

## Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY)  Gray, Curtis Wayne Yellow Jacket Arms 9919 Lower Troy Road Troy, TX 76579, BELL- 027	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 782065-2016-0104-B1B		
	3. PERMIT/LICENSE NUMBER 574027078E05377	4a. TARGET DATE 9/23/2016	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, 10/05/2015

8. PURPOSE/SPECIAL INSTRUCTIONS  
Please conduct a compliance inspection of a Type 07 Manufacturer of Firearms.

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	8	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: 09/28/2016  
On September 20, 2016, Industry Operations Investigator (IOI) (b)(6) conducted a Type-07; Manufacturer of Firearms DE compliance inspection with owner and Sole Proprietor, Curtis Wayne Gray d.b.a. Yellow Jacket Arms. IOI (b)(6) extended the period of inspection from when the license was received since the licensee had yet to be inspected. The period of inspection covered April 10, 2012 to September 20, 2016. The inspection took place at the business premises located at 9919 Lower Troy Road, Troy, Texas 76579. No others were present during the inspection. All records were reviewed on September 20, 2016.

### Violations Cited:

1. Violation 27 CFR 478.123(d)
2. Violation 27 CFR 478.21(a)
3. Violation 27 CFR 478.124(c)(1)
4. Violation 27 CFR 478.124(c)(3)(i)
5. Violation 27 CFR 478.124(c)(4)
6. Violation 27 CFR 478.124(c)(5)
7. Violation 27 CFR 478.129(b)

Viols WL ONLY and No Recall Inspection

12. TIME ACCOUNTING DATA			
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)		(b)(6)	
FEB 2016	6.00		
MAY 2016	2.00		
SEP 2016	24.50		
ATF OFFICER'S SUBTOTAL	32.50	ATF OFFICER'S SIGNATURE	
TOTAL HOURS	32.50		

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	5. REQUESTED BY (SIGNATURE, TITLE AND DATE)		

### 13. REVIEW AND ROUTING

#### REVIEW COMMENTS AND RECOMMENDATION

Seven violations cited. A Warning Letter is recommended to emphasize the importance of regulatory compliance.

Viols WL ONLY and No Recall Inspection

☒ REVIEWED

☒ CONCUR

☒ SEE COMMENTS

☒ FINAL DISPOSITION

#### SIGNATURE AND TITLE

(b)(6) - Industry Operations Investigator

#### REVIEW DATE

09/28/2016

#### 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 Gray, Curtis Wayne Yellow Jacket Arms	Street Address 9919 Lower Troy Road	City Troy	State TX	Zip Code 76579-	County BELL- 027	Page 1 of 7 Pages
License/Permit/Registry Number <i>(If any)</i> 574027078E05377		Expiration Date 5/1/2018		Date(s) or Period of Inspection 09/20/2016 through 09/20/2016		

### 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 correctly maintain a record of disposition date for firearm: Manufacturer (b)(3) Public Law 112-55, 125 STAT 552 The

(b) (3) - Public Law 112-55 (125 Stat. 552), (b) (6)

Citation: 27 CFR 478.123(d)

#### Date Corrections to be Made:

*(If not corrected immediately)*

#### Corrective Action to be Taken:

*(If not corrected immediately)*

Licensee is to correctly record the disposition information in the A&D books. Licensee will review the A&D records for correctness and completeness. Licensee stated he will attempt to contact the purchaser to get a copy of the form updated with the correct information.

## Report of Violations

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Name of Proprietor Gray, Curtis Wayne Yellow Jacket Arms	Street Address 9919 Lower Troy Road	City Troy	State TX	Zip Code 76579-	County BELL- 027	Page 2 of 7 Pages
License/Permit/Registry Number <i>(If any)</i> 574027078E05377		Expiration Date 5/1/2018		Date(s) or Period of Inspection 09/20/2016 through 09/20/2016		

## 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:**

Failure to ensure all of the information called for in each form as indicated by the headings on the form and the instructions on or pertaining to the form were properly completed.

There were a total of (b)(3)(D) ATF Forms 4473 with (b)(3)(D) instances of errors pertaining to item 24 (recertification signature), item 25 (recertification date) and item 30(a) (number firearms transferred) on the form.

(b) (3) - Public Law 112-55 (125 Stat. 552), (b) (6)

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

**Date Corrections to be Made:** 09/23/2016

*(If not corrected immediately)*

**Corrective Action to be Taken:** Licensee is to record all of the information called for in each form as indicated by the headings on the form and the instructions on or pertaining to the form. Licensee made copies and corrected all ATF Forms 4473 with the correct information pertaining to parts B and D.

## Report of Violations

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Name of Proprietor Gray, Curtis Wayne Yellow Jacket Arms	Street Address 9919 Lower Troy Road	City Troy	State TX	Zip Code 76579-	County BELL- 027	Page 3 of 7 Pages
License/Permit/Registry Number <i>(If any)</i> 574027078E05377		Expiration Date 5/1/2018		Date(s) or Period of Inspection 09/20/2016 through 09/20/2016		

## 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 the buyer's race on the ATF Form 4473 prior to the making a firearms transfer to a non-licensee.

There was a total of **(b) (3)** ATF Form 4473 with **(b) (3)** instance of errors pertaining to item 10b (race) on the form.

**(b) (3) - Public Law 112-55 (125 Stat. 552), (b) (6)**

**Citation:** 27 CFR 478.124(c)(1)

**Date Corrections to be Made:** 09/23/2016

*(If not corrected immediately)*

**Corrective Action to be Taken:**

*(If not corrected immediately)*

Licensee is to make sure all the required information called for in each form as indicated by the headings on the form and the instructions on or pertaining to the form are recorded.

## Report of Violations

## Instructions

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Name of Proprietor Gray, Curtis Wayne Yellow Jacket Arms	Street Address 9919 Lower Troy Road	City Troy	State TX	Zip Code 76579-	County BELL- 027	Page 4 of 7 Pages
License/Permit/Registry Number <i>(If any)</i> 574027078E05377		Expiration Date 5/1/2018		Date(s) or Period of Inspection 09/20/2016 through 09/20/2016		

## 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:**

Failure to identify the transferee by examining the identification document (as defined in §478.11) presented, and note on the Form 4473 the type of identification used after the transferee has executed the Form 4473.

There were a total of (b)(3) ATF Forms 4473 with (b)(3) instances of errors pertaining to item 20a (Identification information) on the form.

(b) (3) - Public Law 112-55 (125 Stat. 552), (b) (6)

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

**Date Corrections to be Made:** 09/23/2016

*(If not corrected immediately)*

**Corrective Action to be Taken:**

*(If not corrected immediately)*

Licensee is to record all of the information called for in each form as indicated by the headings on the form and the instructions on or pertaining to the form. Licensee made copies and corrected the ATF Forms 4473 with the correct information.

## 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.

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License/Permit/Registry Number <i>(If any)</i> 574027078E05377		Expiration Date 5/1/2018		Date(s) or Period of Inspection 09/20/2016 through 09/20/2016		

## 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 identify the firearm to be transferred by listing on the Form 4473 the name of the manufacturer, the name of the importer (if any), the type, model, caliber or gauge, and the serial number of the firearm.

There was a total of <sup>(b)(3)</sup> ATF Form 4473 with <sup>(b)(3)</sup> instance of errors pertaining to item 26 (manufacturer/importer), item 27 (model), item 28 (serial number), item 29 (type), and item 30 (caliber) on the form.

**(b) (3) - Public Law 112-55 (125 Stat. 552), (b) (6)**

**Citation:** 27 CFR 478.124(c)(4)

**Date Corrections to be Made:** 09/23/2016

*(If not corrected immediately)*

**Corrective Action to be Taken:**

*(If not corrected immediately)*

Licensee is to identify the firearms to be transferred by listing on the Form 4473 the name of the manufacturer, the name of the importer (if any), the type, model, caliber or gauge, and the serial number of the firearm. Licensee made a copy and corrected the ATF Form 4473 with the correct information.

## 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 Gray, Curtis Wayne Yellow Jacket Arms	Street Address 9919 Lower Troy Road	City Troy	State TX	Zip Code 76579-	County BELL- 027	Page 6 of 7 Pages
License/Permit/Registry Number <i>(If any)</i> 574027078E05377		Expiration Date 5/1/2018		Date(s) or Period of Inspection 09/20/2016 through 09/20/2016		

### 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 correctly date the form if the licensee does not know or have reasonable cause to believe that the transferee is disqualified by law from receiving the firearm and transfer the firearm described on the Form 4473.

There was a total of <sup>(b)(3)</sup> ATF Form 4473 with <sup>(b)(3)</sup> instance of errors pertaining to item 36 (date transferred) on the form.

(b) (3) - Public Law 112-55 (125 Stat. 552), (b) (6)

**Citation:** 27 CFR 478.124(c)(5)

**Date Corrections to be Made:** 09/23/2016

*(If not corrected immediately)*

**Corrective Action to be Taken:**

*(If not corrected immediately)*

Licensee is to correctly date the form if the licensee does not know or have reasonable cause to believe that the transferee is disqualified by law from receiving the firearm and transfer the firearm described on the Form 4473. Licensee made a copy and corrected the ATF Form 4473 with the correct information.

**Number:** 7

**Nature of Violation:**

Failure to retain an ATF Form 4473 for a period of not less than 5 years after the date of a NICS inquiry.

(b) (6) contacted NICS on 7/30/16 and received NTN (b) (6) with a proceed response and contacted NICS on 8/10/2016 and received NTN (b) (6) with a proceed response.

**Citation:** 27 CFR 478.129(b)

**Date Corrections to be Made:**

*(If not corrected immediately)*

**Corrective Action to be Taken:**

*(If not corrected immediately)*

Each ATF Form 4473 shall be retained for a period of not less than 20 years after the date of sale or disposition or for five years after a NICS inquiry. No corrective action to be taken on the missing ATF Forms 4473.



## Report of Violations

### Instructions

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License/Permit/Registry Number (If any) 574027078E05377	Expiration Date 5/1/2018	Date(s) or Period of Inspection 09/01/2016 through 09/01/2016				

### Inspection Results

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

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

Curtis Gray

Owner



Date

27 Sept 16

Signature and Title of ATF Officer

(b)(6)



Date

9-23-16

For Official Use Only

ATF E-Form 5030.5

Revised April 2005



**U.S. Department of Justice**

Bureau of Alcohol, Tobacco,  
Firearms and Explosives

8610 Broadway, Ste. 410  
San Antonio, TX 78217

September 29, 2016

[www.atf.gov](http://www.atf.gov)

782065(b)(6)  
5373

**WARNING LETTER**

**CERTIFIED MAIL- RETURN RECEIPT REQUESTED**

Mr. Curtis Wayne Gray  
Yellow Jacket Arms  
9919 Lower Troy Rd  
Troy, TX 76579  
RE: 5-74-027-07-8E-05377

Dear Mr. Gray:

During a recent inspection at your firearms business covering the period April 10, 2012, through September 20, 2016, you were cited for violations of Title 27, Code of Federal Regulations, Parts 478. A copy of the Report of Violations, ATF F 5030.5, issued at the time of the inspection is enclosed.

All violations were fully explained to you or your designated responsible person by the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) Industry Operations Investigator(s). You or your responsible person indicated that you understood the requirements of the firearms laws and regulations and 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 efforts 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 to ensure that criminals do not gain access to firearms. ATF appreciates the efforts you and other industry members make in this area. 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.

-2-

Mr. Curtis Wayne Gray  
Yellow Jacket Arms  
RE: 5-74-027-07-8E-05377

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

Sincerely,

(b)(6)

Area Supervisor  
San Antonio II Field Office

Enclosure

cc: Federal Firearms Licensing Center  
San Antonio II Field Office  
Houston FD