

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) Bates, H Allen S & S Firearms 906 S. Priest Dr. #104 Tempe, AZ 85281, Maricopa County	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 785110-2015-0250-B1B		
	3. PERMIT/LICENSE NUMBER 986013017F04678	4a. TARGET DATE 9/30/2015	4b. TARGET HOURS 40
	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, 07/31/2015

8. PURPOSE/SPECIAL INSTRUCTIONS
SWB: Conduct a SWB DE compliance inspection. 12 months records review of ATF Forms 4473 is required and 100% inventory reconciliation. Address all applicable inspection procedures/guidelines identified by the FY 2015 IO Operating Plan.

9. INSPECTION RESULTS		<input type="checkbox"/> CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC		10. TRAVEL EXPENSES (OPTIONAL)	
NO. OF VIOLATIONS	2	NO. OF REFERRALS	1	2111 - PER DIEM	
NO. OF TECS CHECKS	16	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: 08/31/2015
Recall inspection recommended as the licensee had repeat violations from the Oct 2012 inspection.

Viols WL ONLY and Recall Inspection

12. TIME ACCOUNTING DATA			
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)		(b)(6)	
AUG 2015		53.00	
ATF OFFICER'S SUBTOTAL	53.00	ATF OFFICER'S SIGNATURE	
TOTAL HOURS	53.00		

13. REVIEW AND ROUTING

REVIEW COMMENTS AND RECOMMENDATION
A/S concurs with recommendation of Violations WL Only and Recall Inspection. A Warning Letter was issued on 9/01/2015. No further action is required at this time.

Viols WL ONLY and Recall Inspection

☒ REVIEWED ☒ CONCUR ☒ SEE COMMENTS ☒ FINAL DISPOSITION

SIGNATURE AND TITLE (b)(6) - Area Supervisor	REVIEW DATE 09/01/2015
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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 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
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License/Permit/Registry Number <i>(If any)</i> 986013017F04678	Expiration Date 6/1/2017	Date(s) or Period of Inspection 08/19/2014 through 08/19/2015
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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:

Number: 1

Nature of Violation:
Failure to record required acquisition and disposition information in an Acquisition and Disposition (A&D) Record on 013011 instances. Specifically, failure to record 013011 dispositions of firearms in the A&D Record.

Citation: 27 CFR 478.125(e)

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

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

The licensee will ensure that all required acquisition and 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.

Number: 2

Nature of Violation:
Failure to timely or correctly report the sale of two or more pistols, or revolvers, or a combination thereof, on the same day or within five consecutive business days in 013011 instance.

Citation: 27 CFR 478.126a

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

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

The licensee will ensure that the ATF F 3310.4 is completed by close of business when two or more handguns are transferred to a non-licensee within 5 consecutive business days.

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

Date

Signature and Title of ATF Officer

Date

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For Official Use Only

ATF E-Form 5030 5
Revised April 2005



U.S. Department of Justice

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

Phoenix Field Division

September 1, 2015

www.atf.gov

785110: (b) (6)
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

Should you have any questions regarding this matter, please contact (b) (6) Area
Supervisor at (b) (6)

(b) (6)

Area Supervisor Industry Operations

cc: Federal Firearms Licensing Center
Phoenix VI Field Office