#### 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.) 785110-2015-0250-B1B						
Bates, H Allen S & S Firearms				3. PERMIT/LICENSE NUMBER						
906 S. Priest Dr. #104 Tempe,AZ 85281, Mari	icopa Coui	nty		5. REQUESTED BY (SIGNATURE, TITLE AND DATE)						
6. ATF OFFICER(S) ASSIGNE (b)(6) - Lead II	======= ED nvestigato	r								
7. ASSIGNED BY (SIGNATURE, TITLE AND DATE)										
		sor, 07/31/201	5							
8. PURPOSE/SPECIAL INST	RUCTIONS	<u> </u>								
					Forms 4473 is required and the FY 2015 IO Operating PI					
9. INSPECTION RESULTS	CHE	CK IF NO VIOL	ATIONS, ADJUSTI	MENTS, ETC	NTS, ETC 10. TRAVEL EXPENSES (OPTIONAL)					
NO. OF VIOLATIONS	2	NO. OF REFER	<u>-</u>		1 2111 - PER DIEM					
NO. OF TECS CHECKS	16	NO. OF TECS	HITS		2112 - P.O.A.					
NO. OF TAX		\$ VALUE OF TA	AX INCREASES		2113 - COMM. AIR					
ADJUSTMENTS		\$ VALUE OF T	AX DECREASES		2114 - RENTAL CAR					
NO. OF ASSESSMENTS		· · · · · · · · · · · · · · · · · · ·	SSESSMENTS		2115 - GPV EXPENSES	<u> </u>				
NO. OF CLAIMS		\$ VALUE OF C			2116 - MISC.					
NO. OF TAX PERIODS		ļ	AXES VERIFIED		TOTAL \$ FOR INSP.					
Submitted on: 08/31/20 Recall inspection recom Viols WL ONLY and	mended a		had repeat viola	ations from the Oct 2	2012 inspection.					
			12. TIME ACC	OUNTING DATA						
ATF OFFICER'S NAME (MO AUG 20		R, HOURS) (6 53.00	)(6)							
ATF OFFICER'S SUBTOTAL		53.00	ATF OFFICER'S	SIGNATURE						
TOTAL HOURS		53.00	53.00							
			13. REVIEW	AND ROUTING						
REVIEW COMMENTS AND F  A/S concurs with reco required at this time.  Viols WL ONLY and F	ommendatio	n of Violations V	VL Only and Reca	ll Inspection. A Warni	ng Letter was issued on 9/01/20	15. No further action is				
<b>⊠</b> RE	VIEWED	🔀 сои	CUR 🔀	SEE COMMENTS	ズ FINAL DISPOSITION					
SIGNATURE AND TITLE (b)(6) - Area Supervisor				REVIEW DATE 09/01/2015						
ROUTING SEQUENCE AND	DATE				7					
☐ 1				- - CONTR - - 198	OL FILE POSTED DATE					

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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 Bates, H Allen S & S Firearms	Street Address 906 S. Priest Dr. #104		City Tempe		State AZ	Zip Code 85281-	County Maricopa County		Page 1 of 1 Pages			
License/Permit/Registry Number (If any) 986013017F04678		Expiration Date 6/1/2017		Date(s) or Period of Inspection 08/19/2014 through 08/19/2015								
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 required acquisition and disposition (A&D) Record on firearms in the A&D Record.  Citation: 27 CFR 478.125(e)  Number: 2  Nature of Violation: Failure to timely or correctly report the sale of two combination thereof, on the same day or within form.  Citation: 27 CFR 478.126a	(If not corre Corrective A (If not corre  Of Date Correc (If not corre Corrective A	Date Corrections to be Made: (If not corrected immediately) Corrective Action to be Taken: (If not corrected immediately)  Date Corrections to be Made: (If not corrected immediately) Corrective Action to be Taken: (If not corrected immediately)			disposition information is entered into the A&D record timely and accurately to include entering firearms disposed of within seven days. There were no missing firearms.							
I Have Received a Copy of This Report of Violations	(Proprietor's signatu	ure and title)						Date				
Signature and Title of ATF Officer								Date				
August 9 2019 Document Pr	oduction		199									



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Bureau of Alcohol, Tobacco, Firearms and Explosives

Phoenix Field Division

September 1, 2015

www.atf.gov

785110:<mark>(b) (6)</mark> 5300

Mr. H. Allen Bates S&S Firearms 906 S. Priest Dr. Ste. #104 Tempe, AZ 85281

Re:

FFL# 9-86-013-01-7F-04678

Mr. Bates:

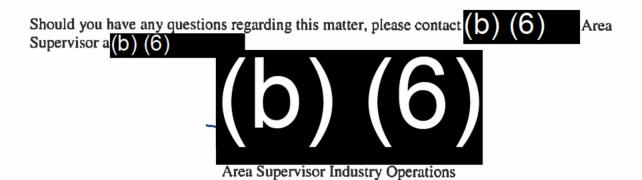
During a recent inspection at your firearms business covering the period from August 19, 2014 to August 19, 2015 you were cited for violations of Title 27, Code of Federal Regulations, Part 478. A copy of the Report of Violations, ATF F 5030.5, issued at the time of the inspection is enclosed.

All violations were fully explained to you by the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) Industry Operations Investigator. You or your responsible person indicated that you understood the requirements of the firearms laws and regulations and 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.

Mr. H. Allen Bates S&S Firearms



cc: Federal Firearms Licensing Center Phoenix VI Field Office