227017A15462	4a. TARGET DATE 9/30/2017	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, 10/03/2016

8. PURPOSE/SPECIAL INSTRUCTIONS

9. INSPECTION RESULTS		<input type="checkbox"/> CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC		10. TRAVEL EXPENSES (OPTIONAL)	
NO. OF VIOLATIONS	3	NO. OF REFERRALS		2111 - PER DIEM	
NO. OF TECS CHECKS	1	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: 01/26/2017
Industry Operations Investigator (IOI) (b)(6) from the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) initiated an unannounced full compliance inspection of the Federal Firearms Licensee, James Stephen Speakman dba SS Firearms, on January 25, 2017. James Stephen Speakman, Owner/RP, was interviewed at the licensee's business premises. The inspection period was from January 25, 2016 through January 25, 2017.

Violations with Warning Letter. The warning letter is recommended due to the licensee failing to report (b)(3) multiple handgun sales. Also for failure by the licensee to have the buyer sign and/or date the form in section A on 5 percent or more of 4473 examined.

IOI (b)(6) held a closing conference with James Speakman, Owner, on January 25, 2017. The ATF Form 5030.5, Report of Violations, and the Acknowledgement of Federal Firearms Regulations were reviewed, signed, and attached. IOI (b)(6) provided applicable reference materials as well as his contact information.

Viols WL ONLY and No Recall Inspection

12. TIME ACCOUNTING DATA			
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)		(b)(6)	
JAN 2017	15.00		
ATF OFFICER'S SUBTOTAL	15.00	ATF OFFICER'S SIGNATURE	
TOTAL HOURS	15.00		

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13. REVIEW AND ROUTING

REVIEW COMMENTS AND RECOMMENDATION

FFL compliance inspection conducted on 1/25/2017. FFL was cited for 3 violations rising to the level of warning letter. A warning letter was mailed to the FFL on 1/30/2017. Final recommendation in ROV, Warning Letter, No recall inspection.

Viols WL ONLY and No Recall Inspection

☒ REVIEWED

☒ CONCUR

☒ SEE COMMENTS

☒ FINAL DISPOSITION

SIGNATURE AND TITLE

(b)(6) - Area Supervisor

REVIEW DATE

01/31/2017

ROUTING SEQUENCE AND DATE

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

CONTROL FILE POSTED DATE _____



U.S. Department of Justice

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

*600 Dr. Martin Luther King Jr. Place, Suite 500
Louisville, Kentucky 40202*

www.atf.gov

January 30, 2017

75045 (b)(6)
5300

**CERTIFIED MAIL
RETURN RECEIPT REQUESTED**

James S. Speakman dba SS Firearms
2753 Pioneer Drive
Bowling Green, KY 42101
FFL # 4-61-15462

Dear James S. Speakman:

During a recent compliance inspection at your firearms business covering the period of January 25, 2016 to January 25, 2017, 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 the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) Investigator. 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.

James S. Speakman dba SS Firearms
FFL # 4-61-15462

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 me at 502-753-3500.

Sincerely,

(b)(6)

Area Supervisor
Louisville II
Louisville Field Division

Enclosure

cc: Federal Firearms Licensing Center
Director, Industry Operations, Louisville Field Division

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
James S. Speakman / SS Firearms	2753 Pioneer Drive	Bowling Green	KY	42101	Warren	

License/Permit/Registry Number (if any)	Expiration Date	Date(s) or Period of Inspection
4-61-15462	01/01/2020	01/25/2016 Through 01/25/2017

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 478.21(a)	Failure to record all required information in items 10a of ATF Forms 4473. Item 10a, Ethnicity, is blank on (b)(3) form.	Ensure to require the transferee/buyer to record all necessary information on ATF Forms 4473. Prior to transferring a firearm.	
2	27 CFR 478.124(c)(1)	Failure to require the transferee/buyer to record all necessary information in item 17 of ATF Form 4473. Item 17, Certification Date, is blank on (b)(3) form.	Ensure to require the transferee/buyer to record all necessary information on ATF Forms 4473. Prior to transferring a firearm. Always require the transferee/buyer to sign and date the ATF Form 4473.	
3	27 CFR 478.126a	Failure to complete ATF Form 3310.4, Report of Multiple Sale or Other Disposition of Pistols and Revolvers, when two or more handguns were transferred to the same individual within five business days. On (b)(3) occasion, the licensee sold two or more handguns to an individual without completing ATF Form 3310.4. On this occasion the licensee sold (b)(3) handguns on the same ATF Form 4473 without reporting the multiple sale.	After being instructed to do so, the licensee completed and submitted the ATF Form 3310.4, Report of Multiple Sale or Other Disposition of Pistols and Revolvers.	

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

Signature and Title of ATF Officer

(b)(6)

Date

1-25-17

Date

1-25-17