

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) California Financial Services Inc. The Pawn Shop 1612 Oakdale Road Modesto, CA 95355, Stanislaus	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 786040-2016-0103-B1B <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%;">3. PERMIT/LICENSE NUMBER 977099028L00702</td> <td style="width: 33%;">4a. TARGET DATE 12/31/2016</td> <td style="width: 33%;">4b. TARGET HOURS</td> </tr> </table>	3. PERMIT/LICENSE NUMBER 977099028L00702	4a. TARGET DATE 12/31/2016	4b. TARGET HOURS
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5. REQUESTED BY (SIGNATURE, TITLE AND DATE)				

6. ATF OFFICER(S) ASSIGNED
 (b)(6) - Assigned Investigator
 (b)(6) - Lead Investigator

7. ASSIGNED BY (SIGNATURE, TITLE AND DATE)
 (b)(6), Area Supervisor, 02/03/2016

8. PURPOSE/SPECIAL INSTRUCTIONS
 Recall full compliance inspection.

9. INSPECTION RESULTS		<input type="checkbox"/> CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC	10. TRAVEL EXPENSES (OPTIONAL)	
NO. OF VIOLATIONS	6	NO. OF REFERRALS		2111 - PER DIEM
NO. OF TECS CHECKS	23	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: 07/08/2016

 Viols WC with WL and Recall

12. TIME ACCOUNTING DATA		
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)	
MAR 2016	32.00	
APR 2016	8.00	
ATF OFFICER'S SUBTOTAL	40.00	ATF OFFICER'S SIGNATURE
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)	
MAR 2016	47.00	
APR 2016	18.00	
MAY 2016	83.50	
JUN 2016	40.75	
JUL 2016	8.00	
ATF OFFICER'S SUBTOTAL	197.25	ATF OFFICER'S SIGNATURE
TOTAL HOURS	237.25	

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13. REVIEW AND ROUTING

REVIEW COMMENTS AND RECOMMENDATION

AS (b)(6) recommends alternate Warning letter Only and no recall.
None of the violations are repeated from the last inspection.

The license as improved from the last inspections and there are no missing firearms. The licensee also has had a large turn over in employees.

Viols WL ONLY and No Recall Inspection

REVIEWED CONCUR SEE COMMENTS FINAL DISPOSITION

SIGNATURE AND TITLE (b)(6) - Area Supervisor	REVIEW DATE 07/11/2016
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REVIEW COMMENTS AND RECOMMENDATION

Viols WL ONLY and No Recall Inspection

REVIEWED CONCUR SEE COMMENTS FINAL DISPOSITION

SIGNATURE AND TITLE RMROOT - Director, Industry Operations	REVIEW DATE 07/13/2016
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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 California Financial Services Incorporated The Pawn Shop	Street Address 1612 Oakdale Road	City Modesto	State CA	Zip Code 95355-	County Stanislaus	Page 1 of 4 Pages
License/Permit/Registry Number <i>(If any)</i> 977099028L00702		Expiration Date 11/1/2018	Date(s) or Period of Inspection 12/29/2014 through 03/28/2016			

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:

Licensee failed to properly complete ATF Forms 4473. [REDACTED] ATF Forms 4473 out of 580 reviewed were not completed correctly consisting of the following: Item 10a [REDACTED] blank responses; item 11a – [REDACTED] incorrect response; item 24 [REDACTED] blank response; and item 25 – one blank response.

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

The licensee will ensure in the future that all ATF Forms 4473 are properly and accurately completed prior to transferring firearms, which includes ensuring the customer answers all questions truthfully and accurately, and ensuring the customer signs and dates ATF Form 4473 prior to transferring the firearm(s). This violation is incorrectable. However, involving the [REDACTED] instances, the licensee was educated in the accurate completion of ATF Form 4473.

Citation: 27 CFR 478.21(a)

Number: 2

Nature of Violation:

During the review of 580 ATF Forms 4473, [REDACTED] form was incorrectly completed, which consisted of the following: Item 11k (illegal alien question)—customer answered “Yes”, but then recorded his permanent resident card number in item 15.

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

The licensee will ensure in the future that all ATF Forms 4473 are properly and accurately completed prior to transferring firearms, which includes ensuring the customer answers all questions truthfully and accurately. This violation is incorrectable. However, involving the [REDACTED] instance, the licensee was educated in the accurate completion of ATF Form 4473.

Citation: 27 CFR 478.99(c)

Report of Violations

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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: 3

Nature of Violation:

During the review of 580 ATF Forms 4473, (b)(3) forms were incorrectly completed, which consisted of the following: item 1 (b)(3), (b)(3), (b)(3), (b)(3), (b)(3), (b)(3) incorrect responses; item 2 (b)(3), (b)(3) incorrect response; item 3 (b)(3), (b)(3) blank response; item 111 (b)(3), (b)(3) blank responses and (b)(3), (b)(3) incorrect responses; item 1 (b)(3), (b)(3) blank responses; item 14 (b)(3), (b)(3) blank responses; item 16 (b)(3), (b)(3) blank responses and (b)(3), (b)(3) incorrect response; and item 17 (b)(3) blank response.

Citation: 27 CFR 478.124(c)(1)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

Licensee will ensure in the future that all ATF Forms 4473 are properly and accurately completed. This includes obtaining completion of items 1, 2, 3, 111, 14, 16, and 17. This violation is incorrectable. However, involving the error in items 1, 2, 3, 111, 14, 16, and 17, the licensee was educated in the accurate completion of ATF Form 4473.

Number: 4

Nature of Violation:

During the review of 580 ATF Forms 4473, the licensee failed to obtain an additional government issued ID document to verify the transferee's residence address. In (b)(3) instance, the licensee failed to obtain a correct government issued ID document to verify the customer's residence address in 20b.

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

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

The licensee will ensure in the future that all ATF Forms 4473 are completed accurately and correctly, which includes verifying the transferee's residence address using a government issued ID document. This violation is incorrectable. However, involving the (b)(3) instance, the licensee was educated in the accurate completion of ATF Form 4473, which included utilizing a compliant government issued ID document.

Report of Violations

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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: 5

Nature of Violation:

A review of the Acquisition and Disposition (A&D) Record, and after reconciliation, disclosed (b)(3) firearms that were not disposed of in the computerized (A&D) Record, or were duplicate entries. The review also disclosed that (b)(3) firearms are missing. Also, there was (b)(3) firearm that the acquisition information was not correct (incorrect type)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

Licensee will ensure in the future that all future firearms transactions are properly and timely recorded into the computerized Acquisition and Disposition Record. The Acquisition and Disposition Record was corrected regarding the (b)(3) firearms discrepancies. IOI (b)(6) verified the corrections on May 24, 2016, by visually examining the Acquisition and Disposition Record. Also, an ATF Form 3300.11 (Federal Firearms Licensee Firearms Inventory Theft/Loss Report) was completed and forwarded to ATF Tracing Center.

Citation: 27 CFR 478.125(e)

Report of Violations

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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: 6

Nature of Violation:

The licensee failed to prepare and submit ATF F3310.4, Report of Multiple Sale or Other Disposition of Pistols and Revolvers, for [REDACTED] transaction involving a total of [REDACTED] firearms during the inspection period (12/29/14 – 3/28/16). The licensee is required to submit this form when two or more handguns are transferred to the same individual at one time or within five consecutive business days. The licensee is required to submit this form not later than the close of business on the day that the multiple sale or other disposition occurs.

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 prepared ATF Form 3310.4 for the [REDACTED] transaction and forwarded it to the ATF Tracing Center. The licensee will ensure proper and timely completion and submission of ATF Form 3310.4 for all multiple handgun transactions.

I Have Received a Copy of This Report of Violations <i>(Proprietor's signature and title)</i>	Date
Signature and Title of ATF Officer	Date



U.S. Department of Justice

Bureau of Alcohol, Tobacco,
Firearms and Explosives

1325 J Street Suite 1530
Sacramento, CA 95814

July 14, 2016

www.atf.gov

786040: (b) (6)
5373

WARNING LETTER

CERTIFIED MAIL - RETURN RECEIPT REQUESTED

California Financial Services, Inc.
The Pawn Shop
1612 Oakdale Road
Modesto, CA 95355
REF: FFL # 9-77-099-02-8L-00702

Dear Mr. Samuel Newnam:

During a recent compliance inspection at your firearms business covering the period March 28, 2015 through March 27, 2016, you were 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 or your designated responsible person by the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) Industry Operations Investigator (b)(6). You 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 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.

California Financial Services, Inc.
FFL # 9-77-099-02-8L-00702

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 Mr. (b)(6), Area Supervisor, at (b)(6).

Sincerely yours,

A black rectangular redaction box containing the white text "(b)(6)" in a large, bold, sans-serif font.

Area Supervisor
Sacramento II Area Office

cc: Federal Firearms Licensing Center
Sacramento II Area Office File