U.S. Department of Justice
Bureau of Alcohol, Tobacco, Firearms and Explosives

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY)	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.)		
Henning, Cody Fly Rods & Firearms 38429 Jingo Rd La Cygne,KS 66040, LINN	779025-2017-0052-B1B		
	3. PERMIT/LICENSE NUMBER 548107012G00037	4a. TARGET DATE 9/15/2017	4b. TARGET HOURS
	5. REQUESTED BY (SIGNATURE, TITLE AND DATE) 10/01/2016		

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
Warning Letter issued in 2010. Conduct recall inspection.

9. INSPECTION RESULTS		☐ CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC		10. TRAVEL EXPENSES (OPTIONAL)	
NO. OF VIOLATIONS	4	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: 12/05/2016
The licensee submitted a written statement during the inspection to change his contact information to the following in the Federal Licensing System (Source Document #2):

Phone: (b)(6) (Cody HENNING'S cell phone)
Email Address: (b)(6)

ALTERNATE RECOMMENDATION: The inspection results merit a Warning Conference according to condition 6.d.(6) of the current ATF Adverse Action Policy. The results further merit a Warning Letter according to conditions 6.c.(7), 6.c.(12) and 6.c.(13). An alternate recommendation of a Warning Letter with no recall inspection is recommended due to the licensee taking immediate action to correct the violations and his low-volume of business activity.

Viols WL ONLY and No Recall Inspection

12. TIME ACCOUNTING DATA

ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)	
NOV 2016	21.00	
ATF OFFICER'S SUBTOTAL	21.00	ATF OFFICER'S SIGNATURE
TOTAL HOURS	21.00	

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1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY)	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.)		
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13. REVIEW AND ROUTING

REVIEW COMMENTS AND RECOMMENDATION

ALTERNATE RECOMMENDATION: WARNING LETTER ONLY – NO RECALL

The inspection meets the standard for a Warning Conference under the Administrative Action Policy (2/8/2013). The licensee was cited for failure to record any ID on Forms 4473 on 16% of forms [redacted] form) – WC at Sec 6.d.(6). Additional violations include failure to file multiple handgun sale reports in [redacted] instances [redacted] firearms) – WL at Sec. 6.c.(7); failure to execute a F4473 and conduct NICS checks in [redacted] instances for a consignment return – WL at Sec. 6.c.(12) & (13), respectively.

JUSTIFICATION FOR ALTERNATE: The licensee is a low-volume dealer, who completed only three transfers in the last year. The low volume of forms led to the higher error rate on buyer ID discrepancies. Although this violation is repeat in nature, the current recall inspection occurred beyond the 5-year threshold. None of the violations adversely affected public safety. No inventory on hand. No traces. No losses. The licensee was receptive to the corrective actions and made immediate corrections and/or took steps to prevent future violations. He will be inspected in the future on a 5-year rotation.

AS Review: 12/8/2016
Sent to DIO: 12/8/2016
DIO Concurs: 12/8/2016
Warning Letter Sent: 12/8/2016

FLS Updates:

Phone: (b)(6) (Cody HENNING'S cell phone)
Email Address: (b)(6)

PII sent 12/8/2016.

Viols WL ONLY and No Recall Inspection

☒ REVIEWED ☒ CONCUR ☒ SEE COMMENTS ☒ FINAL DISPOSITION

SIGNATURE AND TITLE		REVIEW DATE
(b)(6) - Area Supervisor	(b)(6) Digitally signed by (b)(6) DN: c=US, o=U.S. Government, ou=Dept of Justice, ou=ATF, cn=(b)(6), 0.9.2342.19200300.100.1.1=15001001371360 Date: 2016.12.08 15:01:16 -06'00'	12/08/2016

ROUTING SEQUENCE AND DATE

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

CONTROL FILE POSTED DATE _____

U.S. Department of Justice
Bureau of Alcohol, Tobacco, Firearms and Explosives

Report of Violations

Instructions

Please write firmly with a ball point pen when completing this form. ATF officers will prepare this form in quadruplicate. The original copy and the suspense copy *(where required)* 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 of
HENNING, Cody	38429 Jingo Rd.	La Cygne	KS	66040	Miami	Page 1 of 1 Pages

License/Permit/Registry Number *(if any)*	Expiration Date	Date(s) or Period of Inspection
5-48-107-01-8G-00037	7/1/18	11/16/13 - 11/15/16

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 478.124(c)	Failure to record firearm transfer on ATF Form 4473. In (b)(3) 112 Public La instances the licensee returned consigned firearms to an individual without completing ATF form 4473	Ensure ATF form 4473 is completed by the consignee when a firearm is returned to them.	
2	27 CFR 478.121(a)	Failure to retain ATF Form 4473 on licensed premise. Form (b) (3) - Public Law 112-55 (125 Stat. 552) could not be located during inspection	Ensure ATF Forms 4473 are retained on the premise for at least 20 years	
3	27 CFR 478.124(c)(3)(i)	Failure to record the firearm transferee's identification document on ATF Form 4473. In (b)(3) 112 instances there was no ID document recorded on the form.	Ensure ID information is recorded in Item 20a of ATF Form 4473	
4	27 CFR 478.126a	Failure to submit ATF F 3310.4 when required (b)(3) 112 Public La instances were disclosed	Forms completed during inspection. Ensure form submitted when required.	

I Have Received a Copy of This Report of Violations *(Proprietor's signature and title)* Date 15-Nov-2016

Signature and Title of ATF Officer (b)(6) I OI Date 11/15/16

ATF Form 5030.5
Revised April 2005

COPY 2 - INSPECTION REPORT COPY

October 9 2018 Document Production

U.S. Department of Justice
Bureau of Alcohol, Tobacco, Firearms and Explosives

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 1 of
Henning, Cody Fly Rods & Firearms	38429 Jingo Rd	La Cygne	KS	66040-	LINN	2 Pages

License/Permit/Registry Number *(If any)*	Expiration Date	Date(s) or Period of Inspection
548107012G00037	7/1/2018	11/15/2016 through 11/15/2016

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:
Failure to record a transfer of a firearm on ATF Form 4473. In [redacted] instances, the licensee returned consigned firearms to their owner without completing an ATF Form 4473.

Citation: 27 CFR 478.124(a)

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

Corrective Action to be Taken: *(If not corrected immediately)* Ensure an ATF Form 4473 is completed by the consignor when a firearm is returned to them.

Number: 2

Nature of Violation:
Failure to retain ATF Forms 4473 on the licensed premises for a period of not less than 20 years. Forms # [redacted] could not be located during the inspection by the licensee.

Citation: 27 CFR 478.129(b)

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

Corrective Action to be Taken: *(If not corrected immediately)* Ensure ATF Forms 4473 are kept on the premise for a period of at least 20 years and in the manner prescribed by 27 CFR 478.124.

Number: 3

Nature of Violation:
Failure to properly identify a firearms transferee on ATF Form 4473 prior to transferring them a firearm. On [redacted] ATF Forms 4473 examined, the licensee failed to document the identification number in Item #20(a) of ATF Form 4473.

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

Corrective Action to be Taken: *(If not corrected immediately)* Ensure individuals are properly identified and their identification document information is recorded in Item #20 of ATF Form 4473 prior to transferring them a firearm.

(b)(6)
11/15/16

U.S. Department of Justice
Bureau of Alcohol, Tobacco, Firearms and Explosives

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 2 of 2 Pages
Henning, Cody Fly Rods & Firearms	38429 Jingo Rd	La Cygne	KS	66040-	LINN	

License/Permit/Registry Number *(If any)*	Expiration Date	Date(s) or Period of Inspection
548107012G00037	7/1/2018	11/15/2016 through 11/15/2016

Inspection Results

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

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

Number: 4

Nature of Violation:
Failure to submit ATF Form 3310.4 when required. (b)(3) 112 Public [redacted] instances were examined where an individual received (b)(3) 112 Public L [redacted] handguns in the same transaction and ATF Form 3310.4 was not prepared and submitted as required.

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

Corrective Action to be Taken: The Forms were completed during the inspection. Ensure the Form is completed and submitted when required.
(If not corrected immediately)

Citation: 27 CFR 478.126a

I Have Received a Copy of This Report of Violations *(Proprietor's signature and title)* Cody W Henning Owner — Date 22-Nov-2016

Signature and Title of ATF Office[redacted] - ATF IOI — Date 11/17/16

(b)(6)

October 9 2018 Document Production

ATF E-Form 5030.5
Revised April 2005

U.S. Department of Justice

Bureau of Alcohol, Tobacco,
Firearms and Explosives

Kansas City Field Division – KC III (Kansas)

1251 NW Briarcliff Pkwy, Ste 600
Kansas City, MO 64116
www.atf.gov

December 8, 2016

779025(b)(6)
5373

CERTIFIED MAIL – RETURN RECEIPT REQ

Mr. Cody Henning
Dba: Fly Rods & Firearms
38429 Jingo Rd
La Cygne, KS 66040

RE: 5-48-107-01-8G-00037

Dear Mr. Henning:

This letter summarizes the issues discussed with
conducted on November 15, 2016, related to you
covered the period of November 15, 2013 to No
business was cited for violations of Title 27, Coc
Report of Violations, Form 5030.5 issued at the ..... of the inspection is enclosed.

All violations were fully explained to you by the Bureau of Al...
Explosives ... ...nts of
the firearms ... ...tion
to prevent f...

The records ...
efforts to rec...
Federal laws ...
critical to AT... ...ain
access to fire... ...ea
and we look ...

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OFFICIAL USE

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Return Receipt Fee (Endorsement Required)	
Restricted Delivery Fee (Endorsement Required)	
Total Postage & Fees	$

Postmark Here

7012 3460 0002 8653 5640

Sent To Mr. Cody Henning
Dba: Fly Rods & Firearms
Street, Apt. No.; or PO Box No. 38429 Jingo Rd
City, State, ZIP+4 LaCygne KS 66040

PS Form 3800, August 2006 See Reverse for Instructions

SENDER: COMPLETE THIS SECTION

- Complete items 1, 2, and 3. Also complete item 4 if Restricted Delivery is desired.
- Print your name and address on the reverse so that we can return the card to you.
- Attach this card to the back of the mailpiece, or on the front if space permits.

1. Article Addressed to:
Mr. Cody Henning
Dba: Fly Rods & Firearms
38429 Jingo Rd
LaCygne, KS 66040

COMPLETE THIS SECTION ON DELIVERY

A. Signature X [signature] ☐ Agent ☒ Addressee

B. Received by (Printed Name) Cody Henning

C. Date of Delivery 12-10-16

D. Is delivery address different from item 1? ☐ Yes ☒ No
If YES, enter delivery address below:

3. Service Type
☒ Certified Mail® ☐ Priority Mail Express™
☐ Registered ☐ Return Receipt for Merchandise
☐ Insured Mail ☐ Collect on Delivery

4. Restricted Delivery? (Extra Fee) ☐ Yes

Article Number (Transfer from service label) 7012 3460 0002 8653 5640

PS Form 3811, July 2013 Domestic Return Receipt

U.S. Department of Justice

Bureau of Alcohol, Tobacco,
Firearms and Explosives

Kansas City Field Division – KC III (Kansas)

1251 NW Briarcliff Pkwy, Ste 600
Kansas City, MO 64116
www.atf.gov

December 8, 2016

779025(b)(6)
5373

CERTIFIED MAIL – RETURN RECEIPT REQUESTED

Mr. Cody Henning
Dba: Fly Rods & Firearms
38429 Jingo Rd
La Cygne, KS 66040

RE: 5-48-107-01-8G-00037

Dear Mr. Henning:

This letter summarizes the issues discussed with you during the recent compliance inspection conducted on November 15, 2016, related to your Federal firearms license. The inspection covered the period of November 15, 2013 to November 15, 2016. During the inspection, your business was cited for violations of Title 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(b)(6). You indicated that you understood the requirements of the firearms laws and regulations. Additionally, you assured IOI(b)(6)that you would take action to prevent future violations.

The records you are required to maintain 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 activities as a licensed firearms dealer. This is critical to ATF 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 the license. If you have any questions regarding this matter, please contact Investigator (b)(6) or the ATF Kansas City Group III Office at (816) 410-6000.

Sincerely,

(b)(6)

Area Supervisor
Industry Operations (Kansas)
Kansas City Group III (Regulatory)
Kansas City Field Division

cc: National Licensing Center
Director of Industry Operations