

Assignment and Report

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY) II DICE PAWN SHOP INC 1402 GILLAM WAY FAIRBANKS, AK 99701, FAIRBANKS NORTH STAR	2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 787050-2015-0416-B1B			
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%;">3. PERMIT/LICENSE NUMBER 992090026G35404</td> <td style="width: 33%;">4a. TARGET DATE 11/6/2015</td> <td style="width: 33%;">4b. TARGET HOURS</td> </tr> </table>	3. PERMIT/LICENSE NUMBER 992090026G35404	4a. TARGET DATE 11/6/2015	4b. TARGET HOURS
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	5. REQUESTED BY (SIGNATURE, TITLE AND DATE) (b)(6), Special Agent			

6. ATF OFFICER(S) ASSIGNED

- (b)(6) - Assigned Investigator
- (b)(6) - Assigned Investigator
- (b)(6) - Lead Investigator
- (b)(6) - Assigned Investigator
- (b)(6) - Assigned Investigator

7. ASSIGNED BY (SIGNATURE, TITLE AND DATE)
 (b)(6), Area Supervisor, 09/10/2015

8. PURPOSE/SPECIAL INSTRUCTIONS
 Missing 13 guns. Store manager should be listed as an RP. Alaska RAC notified.

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	24	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: 01/19/2016
 Violations discussed with RP and new store manager. Recommend warning letter with no recall inspection.

Viols WL ONLY and No Recall Inspection

12. TIME ACCOUNTING DATA		
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)	
OCT 2015	35.00	
ATF OFFICER'S SUBTOTAL	35.00	ATF OFFICER'S SIGNATURE
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)	
OCT 2015	27.00	
ATF OFFICER'S SUBTOTAL	27.00	ATF OFFICER'S SIGNATURE
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)	
SEP 2015	18.00	
OCT 2015	78.00	
NOV 2015	9.00	
DEC 2015	13.00	
ATF OFFICER'S SUBTOTAL	118.00	ATF OFFICER'S SIGNATURE
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	(b)(6)	
SEP 2015	2.00	

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12. TIME ACCOUNTING DATA

ATF OFFICER'S NAME (MONTH, YEAR, HOURS)	Melanie SHEA
OCT 2015	27.00
ATF OFFICER'S SUBTOTAL	29.00
ATF OFFICER'S SIGNATURE	
TOTAL HOURS	209.00

13. REVIEW AND ROUTING

REVIEW COMMENTS AND RECOMMENDATION
Viols WL ONLY and No Recall Inspection

REVIEWED CONCUR SEE COMMENTS FINAL DISPOSITION

SIGNATURE AND TITLE (b)(6) - Area Supervisor	REVIEW DATE 01/13/2016
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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 II DICE PAWN SHOP INC	Street Address 1402 GILLAM WAY	City FAIRBANKS	State AK	Zip Code 99701-	County FAIRBANKS NORTH S	Page 1 of 4 Pages
License/Permit/Registry Number <i>(If any)</i> 992090026G35404	Expiration Date 7/1/2016	Date(s) or Period of Inspection 10/05/2014 through 10/08/2015				

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:

The licensee failed to ensure that all of the required information in section B and D was included and accurate on ATF F 4473. Information missing included firearm description, serial numbers, transferee certification signatures and dates.

Citation: 27 CFR 478.21(a)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

Licensee will become more involved in the day to day operation of the firearms portion of the business to ensure that all of the information required on ATF F 4473 is completed prior to disposing of the firearm(s) for which the form was generated.

Number: 2

Nature of Violation:

The licensee failed to ensure that all of the information required on ATF F 4473 was completed and accurate prior to disposing of firearm(s). Information missing included the county, incorrect answers to questions 11 b and g.

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 be more involved in the day to day operation of the firearms portion of the business to ensure that all of the information required on ATF F 4473 is completed and is accurate prior to disposing of the firearm(s) for which the form was generated.

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License/Permit/Registry Number <i>(If any)</i> 992090026G35404		Expiration Date 7/1/2016	Date(s) or Period of Inspection 10/05/2014 through 10/08/2015			

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:

There were [redacted] ATF F 4473 upon which the identification information was not properly recorded or identification used was not allowed by regulation.

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

Licensee will be more involved in the day to day operation of the firearms portion of the business to ensure that all of the information required on ATF F 4473 is completed prior to disposing of the firearm(s) for which the form was generated.

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

Number: 4

Nature of Violation:

Licensee failed to ensure that all of the required information was recorded on [redacted] ATF F 4473 in question 21, which pertains to NICS checks performed and the responses provided.

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

Licensee will be more involved in the day to day operation of the firearms portion of the business to ensure that all of the information required on ATF F 4473 is completed prior to disposing of the firearm(s) for which the form was generated.

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

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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:

Licensee failed to identify the firearm to be transferred, on [REDACTED] forms.

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

Licensee will be more involved in the day to day operation of the firearms portion of the business to ensure that all of the information required on ATF F 4473 is completed prior to disposing of the firearm(s) for which the form was generated.

Citation: 27 CFR 478.124(c)(4)

Number: 6

Nature of Violation:

On [REDACTED] occasions the licensee failed to submit report of multiple sale or disposition of a pistol or revolver following the disposition of one or more handguns to the same person within five business days.

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

Licensee will be more involved in the day to day operation of the firearms portion of the business to ensure that all of the information required on ATF F 4473s completed prior to disposing of the firearm(s) for which the form was generated.

Citation: 27 CFR 478.126a

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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: 7

Nature of Violation:

Licensee failed to record the disposition of [REDACTED] firearms in the acquisition and disposition record. Licensee also had one firearm listed as disposed, which was on premises.

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken:

(If not corrected immediately)

Licensee will be more involved in the day to day operation of the firearms portion of the business to ensure that all of the information required in the acquisition and disposition record is accurate and entered timely.

Citation: 27 CFR 478.125(e)

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

915 2nd Avenue, Seattle, WA 98174

www.atf.gov

January 20, 2016

787050;(b)(6)
5373

II Dice Pawn Shop, Inc.
1402 Gillam Way
Fairbanks, AK 99701

Attn: Stella Carpenter, President

Dear Ms. Carpenter,

During a recent compliance inspection at your firearms business covering the period of October 2014 to October 2015, you were cited for violations of 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.

The violations were fully explained to you and your store manager, (b)(6) by the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) investigator. You indicated that you understood the requirements of the firearms laws and regulations. You further indicated 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 effort 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.

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.

II Dice Pawn Shop, Inc.

-2-

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

Sincerely yours,

(b)(6)
Area Supervisor

Enclosure

cc: National Licensing Center
Seattle II (I/O) Field Office