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# Bureau of Alcohol, Tobacco, Firearms and Explosives

## Federal Firearms Licensee Seminar

South Bend Police Department  
South Bend, IN  
March 30, 2023



U.S. Department of Justice  
Bureau of Alcohol, Tobacco, Firearms and Explosives

# Opening Remarks

**United States Attorney's Office  
Northern District of Indiana**

First Assistant United States Attorney **(b)(6)/(b)(7)(C)**

**Chicago Field Division**

Special Agent in Charge Chris Amon

# Introductions

## ATF Industry Operations

Director of Industry Operations – Kyle Lallensack

Area Supervisor – (b)(6)/(b)(7)(C)

Industry Operations Investigators – (b)(6)/(b)(7)(C)

(b)(6)/(b)(7)(C)

## ATF Criminal Enforcement

Assistant Special Agent in Charge – Will Panoke

Special Agent – (b)(6)/(b)(7)(C)

# Introductions

## ATF HQ

NFA Division Industry Liaison – (b)(6)/(b)(7)(C)

## FBI NICS

ATF/FFL Liaison Specialist – (b)(6)/(b)(7)(C)

## Indiana State Police

(b)(6)/(b)(7)(C)

Kyle Lallensack  
Director of Industry Operations  
Chicago Field Division

## ATF's Mission

Protect our communities from violent criminals, criminal organizations, the illegal use and trafficking of firearms, the illegal use and storage of explosives, acts of arson and bombings, acts of terrorism, and the illegal diversion of alcohol and tobacco products. We **partner** with communities, **industries**, law enforcement, and public safety agencies to safeguard the public we serve through information sharing, training, research, and use of technology.

# Violations That Impact Public Safety

# Violations that Impact Public Safety

- (a) Transfer of a firearm to a prohibited person while knowing or having reasonable cause to believe that the transferee is a prohibited person.
  
- (b) Failure to conduct a NICS check or fail to retrieve a NICS response prior to the transfer of a firearm. This includes:
  - (1) Return of consignment firearms,
  - (2) Pawn redemption of firearms,
  - (3) Acceptance of an invalid alternate permit or nonqualifying alternative permit in lieu of NICS,
  - (4) Transfer of a firearm after an initial NICS check 30-day expiration, without conducting a new NICS check,
  - (5) Transfer of a firearm prior to receiving a final NICS response or applicable State POC background response where three days have not elapsed since the FFL contacted the system,

## Violations that Impact Public Safety (Cont'd)

- (c) Failure to respond to a firearm trace request within 24 hours after receipt of the request.
- (d) Falsification of records required under the GCA or making a false or fictitious written statement in the FFL's required records or in applying for a firearms license. Withholding or misrepresenting material information in applying for a license.
- (e) Refuse ATF right of entry and inspection during hours of operation at the licensed premises.

## Violations that Impact Public Safety (Cont'd)

- (f) Allow an employee who is a prohibited person to have actual or constructive possession of a firearm while knowing or having reasonable cause to believe that the employee is a prohibited person.
- (g) The FFL transfers a firearm knowing or having reasonable cause to believe that the transferee of record is not the actual buyer (i.e. a straw purchase).
- (h) Failure by the FFL to create a required record, or discontinued use of required records.
- (i) Failure to execute an ATF Form 4473.
- (j) Failure to account for firearms in required records (missing firearms).

## Violations that Impact Public Safety (Cont'd)

- (k) Possession of a firearm with an obliterated serial number.
- (l) Transfer of a firearm to an underage person.
- (m) Failure to obtain appropriate identification documents prior to transfer of a firearm.
- (n) Failure to record complete and accurate acquisition and disposition information.
- (o) Failure to report the sale of multiple handguns, if required.
- (p) Failure to report lost or stolen firearms.

**(b)(6)/(b)(7)(C)**

Industry Operations Investigator  
Merrillville Field Office  
Chicago Field Division

# Overview of ATF Industry Operations

- Conduct in person qualifications for all new Firearm and Explosive licensees
- Inspect every Explosives licensee and permittee at least once every three years (mandated by Congress)
- Conduct compliance inspections of Federal Firearm Licensees
- Partner with Federal, State, local Law Enforcement and Public Safety Agencies
- Work directly with the Industry and local communities to enhance public safety and reduce violent crime

# Inspection Process

- Introduction and Opening Interview
- Firearms Inventory Verification/Reconciliation
- Required Records Examination
  - A&D Record, 4473s, theft/loss, multiple sale forms
- Closing Conference
  - Review of any violation discovered

## What You Can Do

- Have a second person review the Form 4473 prior to the actual transfer to ensure correctness and completeness
- Verify multiple sales are being reported
- Report thefts/losses as required and ensure entries are properly recorded in A&D
- Respond to trace requests timely
- **Ensure employees are well informed and trained**
- **When you are not sure, REACH OUT**

# Firearm Inventories

When conducting a firearms inventory:

- Verify every firearm, by serial number, to the acquisition and disposition record.
- Open every box and verify the serial number on the firearm.

For additional guidance, see ATF Publication 5380.2, How to Conduct a Firearms Inventory



# ATF Form 4473

# Firearms Transaction Record

# ATF FORM 4473

- Purpose of the ATF Form 4473 is to help you determine if a person may lawfully purchase and possess firearms.

**\*\*** If a purchaser is unable to read and/or write the answers (other than signature) may be completed by another person, excluding the seller **AND** two (2) persons (other than the seller) must sign as witnesses to purchaser's answers and signature. **\*\***

## ATF Form 4473 - IMPORTANCE

- An ATF Form 4473 may later be used during an investigation as **evidence of a crime** and is an important part of the tracing process.
- An ATF Form 4473 completed properly documents an FFL followed necessary steps required to lawfully transfer a firearm.
- ATF Form 4473 is admissible as evidence in court as a business record that has been maintained in the regular course of an FFL's operations.
- To be admissible in court under the business record exception, an FFL may be asked to testify concerning the particular transaction.

# ATF Form 4473 – December 2022

U.S. Department of Justice  
Bureau of Alcohol, Tobacco, Firearms and Explosives

OMB No. 1140-0020

## Firearms Transaction Record

**WARNING:** The information you provide will be used to determine whether you are prohibited by Federal or State Law from receiving a firearm, or whether Federal or State Law prohibits the sale or disposition of a firearm to you. Certain violations of the Gun Control Act, 18 U.S.C. § 921 et. seq., are punishable by up to 15 years imprisonment and/or up to a \$250,000 fine. Any person who exports a firearm without a proper authorization from either the Department of Commerce or the Department of State, as applicable, is subject to a fine of not more than \$1,000,000 and up to 20 years imprisonment.

Read the **Notice, Instructions, and Definitions** on this form. Prepare in original only on the licensed premises (including business temporarily conducted from a qualifying gun show or event in the same State in which the premises is located) unless the transaction qualifies under 18 U.S.C. § 922(c). **All entries must be handwritten in ink, unless completed under ATF Rule 2016-2. PLEASE PRINT.**

Transferor's/Seller's  
Transaction  
Number (if any)

**Section A - Must Be Completed By Transferor/Seller Before Transferee/Buyer Completes Section B**

1.	2.	3.	4.	5.
Manufacturer and Importer (if any), or Privately Made Firearm (PMF) (If the Manufacturer and Importer are different, include both.)	Model (if designated)	Serial Number	Type	Caliber or Gauge
1.				
2.				
3.				

6. Total Number of Firearms to be Transferred (Please spell total number e.g., one, two, etc. Do not use numerals.)

7. Check if any part of this transaction is a pawn redemption.   
Record Line Number(s) From Question 1:

8. Check if any part of this transaction is to facilitate a private party transfer.

**Section B - Must Be Completed Personally By Transferee/Buyer**

9. Transferee's/Buyer's Full Name (If legal name contains an initial only, record the initial followed by "O" in quotes. If no middle initial or name, record "NONE")  
Last Name (including suffix, e.g., Jr, Sr, III, etc.) First Name Middle Name

10. Current State of Residence and Address (U.S. postal abbreviations are acceptable. Cannot be a post office box.)  
Number and Street Address City Reside in City Limits?  Yes  No  Unknown State ZIP Code County/Parish/Borough

11. Place of Birth  
U.S. City and State -OR- Foreign Country

12. Height Ft. In.

13. Weight (lbs.)

14. Sex  Male  Female  Non-Binary

15. Birth Date Month Day Year

16. Social Security Number (optional, but will help prevent misidentification)

17. Unique Personal Identification Number (UPIN) or Appeals Management Database Identification (AMDI) (if applicable)

18. a. Ethnicity  Hispanic or Latino  Not Hispanic or Latino  
b. Race (Select one or more race in 18.b. Both 18.a. and 18.b. must be answered.)  
 American Indian or Alaska Native  Black or African American  White  
 Asian  Native Hawaiian or Other Pacific Islander

19. Country of Citizenship. (Check/List more than one, if applicable. Nationals of the United States may check U.S.A.)  
 United States of America (U.S.A.)  Other Country/Countries (Specify):

20. If you are an alien, record your U.S.-issued alien or admission number (AR#, USCIS#, or I94#).

21. Answer the following questions by checking or marking either the "yes" or "no" box to the right of the questions:

	Yes	No
a. Are you the actual transferee/buyer of all of the firearm(s) listed on this form and any continuation sheet(s) (ATF Form 5306-PA)? <b>Warning:</b> You are not the actual transferee/buyer if you are acquiring any of the firearm(s) on behalf of another person. If you are not the actual transferee/buyer, the licensee cannot transfer any of the firearm(s) to you. Exception: If you are only picking up a repaired firearm(s) for another person, you are not required to answer 21.a. and may proceed to question 21.b.	<input type="checkbox"/>	<input type="checkbox"/>
b. Do you intend to purchase or acquire any firearms listed on this form and any continuation sheet(s), or ammunition, for sale or other disposition to any person described in questions 21(a)-(m), or to a person described in question 21.m.1 who does not fall within a nonimmigrant alien exception?	<input type="checkbox"/>	<input type="checkbox"/>
c. Do you intend to sell or otherwise dispose of any firearms listed on this form and any continuation sheet(s) or ammunition in furtherance of any felony or other offense punishable by imprisonment for a term of more than one year, a Federal crime of terrorism, or a drug trafficking offense?	<input type="checkbox"/>	<input type="checkbox"/>
d. Are you under indictment or information in any court for a felony, or any other crime for which the judge could imprison you for more than one year, or are you a current member of the military who has been charged with violation(s) of the Uniform Code of Military Justice and whose charge(s) have been referred to a general court-martial?	<input type="checkbox"/>	<input type="checkbox"/>
e. Have you ever been convicted in any court, including a military court, of a felony, or any other crime for which the judge could have imprisoned you for more than one year, even if you received a shorter sentence including probation?	<input type="checkbox"/>	<input type="checkbox"/>

Previous Editions Are Obsolete

STAPLE IF PAGES BECOME SEPARATED

ATF Form 4473 (12/2022)  
Revised December 2022

# ATF Form 4473 – December 2022

	Yes	No
1. Are you a fugitive from justice?	<input type="checkbox"/>	<input type="checkbox"/>
2. Are you an unlawful user of, or addicted to, marijuana or any depressant, stimulant, narcotic drug, or any other controlled substance? <b>Warning:</b> The use or possession of marijuana remains unlawful under Federal law regardless of whether it has been legalized or decriminalized for medicinal or recreational purposes in the state where you reside.	<input type="checkbox"/>	<input type="checkbox"/>
3. Have you ever been adjudicated as a mental defective OR have you ever been committed to a mental institution?	<input type="checkbox"/>	<input type="checkbox"/>
4. Have you ever been discharged from the Armed Forces under dishonorable conditions?	<input type="checkbox"/>	<input type="checkbox"/>
5. Are you subject to a court order, including a Military Protection Order issued by a military judge or magistrate, restraining you from harassing, stalking, or threatening your child or an intimate partner or child of such partner?	<input type="checkbox"/>	<input type="checkbox"/>
6. Have you ever been convicted in any court of a misdemeanor crime of domestic violence, or are you or have you ever been a member of the military and been convicted of a crime that included, as an element, the use of force against a person as identified in the instructions?	<input type="checkbox"/>	<input type="checkbox"/>
7. Have you ever renounced your United States citizenship?	<input type="checkbox"/>	<input type="checkbox"/>
8. Are you an alien illegally or unlawfully in the United States?	<input type="checkbox"/>	<input type="checkbox"/>
21.a.1. Are you an alien who has been admitted to the United States under a nonimmigrant visa?	<input type="checkbox"/>	<input type="checkbox"/>
21.a.2. If you are such an alien do you fall within any of the exceptions stated in the instructions? (U.S. citizens/nationals leave 21.a.1 and 21.a.2 blank)	<input type="checkbox"/>	<input type="checkbox"/>

I certify that my answers in Section B are true, correct, and complete. I have read and understand the Notices, Instructions, and Definitions on ATF Form 4473. I understand that answering "yes" to question 21.a. if I am not the actual transferee/buyer is a crime punishable as a felony under Federal law, and may also violate State and/or local law. I understand that a person who answers "yes" to any of the questions 21.b. through 21.m. is prohibited from receiving or possessing a firearm. I understand that a person who answers "yes" to question 21.a.1. is prohibited from receiving or possessing a firearm, unless the person answers "yes" to question 21.a.2. and provides the documentation required in 26.d. I also understand that making any false oral or written statement, or exhibiting any false or misrepresented identification with respect to this transaction, is a crime punishable as a felony under Federal law, and may also violate State and/or local law. I further understand that the repetitive purchase of firearms for the purpose of resale to predominantly earn a profit without a Federal firearms license is a violation of Federal law.

22. Transferee's/Buyer's Signature \_\_\_\_\_

23. Certification Date  
Month: \_\_\_\_\_ Day: \_\_\_\_\_ Year: \_\_\_\_\_

**Section C - Must Be Completed By Transferee/Seller Prior To The Transfer Of The Firearm(s)**

24. Category of firearm(s) to be transferred (check or mark all that apply):  
 Handgun  Long Gun (rifle or shotgun)  Other Firearm (frame, receiver, etc.)

25. If sale or transfer is at a qualifying gun show or event:  
 Name of Function: \_\_\_\_\_ County: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 City, State, ZIP Code: \_\_\_\_\_

26.a. Identification (e.g., Virginia driver's license (VA DL) or other valid government-issued photo identification including military ID.)  
 Issuing Authority and Type of Identification: \_\_\_\_\_ Number on Identification: \_\_\_\_\_ Expiration Date of Identification (if any):  
 Month: \_\_\_\_\_ Day: \_\_\_\_\_ Year: \_\_\_\_\_

26.b. Supplemental Government Issued Documentation (if identification document does not show current residence address or legal name)

26.c. Official Military Orders Establishing Permanent Change of Station (PCS):  
 PCS Base, City and State: \_\_\_\_\_ PCS Effective Date: \_\_\_\_\_ PCS Order Number (if any): \_\_\_\_\_

26.d. Exception to the Nonimmigrant Alien Prohibition: If the transferee/buyer answered "yes" to 21.a.2. record the type of documentation showing the exception to the prohibition and attach a copy to this ATF Form 4473.

**Notice:** If transferee/buyer is under 21, a waiting period of up to 10 days may apply where notification from NICS is received within 3 business days to further investigate a possible disqualifying juvenile record. A NICS check is only valid for 30 calendar days from the date recorded in question 27.a.

27.a. Date the transferee's/buyer's identifying information in Section B was transmitted to NICS or the appropriate State agency: Month: \_\_\_\_\_ Day: \_\_\_\_\_ Year: \_\_\_\_\_

27.b. The NICS or State transaction number (if provided) was: \_\_\_\_\_

27.c. The response initially provided by NICS or the appropriate State agency was:  
 Proceed  Denied  Cancelled  
 Delayed  
 The firearm(s) may be transferred on \_\_\_\_\_ if time period is not extended by NICS or the appropriate State agency, and State law allows (optional).

# ATF Form 4473 – December 2022

27.d. Prior to transfer the following response(s) was/were later provided by NICS or the appropriate State agency:

Proceed \_\_\_\_\_ (date)       Denied \_\_\_\_\_ (date)       Cancelled \_\_\_\_\_ (date)

Overturned \_\_\_\_\_ (date)       No response was provided within 3 business days.

Notice of additional delay of transferee under 21 years of age received on \_\_\_\_\_ (date), and may be transferred on \_\_\_\_\_ (date).

No response was provided within 10 business days after additional delay for transferee/buyer under 21 years of age.

27.e. After the firearm was transferred, the following response was provided by NICS or the appropriate State agency (if applicable) on \_\_\_\_\_ (date):

Proceed       Denied       Cancelled

28.  No NICS check is required because a background check was completed during the NEA approval process on the individual who will receive the NFA firearm(s), as reflected on the approved NEA application.

29.  No NICS check is required because the transferee/buyer has a valid permit from the State where the transfer is to take place, which qualifies as an exemption to NICS.

Issuing State and Permit Type	Date of Issuance (if any)	Expiration Date (if any)	Permit Number (if any)
Section D - Must Be Completed Personally By Transferee/Buyer			

**Section D - Must Be Completed Personally By Transferee/Buyer**

If the transfer of the firearm(s) takes place on a different day from the date that the transferee/buyer signed Section B, the transferee/buyer must complete Section D immediately prior to the transfer of the firearm(s).

I certify that all of my responses in Section B of this form are still true, correct, and complete.

30. Transferee's/Buyer's Signature \_\_\_\_\_

31. Recertification Date	Month	Day	Year

**Section E - Must Be Completed By Transferor/Seller**

32. For Use by Licensee	33. Trade/corporate name and address of transferor/seller and Federal Firearm License Number (must contain at least first three and last five digits X-XX-XXXXX; hand stamp may be used)
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**The Individual Transferring The Firearm(s) Must Complete Questions 34-36. For Denied/Cancelled Transactions, The Individual Who Completed Section C Must Complete Questions 34-36.**

I certify that: (1) I have read and understood the Notices, Instructions, and Definitions on this ATF Form 4473; (2) the information recorded in Sections A, C and E is true, correct, and complete; and (3) this entire transaction record has been completed at the licensed business premises ("licensed premises" includes business temporarily conducted from a qualifying gun show or event in the same State in which the licensed premises is located) unless this transaction has met the requirements of 18 U.S.C. § 922(c). Unless this transaction has been denied or cancelled by NICS or State agency, I further certify on the basis of — (1) the transferee's/buyer's responses in Section B (and Section D, if applicable); (2) the verification of the identification recorded in question 28 (and the re-verification at the time of transfer, if Section D was completed); and (3) State or local law applicable to the firearms business — it is my belief that it is not unlawful for me to sell, deliver, transport, or otherwise dispose of the firearm(s) listed on this form to the person identified in Section B. If this transaction required a NICS check, I further certify that this firearm(s) transfer is within 30 days from the date of the initial contact with NICS.

34. Transferor's/Seller's Name (please print)	35. Transferor's/Seller's Signature _____	36. Date Transferred	Month	Day	Year

**REMINDER - By the Close of Business Complete ATF Form 3310.4 for Multiple Sales of Handguns Within 5 Consecutive Business Days**

**NOTICES, INSTRUCTIONS, AND DEFINITIONS**

**Purpose of the Form:** The information and certification on this form are designed so that a person licensed under 18 U.S.C. § 922 may determine if he/she may lawfully sell or deliver a firearm to the person identified in Section B, and to alert the transferee/buyer of certain restrictions on the receipt and possession of firearms. The transferor/seller of a firearm must determine the lawfulness of the transaction and maintain proper records of the transaction. Consequently, the transferor/seller must be familiar with the provisions of 18 U.S.C. § 922-931 and the regulations in 27 CFR Parts 478 and 479. In determining the lawfulness of the sale or delivery of a rifle or shotgun to a resident of another State, the transferor/seller is presumed to know the applicable State laws and published ordinances in both the transferor's/seller's State and the transferee's/buyer's State. (See State Laws and Published Ordinances -Firearms (ATF Electronic Publication 3304.5) on <https://www.atf.gov/>)

Generally, ATF Form 4473 must be completed at the licensed business premises when a firearm is transferred over-the-counter. Federal law, 18 U.S.C. § 922(a)(5), allows a licensed importer, manufacturer, or dealer to sell a firearm to a non-licensee who does not appear in person at the licensee's business premises only if the transferee/buyer meets certain requirements. These requirements are set forth in 18 U.S.C. § 922(c), 27 CFR 478.96(b), and ATF Procedure 2020-1 (or subsequent update).

After the transferor/seller has completed the firearms transaction, he/she must make the completed, original ATF Form 4473 (which includes the Notices, General Instructions, and Definitions), and any supporting documents, part of his/her permanent records. Such Forms 4473 must be retained until discontinuance of business or licensed activity. Paper forms over 20 years of age may be stored at a separate warehouse, which is considered part of the business premises subject to inspection. Filing may be chronological (by date of disposition), alphabetical (by name of purchaser), or numerical (by transaction serial number), as long as all of the transferor's/seller's completed Forms 4473 are filed in the same manner.

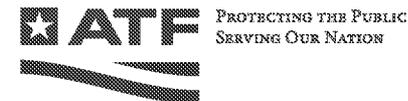
# Key Changes to Form 4473, 2022 edition

## Section A – Completed by Seller

Section A - Must Be Completed By Transferor/Seller Before Transferee/Buyer Completes Section B				
1. Manufacturer and Importer (if any), or Privately Made Firearm (PMF) (If the Manufacturer and Importer are different, include both.)	2. Model (if designated)	3. Serial Number	4. Type	5. Caliber or Gauge
1.				
2.				
3.				
6. Total Number of Firearms to be Transferred (Please spell total number e.g., one, two, etc. Do not use numerals.)		7. Check if any part of this transaction is a pawn redemption. <input type="checkbox"/>		
		Record Line Number(s) From Question 1:		
		8. Check if any part of this transaction is to facilitate a private party transfer. <input type="checkbox"/>		

Must be completed by Transferor/Seller **BEFORE** Transferee/Buyer completes Section B and buyer certifies Boxes 22 & 23.

# Section B – Completed by Buyer



## Section B - Must Be Completed Personally By Transferee/Buyer

9. Transferee's/Buyer's Full Name (If legal name contains an initial only, record the initial followed by "IO" in quotes. If no middle initial or name, record "N/A")

Last Name (including suffix, e.g., Jr, Sr, II, III)	First Name	Middle Name
---	------------	-------------

10. Current State of Residence and Address (U.S. postal abbreviations are acceptable. Cannot be a post office box.)

Number and Street Address	City	<input type="checkbox"/> Reside in City Limits? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown	State	ZIP Code	County/Parish/Borough
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11. Place of Birth		12. Height	13. Weight	14. Sex	15. Birth Date	
U.S. City and State	-OR- Foreign Country	Ft. _____ In. _____	(lbs.) _____	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Non-Binary	Month	Day
					Year	

16. Social Security Number (optional, but will help prevent misidentification)	17. Unique Personal Identification Number (UPIN) or Appeals Management Database Identification (AMD ID) (if applicable)
--	---

18.a. Ethnicity	18.b. Race (Select one or more race in 18.b. Both 18.a. and 18.b. must be answered.)		
<input type="checkbox"/> Hispanic or Latino <input type="checkbox"/> Not Hispanic or Latino	<input type="checkbox"/> American Indian or Alaska Native <input type="checkbox"/> Asian	<input type="checkbox"/> Black or African American <input type="checkbox"/> Native Hawaiian or Other Pacific Islander	<input type="checkbox"/> White

19. Country of Citizenship: (Check/List more than one, if applicable. Nationals of the United States may check U.S.A.)

United States of America (U.S.A.)
  Other Country/Countries (Specify):

20. If you are an alien, record your U.S.-issued alien or admission number (AR#, USCIS#, or I94#):

21. Answer the following questions by checking or marking either the "yes" or "no" box to the right of the questions:	Yes	No
a. Are you the actual transferee/buyer of all of the firearm(s) listed on this form and any continuation sheet(s) (ATF Form 5300.9A)? <b>Warning: You are not the actual transferee/buyer if you are acquiring any of the firearm(s) on behalf of another person. If you are not the actual transferee/buyer, the licensee cannot transfer any of the firearm(s) to you. Exception: If you are only picking up a repaired firearm(s) for another person, you are not required to answer 21.a. and may proceed to question 21.b.</b>	<input type="checkbox"/>	<input type="checkbox"/>
b. Do you intend to purchase or acquire any firearm listed on this form and any continuation sheet(s), or ammunition, for sale or other disposition to any person described in questions 21(c)-(m), or to a person described in question 21.a.1 who does not fall within a nonimmigrant alien exception?	<input type="checkbox"/>	<input type="checkbox"/>
c. Do you intend to sell or otherwise dispose of any firearm listed on this form and any continuation sheet(s) or ammunition in furtherance of any felony or other offense punishable by imprisonment for a term of more than one year, a Federal crime of terrorism, or a drug trafficking offense?	<input type="checkbox"/>	<input type="checkbox"/>

## Section B – Completed by Buyer

Included  
military  
charges

i. Have you ever been discharged from the Armed Forces under dishonorable conditions?	<input type="checkbox"/>	<input type="checkbox"/>
j. Are you subject to a court order, including a Military Protection Order issued by a military judge or magistrate, restraining you from harassing, stalking, or threatening your child or an intimate partner or child of such partner?	<input type="checkbox"/>	<input type="checkbox"/>
k. Have you ever been convicted in any court of a misdemeanor crime of domestic violence, or are you or have you ever been a member of the military and been convicted of a crime that included, as an element, the use of force against a person as identified in the instructions?	<input type="checkbox"/>	<input type="checkbox"/>
l. Have you ever renounced your United States citizenship?	<input type="checkbox"/>	<input type="checkbox"/>
m. Are you an alien illegally or unlawfully in the United States?	<input type="checkbox"/>	<input type="checkbox"/>
21.n.1. Are you an alien who has been admitted to the United States under a nonimmigrant visa?	<input type="checkbox"/>	<input type="checkbox"/>
21.n.2. If you are such an alien do you fall within any of the exceptions stated in the instructions (U.S. citizens/nationals leave 21.n.1 and 21.n.2 blank)	<input type="checkbox"/>	<input type="checkbox"/>

I certify that my answers in Section B are true, correct, and complete. I have read and understand the Notices, Instructions, and Definitions on ATF Form 4473. I understand that answering "yes" to question 21.a. if I am not the actual transferee/buyer is a crime punishable as a felony under Federal law, and may also violate State and/or local law. I understand that a person who answers "yes" to any of the questions 21.b. through 21.m. is prohibited from receiving or possessing a firearm. I understand that a person who answers "yes" to question 21.n.1. is prohibited from receiving or possessing a firearm, unless the person answers "yes" to question 21.n.2. and provides the documentation required in 26.d. I also understand that making any false oral or written statement, or exhibiting any false or misrepresented identification with respect to this transaction, is a crime punishable as a felony under Federal law, and may also violate State and/or local law. I further understand that the repetitive purchase of firearms for the purpose of resale to predominantly earn a profit without a Federal firearms license is a violation of Federal law.

22. Transferee's/Buyer's Signature	23. Certification Date		
	Month	Day	Year

# Section C – Completed by Seller



**Notice:** If transferee/buyer is under 21, a waiting period of up to 10 days may apply where notification from NICS is received within 3 business days to further investigate a possible disqualifying juvenile record. A NICS check is only valid for 30 calendar days from the date recorded in question 27.a.

27.a. Date the transferee s/buyer s identifying information in Section B was transmitted to NICS or the appropriate State agency:			27.b. The NICS or State transaction number (if provided) was:
Month	Day	Year	

27.c. The response initially provided by NICS or the appropriate State agency was:

Proceed  Denied  Cancelled

Delayed  
The firearm(s) may be transferred on \_\_\_\_\_ if time period is not extended by NICS or the appropriate State agency, and State law allows (optional).

27.d. Prior to transfer the following response(s) was/were later provided by NICS or the appropriate State agency:

Proceed \_\_\_\_\_ (date)  Denied \_\_\_\_\_ (date)  Cancelled \_\_\_\_\_ (date)  
 Overtumed \_\_\_\_\_ (date)  No response was provided within 3 business days.

Notice of additional delay of transferee under 21 years of age received on \_\_\_\_\_ (date), and may be transferred on \_\_\_\_\_ (date).  
 No response was provided within 10 business days after additional delay for transferee/buyer under 21 years of age.

# Section E – Completed by Seller



Increased area for Licensee Use

## Section E - Must Be Completed By Transferor/Seller

32. For Use by Licensee

33. Trade/corporate name and address of transferor/seller and Federal Firearm License Number (must contain at least first three and last five digits X-XX-XXXXX; hand stamp may be used)

### The Individual Transferring The Firearm(s) Must Complete Questions 34-36.

#### For Denied/Cancelled Transactions, The Individual Who Completed Section C Must Complete Questions 34-35.

I certify that: (1) I have read and understand the Notices, Instructions, and Definitions on this ATF Form 4473; (2) the information recorded in Sections A, C and E is true, correct, and complete; and (3) this entire transaction record has been completed at the licensed business premises ("licensed premises" includes business temporarily conducted from a qualifying gun show or event in the same State in which the licensed premises is located) unless this transaction has met the requirements of 18 U.S.C. § 922(c). Unless this transaction has been denied or cancelled by NICS or State agency, I further certify on the basis of — (1) the transferee's/buyer's responses in Section B (and Section D, if applicable); (2) the verification of the identification recorded in question 26 (and the re-verification at the time of transfer, if Section D was completed); and (3) State or local law applicable to the firearms business — it is my belief that it is not unlawful for me to sell, deliver, transport, or otherwise dispose of the firearm(s) listed on this form to the person identified in Section B. If this transaction required a NICS check, I further certify that this firearm(s) transfer is within 30 days from the date of the initial contact with NICS.

34. Transferor's/Seller's Name (please print)

35. Transferor's/Seller's Signature

36. Date Transferred  
Month | Day | Year

REMINDER - By the Close of Business Complete ATF Form 3310.4 for Multiple Sales of Handguns Within 5 Consecutive Business Days

Moved Multiple Sales Form Reminder

Removed  
Seller's  
Title  
section

### Firearms Transaction Record Continuation Sheet



This form is a continuation of Section A of the attached ATF Form 4473 and is completed by the transferor/seller. When completed, this attachment is incorporated into and made part of the ATF Form 4473. All entries must be handwritten in ink unless completed under ATF Rul. 2016-2. PLEASE PRINT

Transferor's/Seller's Transaction Serial Number (if any) \_\_\_\_\_

Date Transferred (if any)  
Month \_\_\_\_\_ Day \_\_\_\_\_ Year \_\_\_\_\_

**Transferee's/Buyer's**

Last Name \_\_\_\_\_ First Name \_\_\_\_\_ Middle Name \_\_\_\_\_

**Section A - Must Be Completed By Transferor/Seller Before Transferee/Buyer Completes Section B**

1. Manufacturer and Importer (if any) (If the manufacturer and importer are different, include both.)	2. Model (if designated)	3. Serial Number	4. Type	5. Caliber or Gauge
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				
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29.				

REMINDER- By the Close of Business Complete ATF Form 3310.4 for Multiple Sales of Handguns Within 5 Consecutive Business Days

## New Continuation Sheet

- Used when more than three firearms are transferred on the same ATF Form 4473.
- Attachment is incorporated into and made part of the ATF Form 4473.

# Correcting ATF Form 4473

- Corrections to the original 4473 may only be made before the firearm transfer is completed.
- After the firearm is transferred, no changes may be made to the original 4473. A copy must be used to document the change.
- Draw a single line through the error, make the correction, and initial and date the change.

The purchaser and FFL may only make corrections to the portions of the form they are responsible for completing.

- FFL – Sections **A**, **C**, and **E**.
- Transferee – Sections **B** and **D**.

# ATF Form 4473 – Retention Requirements

If transfer occurs these forms must be separately retained in order:

1. Alphabetically (name of transferee)
2. Chronologically (date of transferee's certification)
3. Numerically (transaction number assigned by licensee)

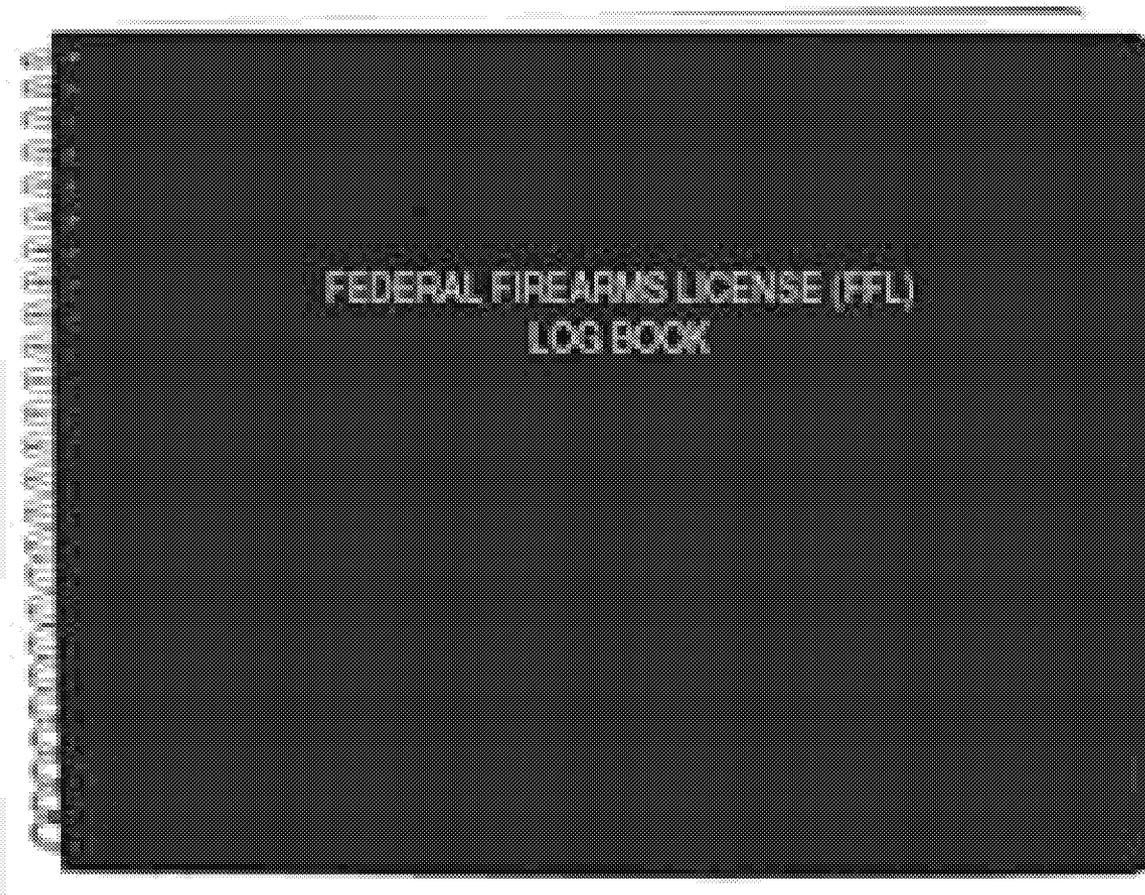
## Exceptions to 4473 Requirement

- Transfer of a firearm to another FFL
- Return of a repaired firearm to the person from whom it was received.
- Sale of a firearm to Law Enforcement Agency or Officer for official duties if it meets requirements of 27 CFR 478.134
- Transfer of a replacement firearm of the same kind and type to the same person from whom the firearm was received.

**(b)(6)/(b)(7)(C)**

Industry Operations Investigator  
Chicago Field Division

# A&D Record



# Dealer Acquisition and Disposition Record

The **purchase or other acquisition** of a firearm shall be recorded not later than the close of the **next business day** following the date of such purchase or acquisition.

The acquisition record shall include:

- Date of receipt
- Name and address or the name and license number of the person from whom received
- Manufacturer and/or Importer (if any)
- Model
- Serial number
- Type
- Caliber or gauge

## Dealer Acquisition and Disposition Record

The **sale or other disposition** of a firearm shall be recorded by the licensed dealer not later than 7 days following the date of such transaction.

The disposition record shall include:

- The date of sale or other disposition of each firearm
- Name and address or ATF F4473 serial number (if non-licensee)
- Name and license number (if licensee)

If a firearm is lost or stolen:

- Theft or loss, ATF-issued incident number, and the incident number provided by the local law enforcement agency

# A&D Record

Sample Entries for Acquisition and Disposition Book for Federal Firearms licensee Brian Smith for Brian's Sport Shop

Description of Firearm					Receipt		Disposition		
Manufacturer and Importer (if any)	Model	Serial Number	Type	Caliber or Gauge	Date	Name and Address or Name and Licensee No.	Date	Name	Address or Licensee No. if licensee, or Form 4473 Serial Number if Forms 4473 filed numerically
1. Ithaca	1021004	660138	Shotgun	.20	8/2/01	John's Fine Guns FFL 4-42-98777	1/29/02	James House	Form 4473 #2
2. Smith & Wesson	10	M60512	Revolver	.38	8/4/01	Sinap Shop FFL 7-86-34989			
3. Western Field	10504	G91467	Shotgun	.20	8/4/01	John's Fine Guns FFL 4-42-98777	11/2/02	Jim Michaels	Form 4473 #68 <i>Rod &amp; Gun Show Springfield, IL</i>
4. Winchester	94	382906	Rifle	30-30	11/4/01	Al Green 928 Bob Hill Oak Hill, IL 60651	9/1/02	William Bounce	Form 4473 #50
5. Remington	870	4932	Shotgun	.16	6/9/02	Thomas Problem 605 E. Colonial Bluff, IL 60651	8/20/02	Fit it or Melt it, Inc.	FFL 5-46-39988
6. Remington	540X	312698V	Revolver	.22	7/2/02	Joan Realtor FFL 2-91-34487	7/14/02	Brian Smith	605 E. Colonial Blues, IL 60651 <i>(Personal Collection)</i>
7. Browning	1200	38679	Pistol	.45	8/24/02	Jon Doe 631 Pine Street Elkton, IL 60605	7/1/03	Jon Doe	Form 4473 #56
8. Western Field	10504	G91467	Shotgun	.20	11/24/02	Jim Michaels 829 Columbia Springfield, IL 60685	12/2/02	Stolen Reported	ATF Issued Incident Number F2019-001579
9. Smith & Wesson	43-1	M60562	Pistol	.22	12/1/02	Brian Smith (owner) 84 Winsor Cambridge, IL 60731	12/12/02	Tom Jones- Metro Police	305 Wilkins Road Atchison, Kansas 70519 <i>Certification Letter on File</i>
10. Remington	MFG	870	Shotgun	.16	12/12/02	Fit it or Melt it, Inc. FFL 5-46-39988	12/2/02	Thomas Problem	605 E. Colonial Bluff, IL 60651
11. ABC International Arms/ West Coast Importers, LLC	WASR-3HI	7117	Rifle	.223	12/7/02	West Coast Importers, LLC FFL 3-68-87102	12/9/02	Matthew Johnson	Form 4473 #86

NOTE-Highlighted notations are optional.

Acquisition - NLT close of next business day, after receipt.  
Disposition - NLT 7 days after transfer.

Type: "Pistol", "Revolver", "Frame", "Rifle", "Shotgun", "Receiver", "PGF" or "Pistol Grip Firearm" (i.e. Mossberg Shockwave)

# Inventory Strategy



## Inventory Strategy (Cont'd)

DESCRIPTION OF FIREARM					RECEIPT		DISPOSITION		
Manufacturer and/or Importer	Model	Serial Number	Type	Caliber, Gauge	Date	Name & Address or Name &	Date	Name	Address or Lic. No. if Licensee, or Form 4473 SN. if Form 4473 Filed
Glock	17	1234	pistol	9mm	1/1/12	John Doe, 123 Elm St. Dublin , CA			

Example: Book 1; Page 1; Line 1

# Age and Residency Requirements (FFL sales)

## Rifles or Shotguns

- Must be 18 years of age
- Can be a resident of any state and the sale must be in compliance with the state laws of both the seller and purchaser

Handguns or firearms other than rifles or shotguns – frames, receivers, and other firearms that are neither handguns nor rifles or shotguns, such as firearms having a pistol grip that expels a shotgun shell, or NFA firearms

- Must be 21 years of age
- Must be a resident of IN

Ammunition sales must comply with age requirements for the firearm it will be used in

If an individual is prohibited from purchasing a firearm, they are also prohibited from purchasing ammunition

## Sales to Law Enforcement

- Firearms sales to Law Enforcement are exempt from the Gun Control Act when firearms are to be used for the official business of the agency.
- An individual law enforcement officer's receipt and possession of firearms for use in carrying out official duties on behalf of an agency is also exempt, unless the officer has been convicted of a misdemeanor crime of domestic violence.
- Background check is not required, and a LEO is not required to complete ATF F 4473, when the following is submitted:

# Sales to Law Enforcement

- A certification on agency letterhead
- Signed by person in authority (Chief/Sheriff)
- Statement that officer will use the firearm for official duties
- Statement that records check reveals that the purchasing officer has no convictions for misdemeanor crimes of domestic violence.

## Return of Repair Firearms

When the transfer is to a licensee for the sole purpose of repair or customization and such firearm or a replacement firearm is returned to the person from whom it was received, **NO FORM 4473 IS REQUIRED.**

## Consignment Sales

Firearms received for sale on consignment must be entered in the A&D record. The sale of a consignment firearm is handled in the same manner as other firearm sales.

Return of any consigned firearm by the licensee to the consignor must be entered as a disposition in the A&D record. ATF Form 4473 and background check are required.



## Multiple Sales of Pistols and Revolvers

A multiple sale is the sale or other disposition of two or more pistols or revolvers to a non-licensee at one time or within any five consecutive business days. Multiple sales are reported on ATF Form 3310.4.

- Copy 1 to the National Tracing Center by e-mail, fax or mail
- Copy 2 to the State or local law enforcement authority designated to receive the form (Indiana State Police)
- Copy 3 is retained in the licensee's records and attached to the corresponding ATF Form 4473

**\*\*No multiple sale report is necessary for the return of multiple handguns to the same person from whom they were received – such as the return of multiple consignment, pawned, or repaired handguns.**

# Submission Requirements

**Copy 1** is to be submitted to either:

**[multiplehandgunsalesforms@atf.gov](mailto:multiplehandgunsalesforms@atf.gov)**

877-283-0288 (Fax)

U.S. Department of Justice  
NTC  
244 Needy Road  
Martinsburg, WV 25405

# Submission Requirements

**Copy 2** is to be submitted to:

317-233-9730 (Fax)

Indiana State Police

Firearms Section

100 North Senate Ave.

Indianapolis, IN 46204

Hispanic or Latino     
  American Indian or Alaska Native     
  African American or Black     
  White  
 Not Hispanic or Latino     
  Asian     
  Native Hawaiian or Other Pacific Islander

8. Identification Number      9. Type of Identification (ID)      10. ID State      11. Date of Birth      12. Place of Birth (City, state, country)

13. If the buyer of the firearms listed in item 4 is a person authorized to act on behalf of a corporation, company, association, partnership or other such business entity, you must complete the following, if applicable: (See instruction 6.)

Name and Address of Business Entity

14a. Identify the official designated by the State or local authorities where you, the FFL, will be forwarding Copy 2.

Name of Agency

Street Address, City, and State

14b. Date Copy 2 was forwarded to Agency

15. Additional Information Relating to the Transfer of the Firearms (if applicable)

16. Name of Employee Filling Out This Form

Date

Email form to [multiplehandgunsalesforms@atf.gov](mailto:multiplehandgunsalesforms@atf.gov).



## Reporting Theft/Loss of Firearms

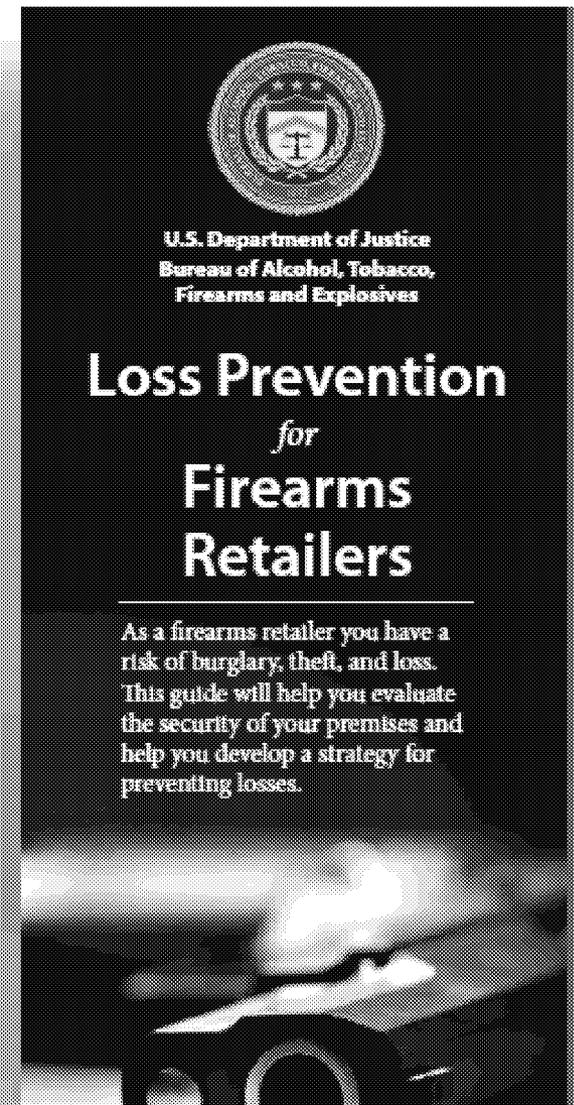
- Complete and submit the ATF Form 3310.11, Federal Firearms Licensee Firearms Inventory/Firearms in Transit Theft/Loss Report within 48 hours of discovery
- Transferor must report Theft/Loss of firearms in transit
- Report theft or loss to ATF and local law enforcement
- In the disposition entry of the A&D record, record theft or loss, the ATF issued incident number, and the incident number provided by the local law enforcement agency
- If reported firearms are later discovered, notify ATF Tracing Center and re-enter firearm into A&D record
- Retain Theft/Loss Form Indefinitely
- ATF Form 3310.11a Continuation Form is available



# Prevention of Theft/Loss

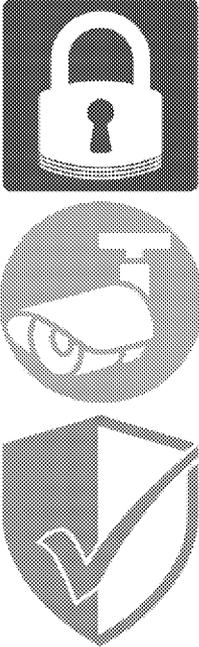
- Security cameras inside and Alarm systems
- Barricades
- Bars on windows and doors
- Place firearms in safes for the night
- Cable locks on long gun displays
- Restrict access – lock cabinets during the day
- Be aware of your customers
- Establish a relationship with local law enforcement

For additional guidance see ATF P 5380.1, Loss Prevention for Firearms Retailers



U.S. Department of Justice  
Bureau of Alcohol, Tobacco, Firearms and Explosives  
National Training Center Division

**ATF**  
Safety and Security Information  
for Federal Firearms Licensees



**ATF** PROTECTING THE PUBLIC  
SERVING OUR NATION

ATF P 3317.2

ATF Safety and Security Information for Federal Firearms Retailers

**FFL ALERT**

**(304) XXX-XXXX**

## ATF FFL Alert System

There have been an increase in burglaries at gun stores nationwide. In response to this threat to public safety, ATF has created *fflAlert*, an automated call system that will alert other FFLs when a licensee in their geographic area has had a theft or burglary.

- Calls will be made to the business telephone number on record with the Federal Firearms Licensing Center and e-mails will go out to all responsible persons who have provided an e-mail address.
- The automated notifications will be made between 7am-7pm, 7 days a week. The *fflAlert* comes from a 304 area code.
- The victimized FFL will not be identified in the notification.
- No action is required, but FFLs are encouraged to increase their vigilance and awareness of suspicious persons and take extra precautions to secure their property and firearms inventory.

# Break

## Questions?

# Final Rule 2021R-05F

- Amends ATF's regulations by removing and replacing the regulatory definitions of "firearm frame or receiver" and "frame or receiver" using examples and diagrams to clearly convey what is a "frame or receiver," amending the definitions of "firearm" and "gunsmith," providing definitions of terms such as "complete weapon," "complete muffler or silencer device," "privately made firearm" and "readily," and amending regulations on marking and recordkeeping.

# Final Rule 2021R-05F

## Definition of “Frame or Receiver”

- Identifies only one part of a firearm to be the “frame” or “receiver” that requires a serial number.
- Definition of a “frame or receiver” includes a partially complete, disassembled, or nonfunctional frame or receiver that has reached a stage in manufacture where it may quickly and easily (“readily”) be made to function as a “frame or receiver
- Grandfathers in existing classifications of frames or receivers (to include split frames or receivers) and allows them to be marked in accordance with the existing requirements.
- Partially complete, disassembled, or nonfunctional frames or receivers, including parts kits, that ATF did not classify as “frames or receivers” prior to the rule will not be grandfathered in under the final rule and will need to be re-evaluated.
- Licensed manufacturers or importers are required to abide by the new marking requirements only for new firearm designs.

# Final Rule 2021R-05F

## **Privately Made Firearms (PMFs)**

- Federal firearms licensees (FFLs) that choose to take into inventory PMFs are required to mark and record PMFs within 7 days of the firearm being acquired by a licensee, or before disposition, whichever first occurs.
- If FFLs had PMFs in their inventory when the final rule was effective they had until 60 days to mark them.
- There is no requirement in the rule for FFLs to accept a PMF into inventory

## **Record Retention**

- FFLs must retain their Firearms Transaction Records, Forms 4473, and acquisition and disposition records until they discontinue their business or licensed activity

**<https://www.atf.gov/rules-and-regulations/definition-frame-or-receiver/summary>**

# ATF 2021R-08F

## Stabilizing Brace Rule

- The final rule’s definition of “rifle” states clearly that the term “designed, redesigned, made or remade, and intended to be fired from the shoulder” includes a weapon that is equipped with an accessory, component, or other rearward attachment (e.g., a “stabilizing brace”), that provides surface area that allows the weapon to be fired from the shoulder, provided other factors (as described in the rule) indicate the weapon is designed, made, and intended to be fired from the shoulder.

# Effective Date of Final Rule

- The final rule was signed by the Attorney General on January 13, 2023 and was subsequently published in the Federal Register on January 31, 2023.
- The Final Rule is effective on **January 31, 2023**.
- The compliance date is 120 days from the date of publication, which is **May 31, 2023**.

# Options Available to All Possessors

1. Remove the short barrel and attach a 16-inch or longer rifled barrel to the firearm.
2. Permanently remove and dispose of, or alter, the “stabilizing brace” such that it cannot be reattached.
3. Turn the firearm into your local ATF office.
4. Destroy the firearm.
5. Register the weapon as set forth below depending on your category of possessor

# Tax Forebearance

- The Department is forbearing the NFA taxes on persons in current possession of firearms equipped with “stabilizing brace” as described: Individuals, FFLs, and FFL/SOT Dealers will not be subject to the \$200 making tax for SBR’s in their possession , so long as they timely submit an E-Form 1 by **May 31, 2023** as of **January 31, 2023**
- FFLs that are Class 1 Importer or Class 2 Manufacturer SOT holders in possession of unregistered firearms equipped with a “stabilizing brace” that are subject to the provisions of the NFA as of **January 31, 2023** must timely register their affected firearms on an E-Form 2 by **May 31, 2023**.
  - Because the E-Form 2 does not require an accompanying tax payment, ATF will not collect any taxes for registration of these weapons.
  - Once registered on E-Form 2, FFLs-SOT holders are liable for the applicable transfer taxes when the firearm is subsequently transferred.

# Registration Options Non-Licensee Possessors

- Submit through the eForms system an Application to Make and Register a Firearm, ATF Form 1 (“e-Form 1”) by **May 31, 2023**.
- Must have had possession of affected firearm before **January 31, 2023**.
- Not required to pay the \$200 making tax upon registration
- May adopt markings on the firearm for purposes of the e-Form 1 if the firearm is marked in accordance with 27 CFR 478.92 and 479.102. If the firearm is not so marked, then the individual must mark the firearm as required by federal law.

# Registration Options - FFLs

- FFLs that are NOT a Class 1 Importer or Class 2 Manufacturer SOT holder (includes FFL/SOT dealers)
  - Submit through the eForms system an Application to Make and Register a Firearm, ATF Form 1 (“e-Form 1”) by **May 31, 2023**. Must have had possession of affected firearm before **January 31, 2023**.
    - Not required to pay the \$200 making tax upon registration
    - May adopt markings on the firearm for purposes of the e-Form 1 if the firearm is marked in accordance with 27 CFR 478.92 and 479.102. If the firearm is not so marked, then the individual must mark the firearm as required.

# Registration Options - FFLs

FFLs that are NOT a Class 1 Importer or Class 2 Manufacturer SOT holder  
(includes FFL/SOT dealers)

- If the FFL wishes to continue to engage in the business of dealing SBRs equipped with a “brace” device, the FFL will need to become a Class 3 SOT in accordance with the NFA.
- If the FFL wishes to continue to engage in business of manufacturing SBRs equipped with a “brace” device, the FFL will need to become a Class 2 SOT in accordance with the NFA.

# Registration Options – FFLs/Class 1 **OR** Class 2 SOT

FFLs that are Class 1 Importer or Class 2 Manufacturer SOT under NFA

- Register all affected firearms currently in inventory tax free on e-Form 2
- Have until **May 31, 2023** to register current inventory
- To transfer affected firearms after **January 31, 2023**, the SBRs must be registered in the NFRTR and a Form 4 or Form 3 must be submitted to ATF.

# Registration Options – Government Entities

## Certain Governmental Entities

- Register on e-Form 10, meaning future transfers are limited to other government entities.
- Register on e-Form 1, meaning the SBR may later be transferred to non-government entities.
- Have until **May 31, 2023** to register SBRs with “stabilizing brace” that are in their possession as of **January 31, 2023**.
- Not required to pay \$200 making tax.

# Transfers and New Acquisitions

- To transfer after **January 31, 2023**, the SBR must first be registered in the NFRTR, and then a Form 4 must be submitted and approved.
- Any SBR with a “stabilizing brace” that is newly made or acquired after **January 31, 2023** will be subject to the regular NFA Form 1 (or Form 2 for qualified SOT holders) application process and making tax.

## Helpful Contacts

- For questions regarding the application of the final rule, contact the Firearms Industry Programs Branch: [FIPB@atf.gov](mailto:FIPB@atf.gov).
- For technical questions regarding firearms, contact the Firearms and Ammunition Technology Division at: [Fire\\_Tech@atf.gov](mailto:Fire_Tech@atf.gov).
- For questions regarding the rulemaking process, contact the Office of Regulatory Affairs at [ORA@atf.gov](mailto:ORA@atf.gov).
- For questions about the eForm process, utilize the “Ask the Experts” tab within the eForms application.
- <https://www.atf.gov/rules-and-regulations/factoring-criteria-firearms-attached-stabilizing-braces>

**(b)(6)/(b)(7)(C)**

Section Chief  
National Firearms Act Branch



PROTECTING THE PUBLIC  
SERVING OUR NATION

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



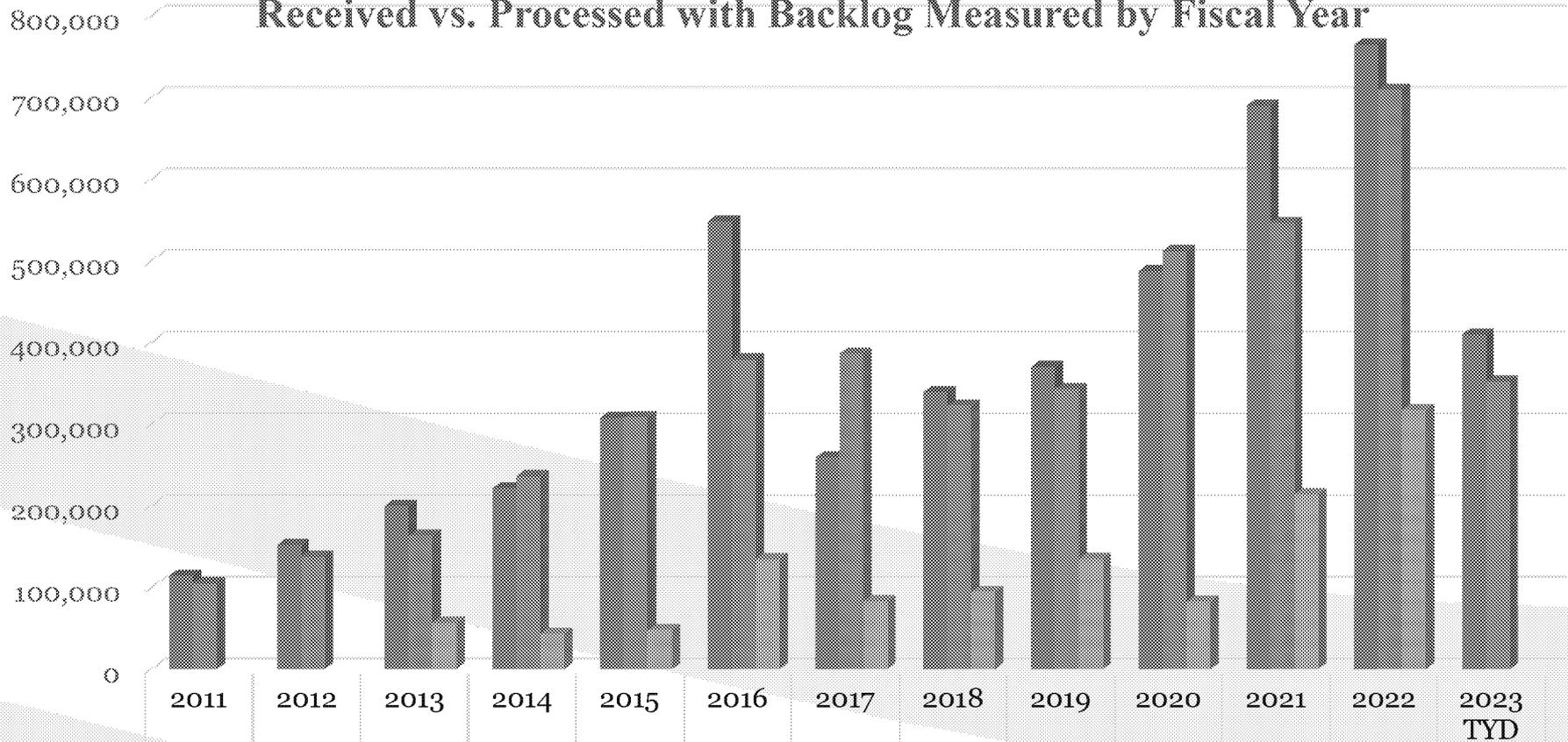
# NFA Division Overview Briefing



**U.S. Department of Justice**  
Bureau of Alcohol, Tobacco, Firearms and Explosives

## Total NFA Tax-Paid and Tax-Exempt Forms

### Received vs. Processed with Backlog Measured by Fiscal Year



	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023 TYD
■ Received	114,32	152,07	199,92	221,26	307,52	548,23	259,14	339,27	370,34	487,74	689,82	764,81	409,408
■ Processed	105,37	137,64	163,69	236,29	308,56	379,41	386,21	322,69	342,86	512,31	546,22	709,50	352,231
■ Backlog			57,143	43,187	47,876	134,77	83,307	94,567	135,13	82,580	214,11	317,37	

# NFA Forms

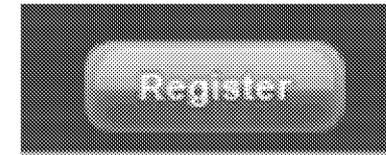
- Form 1 (5320.1) – Application to Make and Register a Firearm
- Form 2 (5320.2) – Notice of Firearms Manufactured or Imported
- Form 3 (5320.3) - Application for Tax-Exempt Transfer of Firearm and Registration to Special Occupational Taxpayer
- Form 4 (5320.4) – Application for Tax Paid Transfer and Registration of Firearms
- Form 5 (5320.5) – Application for Tax Exempt Transfer and Registration of Firearms
- Form 9 (5320.9) – Application and Permit for Permanent Exportation of Firearms
- Form 10 (5320.10) – Application for Registration of Firearms Acquired by Certain Governmental Entities
- Form 23 (5320.23) – NFA Responsible Persons Questionnaire (2023 edition)
- ATF Form 5320.20 – Application to Transport Firearms Interstate or Temporarily Export Certain Firearms

# NFA eForms

- What is eForms
  - Allows users to file certain ATF Forms electronically
- How to Apply
  - Access the eForms Registration/Log in screen at [www.atfonline.gov](http://www.atfonline.gov) by selecting the eForms option
- Benefits in using eForms
- SOT available to be renewed via Pay.GOV now

# Access

- Register an eForm profile account



- Active FFL/SOT can request inventory access

## My Profile Information

User Information	Password / PIN / Security Question Maintenance	FFL / AECA / EIN Access
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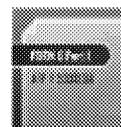
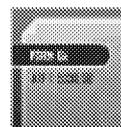
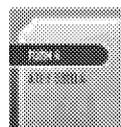
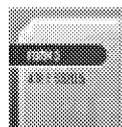
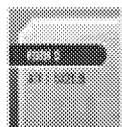
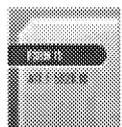
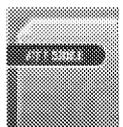
Request FFL / AECA / EIN Access

View ▼	FFL Access Requests	AECA Requests	EIN Access Requests
--------	---------------------	---------------	---------------------

**My Forms**

- + [ABANDONED](#)
- + [APPROVED](#)
- + [CONDITIONALLY APPROVED](#)
- + [DISAPPROVED](#)
- + [NO PERMIT REQUIRED](#)
- + [PARTIALLY APPROVED](#)
- + [PENDING RESEARCH](#)
- + [RETURNED WITHOUT ACTION](#)
- + [REVOKED](#)
- + [SUBMITTED/IN PROCESS](#)
- + [WITHDRAWN](#)
- + [VOID](#)

No current alerts.

									
ATF Form 6 Part I (5330.3A)	ATF Form 6A (5330.3C)	ATF Form 1 (5320.1)	ATF Form 2 (5320.2)	ATF Form 3 (5320.3)	ATF Form 4 (5320.4)	ATF Form 5 (5320.5)	ATF Form 9 (5320.9)	ATF Form 10 (5320.10)	ATF Form 5300.11

**\*\*\*To begin a new application, click on an ATF Form icon.\*\*\***

# eForms Updates

- eForms 1 and 4 are accepting electronic FPC
- New eForm 1
- FFL can now see available inventory and active inventory in account
- Withdraw available for eForm 1 and 4
- ATF 5320.9 Export multiple ports of export
- Updates to FAQ and Ask the Expert

# Coming Soon to eForms

- eForm 5 : GOV to GOV, Destruction, and SOT inventory reallocation
- Updated Form 2, 4, and 5
- VOID option in eForms (items never transferred)
- ATF 5320.23 RPQ generate within eForms
- Correspondence to eForms
- Folder for Transferees to see Finalized eForms to them in eForms account
- Importers will be able to upload from excel

## Common errors

- Incorrect DOB
- Uploading the wrong photo (file or size)
- Non-Immigrant exemptions
  - Missing, expired
- Incomplete or inaccurate information between the form and FPC
- Failure to upload complete documents
  - Trust / RPQ (F1/ F4)
  - Approved Variance (F2)
  - Tribal documents (F5)
  - Law Letters (F3)
  - Out of Business statements (F3)
- Failure to “sign” with personal name

# FFL/SOT change of address

- ATF Form 5300.38 to FFLC
- ATF Form 5630.7 to SOT
- Must complete and submit BOTH Forms

## Estate Transfers (minimum requirements)

- Requires Death Certificate
- Status of Probate
- Last Will and Testament
- Letter of Administration
- Trust (if applicable)

# Where can I get support?

- Help Desk – log in issues
- Ask the Expert eMail – access/submission issues
- FAQ
- Youtube (ATFHQ)
- [NFAFAX@atf.gov](mailto:NFAFAX@atf.gov) - All general questions
- [SOT@atf.gov](mailto:SOT@atf.gov) – SOT questions
- 304-616-4500 – Status checks (forms & fingerprint cards)

# Detecting & Avoiding Straw Purchases

**(b)(6)/(b)(7)(C)**

Special Agent

Chicago Field Division

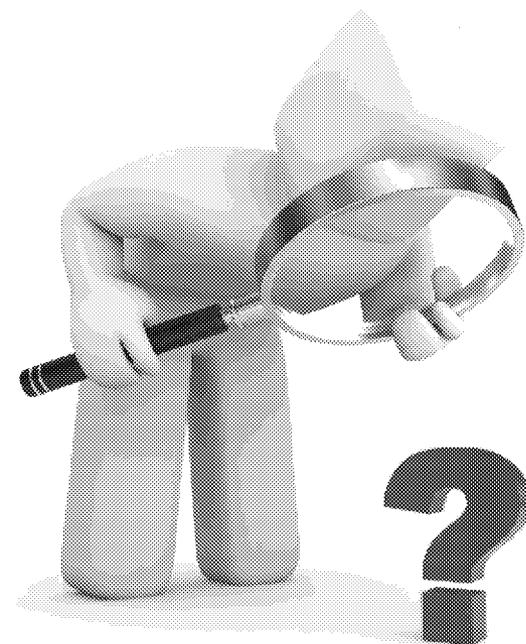
# What Is A “Straw Purchase?”

- The illegal purchase of a firearm by one person on behalf of another.
- Actual buyer may or may not be prohibited.
- “Actual buyer” selects firearm, pays for firearm, takes custody of firearm, etc.
- “Straw Purchaser” completes paperwork.
- May be firearm trafficking or single purchase.
- Gifts are NOT straw purchases.



# Common Indicators

- Bulk purchases or repetitive purchases of same or similar firearms especially “non-collectibles”.
- Structuring purchases to avoid MS reporting.
- Purchase made with new identification.
- No previous purchases but now frequent buying.
- No haggling or questions on price.
- Paying with large amount of cash.
- Apparent drug-abuser.



# Common Indicators (Cont'd)

- Arriving in car with out-of-state license plate.
- Attempts to conceal conversation from FFL.
- “Scouting” of firearm by person with purchaser.
- Taking/sending cell phone photos of firearms.
- Talking on telephone while looking at firearms.
- Avoids engaging in conversation with FFL or is evasive when asked questions.
- Travels an illogical distance to purchase.

# Common Indicators (cont'd)

- Reluctance of apparent buyer to complete paperwork.
- Attempted purchase of firearm from recent denial.
- Purchaser has little or no knowledge about firearms.
- Purpose inconsistent with firearm purchased
  - Deer hunting with .22-caliber.
- Customer inconsistent with firearm purchased
  - Small-framed person buys large pistol.
  - Person with no apparent income buys expensive firearm.

# What Can You Do?

- Ask Questions,
- Ask More Questions,
- Ask Even More Questions!!!



# What Can You Do (Cont'd)?

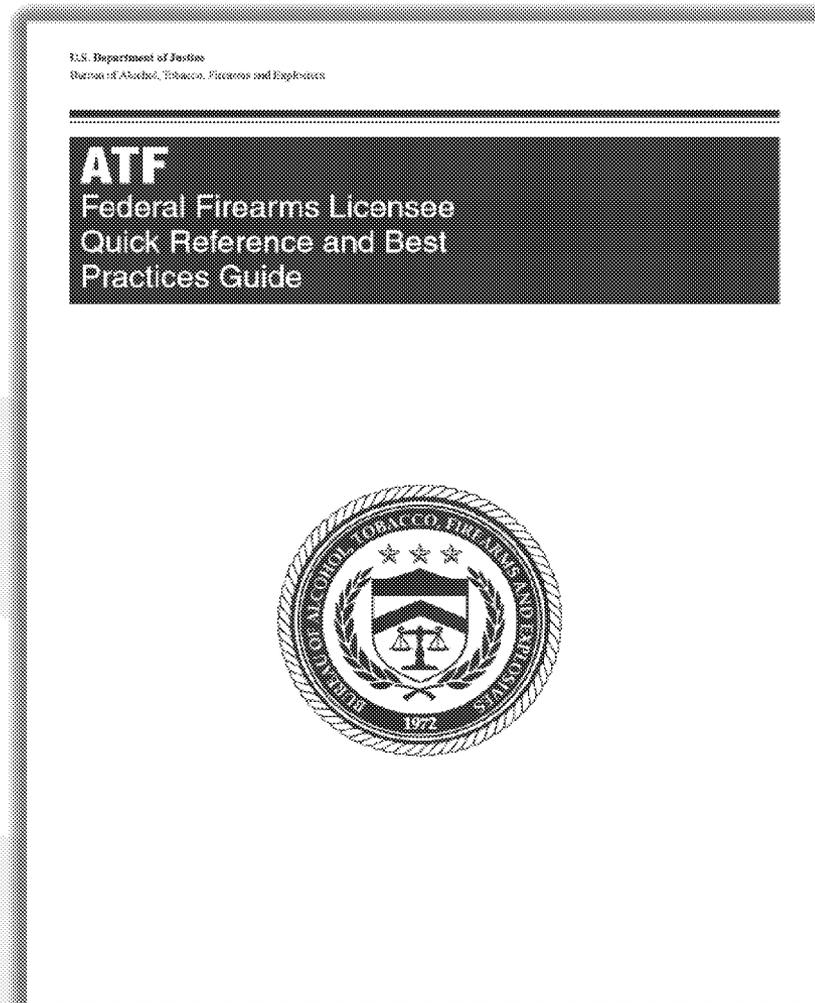
- Educate your employees on recognition and prevention.
- Get to know your customers
  - Engage with your customers.
  - Ask questions.
- Trust your instincts.
- Maintain complete records
  - 4473.
  - Multiple Sale Reports.
- Report suspected straw purchasers.

# What Can You Do (Cont'd)?

## Decline the Sale

- There is no legal obligation to complete a sale.
- If you feel the transaction may not be legitimate, you may decline the sale.
- If you have reasonable cause to believe it is not legitimate, you must decline the sale.

# FFL Quick Reference and Best Practices Guide – Revised December 2021



**(b)(6)/(b)(7)(C)**

ATF/FFL Liaison Specialist

FBI/CJIS Division

NICS Business and Liaison Unit



# NICS 101

# NICS E-Check

# NICS Federal Firearms

# Licensee (FFL) Resources



Presented by:

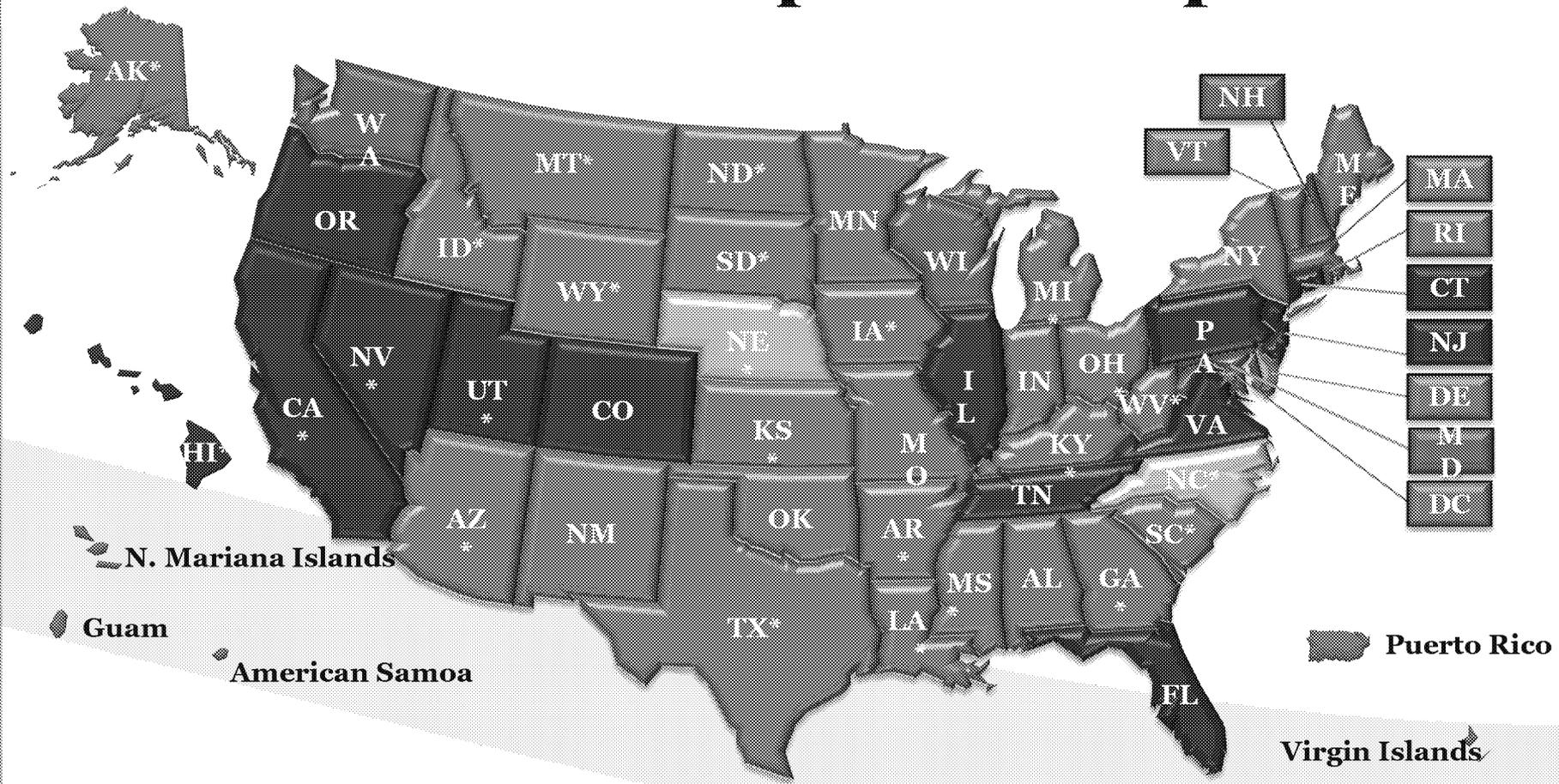
**(b)(6)/(b)(7)(C)**

# NICS Liaison Specialists

Federal Bureau of Investigation  
Criminal Justice Information Services Division

National Instant Criminal Background  
Check System (NICS) Section

# NICS Participation Map



<b>37 Non Point-of-Contact (POC) States</b>
Federal Firearms Licensees (FFL) contact FBI for all firearm background checks
<b>13 Full POC States</b>
FFLs contact state for all firearm background checks

<b>4 Partial POC States</b>
FFLs contact state for handguns, and contact FBI for long gun background checks
<b>2 Partial POC States</b>
State-issued handgun permit is used for handguns, and FFLs contact FBI for long gun background checks

\*25 Bureau of Alcohol, Tobacco, Firearms and Explosives Qualified Alternate Permits issued by

**Please refer to the latest Permanent Brady Permit Chart for specific permit details.**

[www.atf.gov/rules-and-regulations/permanent-brady-permit-chart](http://www.atf.gov/rules-and-regulations/permanent-brady-permit-chart)

# NICS Process



- Indiana FFLs contact the NICS Section for all firearm background checks.
- Exceptions: If the purchaser has a valid ATF approved permit, the FFL may choose not to contact the NICS Section.

U.S. Department of Justice  
Bureau of Alcohol, Tobacco, Firearms and Explosives

0203 (Rev. 11-05-02) **Firearms Transaction Record**

**WARNING:** The information you provide will be used to determine whether you are prohibited by Federal or State Law from receiving firearms or whether Federal or State Law prohibits the sale or disposition of a firearm to you. Certain violations of the Gun Control Act, 18 U.S.C. § 922 et seq., are punishable up to 11 years imprisonment and/or up to a \$20,000 fine. Any person who exports a firearm without proper authorization from either the Department of Commerce or the Department of State, as applicable, is subject to a fine of up to \$100,000 and up to 20 years imprisonment.

**Read the Notes, Instructions, and Definitions on this form. Progress is original only at the licensed premises (including business temporarily conducted from a qualifying port of call or cruise in the same State in which the transaction is conducted) unless the transaction qualifies under 18 U.S.C. § 922(r). All entries must be handwritten in ink unless completed under ATF Rule 2014-2. PLEASE PRINT.**

**Section A - Must Be Completed By Transferor/Seller Before Transferee/Buyer Completes Section B**

1. Manufacturer and Importer (if any), or Privately Made Firearm (PMF) (if the Manufacturer and Importer are different, include both.)	2. Model (if designated)	3. Serial Number	4. Type	5. Caliber or Gauge
1.				
2.				
3.				

6. Total Number of Firearms to be Transferred (Please spell total number e.g., ten, two, etc. Do not use numerals.)

7. Check if any part of this transaction is a gun restoration.

8. Check if any part of this transaction is to facilitate a private party transfer.

**Section B - Must Be Completed Personally By Transferee/Buyer**

9. Transferee/Buyer's Full Name (If legal name contains an initial only, record the initial followed by "CF" in quotes. If no middle initial or name, record "N/A.")  
Last Name (including suffix, e.g., Jr, Sr, II, III) First Name Middle Name

10. Current State of Residence and Address (U.S. postal abbreviations are acceptable. Cannot be a post office box.)  
Number and Street Address City State ZIP Code Country/Postal Borough  
Resides in City Limits?  Yes  No  Unknown

11. Place of Birth (U.S. City and State) -OR- Foreign Country U2. Height (ft. in) U3. Weight (lbs.) U4. Sex (Male, Female, Non-Binary) U5. Birth Date (Month, Day, Year)

16. Social Security Number (optional, but will help prevent assistance misuse) U7. Unique Personal Identification Number (UPIN) or Appropriate Management Database Identification (AMDI ID) (if applicable)

18a. Ethnicity  Hispanic or Latino  American Indian or Alaska Native  Black or African American  White  Not Hispanic or Latino  Asian  Native Hawaiian or Other Pacific Islander

19. Country of Citizenship (Check all that apply. If none, then one, if applicable. Residents of the United States may check U.S.A.)  
 United States of America (U.S.A.)  Other Country/Countries (Specify):

20. If you are an alien, record your U.S.-issued alien or admission number (AOR, USA 766, or P444).

21. Answer the following questions by checking or marking either the "yes" or "no" box to the right of the questions.

Question	Yes	No
a. Are you the actual transferor/buyer of all of the firearms listed on this form and any continuation sheets? (ATF Form 5300.9A-1) <b>Warning: You are not the actual transferor/buyer if you are acquiring any of the firearms on behalf of another person. If you are not the actual transferor/buyer, the licensee cannot transfer any of the firearms to you. Exception: If you are only picking up a regulated firearm for another person, you are not required to answer 21 a, and may proceed to question 21 b.</b>	<input type="checkbox"/>	<input type="checkbox"/>
b. Do you intend to purchase or acquire any firearms listed on this form and any continuation sheets, or non-ammunition, for sale or other disposition to any person described in questions 21(c)-(e), or to a person described in question 21 a.1 who does not fall within a nonprohibited alien exception?	<input type="checkbox"/>	<input type="checkbox"/>
c. Do you intend to sell or otherwise dispose of any firearms listed on this form and any continuation sheets, or non-ammunition in furtherance of any felony or other offense punishable by imprisonment for a term of more than one year, a Federal crime of terrorism, or a drug trafficking offense?	<input type="checkbox"/>	<input type="checkbox"/>
d. Are you under indictment or information in any court for a felony, or any other crime for which the judge could impose a gun for more than one year, or are you a current member of the military who has been charged with violations of the Uniform Code of Military Justice and whose charges have been referred to a general court-martial?	<input type="checkbox"/>	<input type="checkbox"/>
e. Have you ever been convicted in any court, including a military court, of a felony, or any other crime for which the judge could have imprisoned you for more than one year, even if you received a shorter sentence (including probation)?	<input type="checkbox"/>	<input type="checkbox"/>

Page 1 of 7 STAPLE IF PAGES BECOME SEPARATED

ATF Form 4473 (10-09-09) Revised 10 November 2022

# NICS Process



## NICS E-Check

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

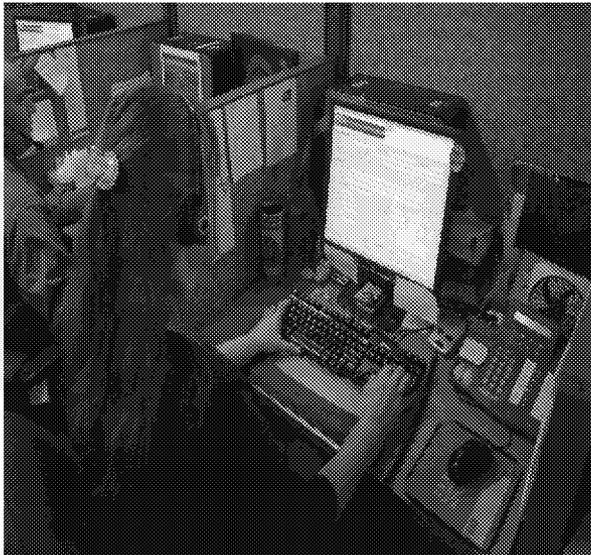


**NICS Contracted  
Call Center  
1-877-324-6427  
(FBI-NICS)**

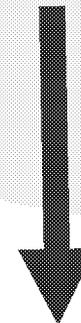
# NICS Process



## At the NICS Contracted Call Centers



- **No Hits—INSTANT PROCEED**
- **Disqualifying Record—INSTANT DENY**
- **Hit in any database**



- **NICS Transaction Number (NTN) and the Brady Transfer Date provided.**

# NICS Process

## Using NICS E-Check



- **No Hits—INSTANT PROCEED**
- **Disqualifying Record—INSTANT DENY**
- **Hit in any Database—Researching**

Refresh

NTN	Subject Name	Created Date	Submit User	Brady Transfer Date	Expiration Date	Status	Print?	Status Retrieval
1HPRJCBXK	MICKY MOUSE	Jun 18, 2019 9:55:34 AM	nicz.liaison	6/22/2019	7/18/19 9:55 AM	Denied	Print Details	Review Status
1HPRJCBX6	DARTH VADER	Jun 18, 2019 9:52:39 AM	nicz.liaison	6/22/2019	7/18/19 9:52 AM	Delayed	Print Details	Review Status
1HPRJCBWV	EUGENE QTEST	Jun 18, 2019 9:51:07 AM	nicz.liaison	6/22/2019	7/18/19 9:51 AM	Denied	Print Details	Review Status
1HPRJCBW2	CHARLIE BUCKET	Jun 18, 2019 9:49:51 AM	nicz.liaison	6/22/2019	7/18/19 9:49 AM	Proceed	Print Details	Review Status
1HPRJCS2N	DANN TIGER	Jun 13, 2019 8:32:13 AM	NICS INITIATED	6/19/2019	7/13/19 8:32 AM	Cancelled	Print Details	Review Status
1HPRJ81KH	Ron Ron Test	May 22, 2019 10:11:16 AM	NICS INITIATED	5/28/2019	6/21/19 10:11 AM	New	Print Details	Review Status
1HPRJ81K4	Ron for test	May 22, 2019 10:05:04 AM	NICS INITIATED	5/28/2019	6/21/19 10:05 AM	New	Print Details	Review Status
1HPRJ938C	Eugene C Qtest	Apr 29, 2019 7:03:02 AM	NICS INITIATED	5/3/2019	5/29/19 7:03 AM	Expired	Print Details	Review Status
1HPRJ7BMP	micky mouse	Apr 11, 2019 4:02:02 PM	NICS INITIATED	4/17/2019	5/11/19 4:02 PM	Open	Print Details	Review Status
1HPRJ774C	Eugene C Qtest	Apr 11, 2019 8:49:22 AM	NICS INITIATED	4/17/2019	5/11/19 8:49 AM	Open	Print Details	Review Status

# NICS Process

## Using NICS E-Check

- **No Hits—INSTANT PROCEED**
- **Disqualifying Record—INSTANT DENY**
- **Hit in any Database—Researching**



### E-Check Transactions

NTN	Subject Name	Created Date	Submit User	Brady Transfer Date	Expiration Date	Status	Print?	Status Retrieval
FPPJHFC	test, test	Feb 28, 2023 12:14:22 PM	scrumbledore.single	3/4/2023	3/30/23 1:14 PM	Denied	<a href="#">Print Details</a>	<a href="#">Retrieve Status</a>

# Types of Records Searched by **NICS**

## Interstate Identification Index (III)

### Criminal Records

**85,642,745**

As of 2/28/23

## National Crime Information Center (NCIC)

- Wanted Persons
- Protection Orders
- Immigration Violators
- Protective Interest File
- Foreign Fugitive
- Supervised Release
- National Sex Offender Registry
- Gang File
- Threat Screening Center File
- Violent Person File

**7,356,816 Records**

As of 2/28/23

## NICS Indices

- Convictions punishable by imprisonment for a term exceeding one year
- Indictments for crimes punishable by imprisonment for a term exceeding one year
- Fugitives from justice
- Unlawful controlled substance users/addicts
- Mental health adjudications/involuntary commitments
- Illegal or unlawful aliens or aliens admitted to the United States under nonimmigrant visas
- Dishonorable discharges
- U.S. citizen renunciant
- Protection orders restraining harassing, stalking, or threatening an intimate partner or child of such intimate partner
- Convictions of misdemeanor crimes of domestic violence
- State firearm prohibitions
- State firearm permit prohibitions

**28,870,508 Records**

As of 2/28/23

## Department of Homeland Security's U.S. Immigration and Customs Enforcement (ICE)

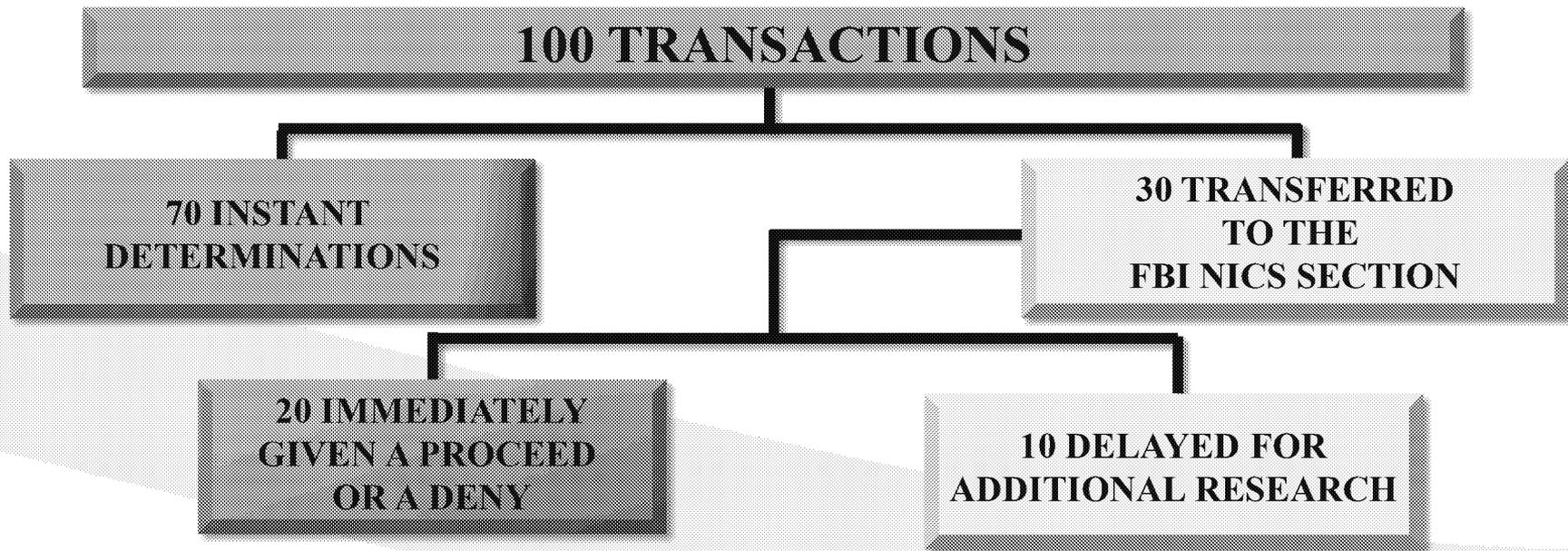
ICE databases are searched to obtain the current immigration status with all transactions initiated for non-U.S. citizens.

# NICS Metrics

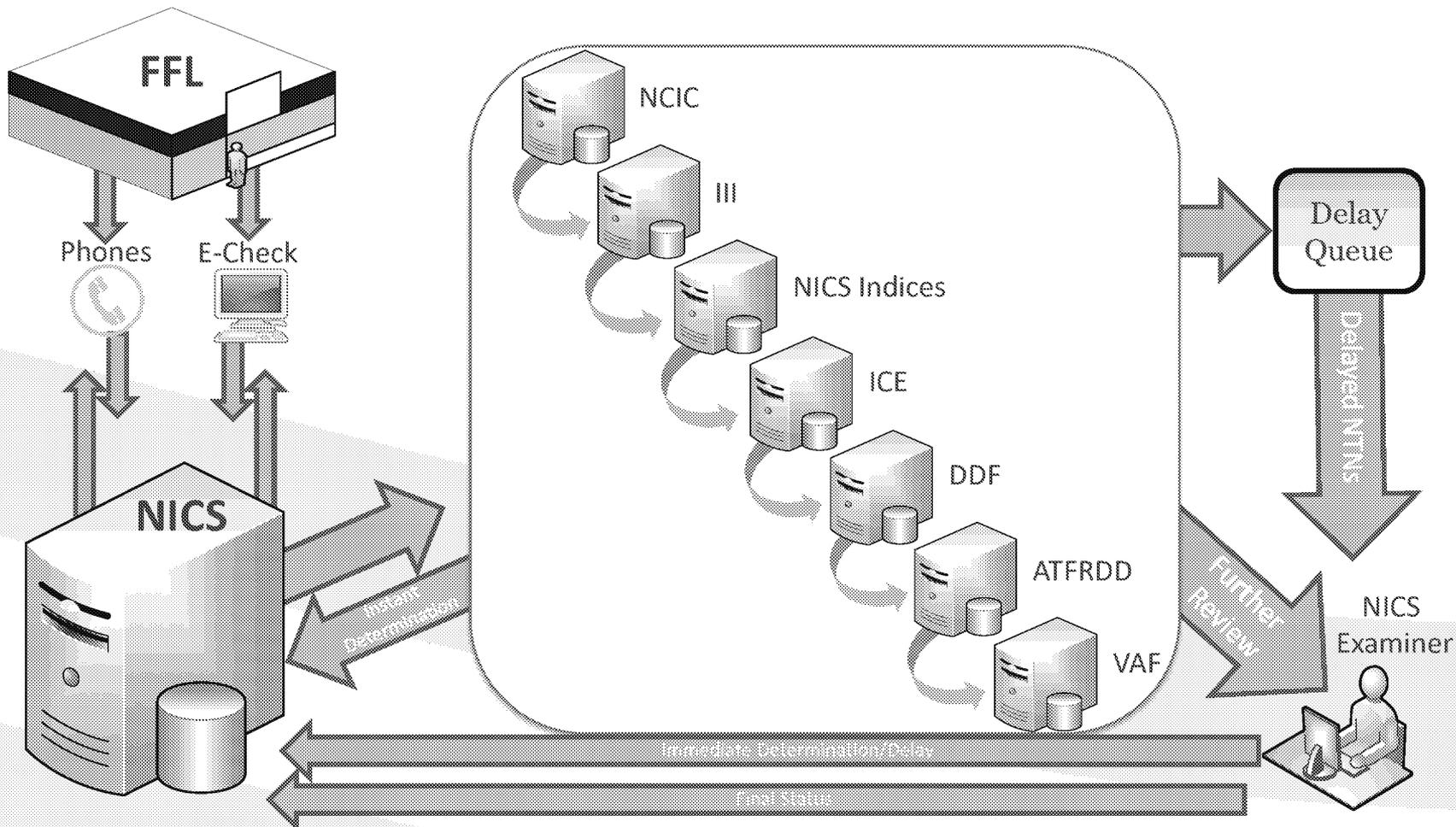
As of February 28, 2023

	Calendar Year (CY) 2023	Program to Date (PTD)
State Permit Transactions	2,503,292	166,659,131
State Firearm Transactions	1,131,875	109,184,263
Federal Transactions--NICS Section	1,604,361	172,568,834
Total NICS Transactions	5,239,528	448,412,228
NICS E-Check	1,442,016	74,814,311
Federal Immediate Proceeds	1,409,679	150,794,514
Federal Denials	19,185	2,190,557

# A Sampling of NICS Transactions



# A Sampling of NICS Transactions





# Federal Prohibitions

## Gun Control Act of 1968;

### Title 18, United States Code (U.S.C.), Section 922

The federal firearm prohibitions apply to any person who:

- (g)(1) Has been convicted of a crime punishable by imprisonment for a term exceeding one year (or a misdemeanor crime punishable by imprisonment over two years)
- (g)(2) Is a fugitive from justice
- (g)(3) Is an unlawful user of or addicted to any controlled substance
- (g)(4) Has been adjudicated as a mental defective or committed to a mental institution
- (g)(5) Is an alien and is illegally or unlawfully in the United States
- (g)(6) Has been discharged from the Armed Forces under dishonorable conditions
- (g)(7) Has renounced their U.S. citizenship
- (g)(8) Is subject to a qualifying protection/restraining order
- (g)(9) Has been convicted in any court of a misdemeanor crime of domestic violence
- (n) Is under indictment/information for a crime punishable by imprisonment for a term exceeding one year

# Voluntary Appeal File (VAF) ~~VAATF~~

## Successful Applicants

- Potential purchaser receives a Unique Personal Identification Number (UPIN)
- UPIN is a six- or eight-digit alphanumeric number (V01ABC) given to successful VAF applicants
- UPIN is used on all future firearm purchases (Box 17 of the ATF Form 4473)
- Questions: Biometric Customer Service Group at (304) 625-5590 or [Identity@fbi.gov](mailto:Identity@fbi.gov)

# NICS Resolution Card

PROTECTING THE PUBLIC  
SERVING OUR NATION

U.S. Department of Justice  
Federal Bureau of Investigation  
Criminal Justice Information Services Division



## Deny

The National Instant Criminal Background Check System (NICS) is a descriptor-based name search. If you believe you have been **erroneously denied** you may submit a request to challenge the deny decision.

The agency which processed your NICS transaction is required to have a challenge process. You may challenge through the **denying agency**, the state or local agency that processed your transaction, or, you may submit your challenge to the FBI Criminal Justice Information Services (CJIS) Division.

### You may:

- 1) Request the reason for your firearm-related denial
- 2) Challenge the reason for your firearm-related denial

### Please Visit:

<https://www.edo.cjis.gov>

For customers without Internet access, you may mail a request to the address listed below:

FBI CJIS Division  
Attention: CHAT 1  
BTC3  
1000 Custer Hollow Road  
Clarksburg, WV 26306

### The challenge submission must include:

- ✓ NICS Transaction Number (NTN)
- ✓ Your full name
- ✓ Your complete mailing address

Providing a set of your rolled fingerprints prepared by law enforcement, or authorized fingerprinting agency, is highly recommended to help expedite your challenge.

The CJIS Division cannot release the reason for a deny over the phone.

NICS Transaction Number (NTN):

[NTN Required to Challenge]

August 2019

U.S. Department of Justice  
Federal Bureau of Investigation  
Criminal Justice Information Services Division



## Delay

The National Instant Criminal Background Check System (NICS) is a descriptor-based name search. If you are experiencing an **extended delay**, you may explore the options below.

### Resolution options include:

- 1) Identity History Summary Check:  
Visit [www.fbi.gov/checks](http://www.fbi.gov/checks).
- 2) Identity History Summary Challenge:  
Visit [www.fbi.gov/checks](http://www.fbi.gov/checks).
- 3) Voluntary Appeal File: Visit the NICS website at <https://www.fbi.gov/file-repository/vaf-form-25.pdf/view>.

### Please Visit:

<https://www.edo.cjis.gov>

**PLEASE NOTE:** The CJIS Division will not process challenges for delay decisions.

The CJIS Division cannot release the reason for a delay over the phone.

NICS Transaction Number (NTN):

[NTN Required to Challenge]

August 2019

fbi.gov/nics-fil

fbi.gov/nics-fil

# NICS FFL Web site



PROTECTING THE PUBLIC  
SERVING OUR NATION

## <https://www.fbi.gov/nics-ffl>

### What to do as a New FFL

#### Enroll and Learn Your Responsibilities

- FFL Enrollment Instructions
- FFL/NICS E-Check Enrollment Form
- NICS FFL Quick Reference Guide

#### Get NICS Resolution Cards

- NICS Resolution Card
- NICS Resolution Card Online Order Form

#### Subscribe to NICS Updates

- Subscribe to NICS Updates
- Unsubscribe to NICS Updates
- Change an E-Mail Address Already on File

#### Update Your Contact Information

- Update your FFL contact information (telephone, hours, e-mail, fax)

#### Use NICS E-Check

- NICS E-Check
- NICS E-Check Video Tutorials

### FFL Reference Materials

#### FFL Manual and Help

- Ask the NICS Section for Assistance
- Country Abbreviations for NICS E-Check Searches
- NICS Federal Firearms Licensee Manual
- NICS Participation Map

#### Firearm-Related Challenges/Voluntary Appeal File

- Appeals (Firearm-Related Challenges)
- Voluntary Appeal File Process

#### Non-U.S. Citizens Purchasing a Firearm

- Guide to Selected U.S. Travel and Identity Documents
- Tip Sheet for Non-U.S. Citizens Purchasing a Firearm
- Where to Locate Alien Numbers for ATF Form 4473

#### ATF Resources

- ATF Website
- ATF Form 4473 Effective Nov. 1, 2020
- ATF Federal Firearms Regulation Reference Guide
- State Laws and Published Ordinances
- Firearm Permit Information

# Ask the NICS Section for Assistance

▼ Assistance Issues

Processing issues the NICS Section will address include:

Unlocking E-Check Accounts

Obtaining or Resetting E-Check Passwords

Issues with E-Check Enrollment

General E-Check Customer Service

Cancelling a NICS Transaction Number

Receiving a Status on a Disconnected Call

Verifying the Transfer of a Firearm

FFL Code Word Issues

Appeal Re-Checks

Initial NICS Enrollment Inquiries

Answering Non-U.S. Citizen Inquiries

Federal Firearms Licensees: In an effort to avoid lengthy hold times or  
After completing the form below, your quest

\*Please Note: T

**(b)(6)/(b)(7)(C)**

\*Please Note: The NICS Section will not respond to submissions falling outside the inquiry types listed above.

**(b)(6)/(b)(7)(C)**

**(b)(6)/(b)(7)(C)**

# New E-Check users

**[www.nicsezcheckfbi.gov](http://www.nicsezcheckfbi.gov)**

1. Register to use the NICS E-Check
  2. Complete the NICS E-Check Enrollment Form and return it to the NICS Section
- ~access with your username and passphrase



# FBI NICS E-Check

## FBI NICS E-Check Welcome Page

[Log on to the FBI NICS E-Check](#)

[Reset FFL Password/Challenge Questions](#)

[Register to use the FBI NICS E-Check](#)

[Access the FBI NICS E-Check Help Pages](#)

[Get the FBI NICS E-Check Enrollment Form](#)

[Ask the FBI NICS for Assistance](#)

[Contact Information for the FBI NICS E-Check](#)

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[NICS Statistical and Program Information](#)

ATF - Bureau of Alcohol, Tobacco, Firearms and Explosives

# Register to Use to FBI NICS E-Check

**FBI NICS E-Check - Registration**

E-Check Registration **NEW**

1. Select Enrollment Type    2. Enter FFL Info    3. Enter Contact Info    4. Review Enrollment    5. Sign Request

**Select Enrollment Type**

Select Enrollment Type

Enrollment Type\*

FFL Only

FFL and ECheck

Cancel    Continue

Registration    vetting

**Useful Links**

- E-Check User Guide
- Terms and Conditions
- Privacy Policy
- FFL Enrollment / NICS E-Check Enrollment Form

For more information see the Useful Links above

# Mobile Friendly NICS E-Check

Ivan ECI Hear

- Change Password
- Switch apps >
- Change Store
- Log off

NICS 14.03.50  
NICS ECheck 14.03.50

Refresh Time

**Processes**

- Check NTN Status
- FFL User - Create
- NTN History Query
- Submit a Search Request - E.C.
- User Accounts - Maintain

**FFL Information**

FFL ID	367999019B56789
License	SHOOTERS
Address Line 2	---
State	West Virginia

# Select Your Process

111 testuser

NICS Refresh

Refresh Time:

FFL Information			
FFL ID	101000015801212	FFL Code Word	test
Business Name		License	PerformanceARMS
Address Line 1	451 Lavern st.	Address Line 2	
City	Georgetown	State	South Dakota
Phone number		Zip	20011
FFL RES KEY	10101212		

**Common Links**

**Information**

- Help Pages
- Training Services User Manual
- NICS Statistical and Program Information

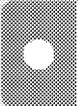
**Processes**

▼ Processes

- Check NTN Status
- FFL User - Create
- NTN History Query
- Submit a Search Request - E.C.
- User Accounts - Maintain

# Internet and Mobile Friendly ~~NICS~~ NICS E-Check

**NICS ECheck on Cosmos 18.02.01**



Last login 02/28/2023 at 11:43:24 EST  
Your password will expire in unknown days

**FFL information**

FFL ID	FFL RDS Key
367111019B17130	36717130
License	Contact Hours
WV PAWN FFL	----
Address Line 2	Phone number
----	2707266686
State	Zip
West Virginia	422760000

Switch Apps >

- NICS 18.03.01
- NICS ECheck 18.03.01
- NICS ECheck on Cosmos 01.01.01 (Dev)
- NICS ECheck on Cosmos 18.02.01

# Select Your Process

 <b>NICS ECheck on Cosmos 18.02.01</b>	<b>01</b>
 <b>Processes</b> <ul style="list-style-type: none"> <li>Check NTN Status</li> <li>FFL User - Create</li> <li>NTN History Query</li> <li>Submit a Search Request - E.C.</li> <li>User Accounts - Maintain</li> </ul>	<p>4 EST known days</p>
 <b>Home</b>	<p>FFL RDS Key 36717130</p>
 <b>Links</b>	<p>Contact Hours --</p>

# Submit a Search Request

Subject Information

## 9. Transferee's/Buyer's Full Name

Last Name \*

First Name \*

Middle Name \*

Suffix (E.g. Jr., Sr., and III)  
Select...

Initial Only (IO)

No Middle Name (NMN)

## 10. State of Residence

## 11. Place of Birth \*

## 12. Height

Example: 506

## 13. Weight

Example: 125

## 14. Sex \*

Select...

## 15. Birth Date \*

No slashes necessary when using yyyy

## 16. Social Security Number

Example: XXXXX-XX-XXXX

## 17. UPIN / AMD ID

Back

Continue

Enter Race and Ethnicity

## 18.a. Ethnicity \*

- Is Hispanic or Latino
- Is Not Hispanic or Latino
- Value cannot be blank

## 18.b. Race \*

- Asian
- Black or African American
- American Indian or Alaskan Native
- Native Hawaiian or Other Pacific Islander
- White

## 19. Country of Citizenship

Citizenship Status \*

Select...

Country of Citizenship 1

Country of Citizenship 2

Country of Citizenship 3

## 21.I.2. Non-Immigrant With Visa Exception

Select...

Back

Continue

# Submit a Search Request

Additional Information

20/26.a. Miscellaneous Number(s)

Type	Number
Select...	

Select...	
-----------	--

24. Transaction Purpose(s)

13 - Test	<input type="checkbox"/>
-----------	--------------------------

Miscellaneous Information (For E-Check User Notes – Not monitored by the FBI's NICS Section)

Contact Information

Contact Name	<input type="text"/>	Contact Phone	<input type="text"/>
Callback Hours	<input type="text"/>		

Back

Continue

Verify Search Information

Please verify the search information provided.

Last Name

First Name

Middle Name

Suffix (Dr., Sr., and III)  
Select...

No Middle Name (NMN)

Back

Finish

Submit a Search

# Submit a Search Request

## Verify Search Information

**Verify Search Information**

Subject Data      Race and Ethnicity      Additional Info      Verify

---

9. Transferor's/Buyer's Full Name

Last Name test	First Name test	Middle Name NMN False Initial Only (IO)  True No Middle Name (NMN)	Cadence (e.g., jr., Sr., and III) ---
-------------------	--------------------	--	--

10. State of Residence  
WV

11. Place of Birth  
WV

12. Height  
---

13. Weight  
---

14. Sex  
Female

15. Birth Date  
1/1/1901

16. Social Security Number  
---

17. UPI# / AMD ID  
---

18.a. Ethnicity  
Is Not Hispanic or Latino

18.b. Race\*  
True White

19. Country of Citizenship  
Citizenship (Status)  
Citizen

21.a.2. Non-immigrant With Visa Exception  
---

2025 a. Miscellaneous Number(s)  
Miscellaneous Number Type      Miscellaneous Number Field  
Air Force Serial Number      12345678

24. Transaction Purpose(s)\*  
1 - Sale of hand gun

Miscellaneous Information (For E-Check, User Notes - Not monitored by the FBI's EACS System)      Contact Name      Contact Phone  
---      ---      ---

Feedback Hours  
---

**Verify Search Information**

Please verify the search information provided.

Last Name\*      First Name\*      Middle Name\*      Cadence (e.g., Jr., Sr., and III)  
                 

Initial Only (IO)  
 No Middle Name (NMN)

# Change Password



PROTECTING THE PUBLIC  
SERVING OUR NATION

User Accounts - Maintain

- Account
- Review
- Reserve
- Change Password

Comments Information

Review

Account Information Access Numbers Change Password

Personal Information

External User ID

5 g e r i a n

Locked

None

Suspended

None

First Name

S



ffl.testing

Change Password

Change Store

Log off

Refresh Time  
Jun 25 2021 05:12:42 PM

### Processes

Check NTN Status

FFL - Inquiry

FFL User - Create

NTN History Query

Submit a Search Request - E.C.

### FFL Information

FFL ID 8849260

License

Address Line 2

State

# Change Password



Last login 11/29/2018 at 12:22:15 EST  
Your password will expire in 180 days

WCS818.0

User Accounts - Maintain **REGISTRATION COMPLETE**

- Active
- Cancel
- Respond/Edit

Review

Comments Information

User Accounts

Account Information Access Numbers **Change Password**

Personal Information

External User ID  
echeck.test4

Locked  
False

Suspended  
False

User Information

First Name  
echeck

Middle Name  
.....

Last Name  
test

Cadence  
.....

Date of Birth  
8/21/1961

Email  
NOTREAL@NOTREAL

Phone Number  
.....

Time Zone

## Processes

▼ Processes

- Check NTN Status
- FFL User - Create
- NTN History Query
- Submit a Search Request - E.C.
- User Accounts - Maintain



# Change Password



PROTECTING THE PUBLIC  
SERVING OUR NATION

Last login: 1/29/2018 at 12:22:15 EST

Your password will expire in 180 days

schack, test

1/29/2018 12:22:15 EST

My Accounts

My Accounts

ECHECK.TEST4

User Accounts - Maintain

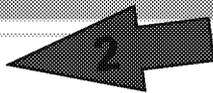
ATF Home



Account Information

Access Numbers

Change Password



Password Information

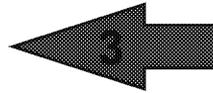
### Password Requirements:

1. You may not reuse your previous ten passwords
2. No more than two (2) consecutive identical characters
3. Must be at least 12 characters in length
4. Must be composed of at least three of the following character classes
  - Upper case letters
  - Lower case letters
  - Numbers
  - Any of the following Special Characters: ! # \$ % ? (To help ensure a successful password change you must not use special characters other than the five listed)

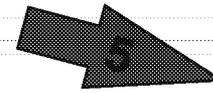
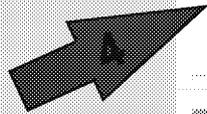
Old Password

New Password

Confirm Password



Change Password



Cancel

Submit



# Federal Prohibitions

## Gun Control Act of 1968;

### Title 18, United States Code (U.S.C.), Section 922

The federal firearm prohibitions apply to any person who:

- (g)(1) Has been convicted of a crime punishable by imprisonment for a term exceeding one year (or a misdemeanor crime punishable by imprisonment over two years)
- (g)(2) Is a fugitive from justice
- (g)(3) Is an unlawful user of or addicted to any controlled substance
- (g)(4) Has been adjudicated as a mental defective or committed to a mental institution
- (g)(5) Is an alien and is illegally or unlawfully in the United States**
- (g)(6) Has been discharged from the Armed Forces under dishonorable conditions
- (g)(7) Has renounced their U.S. citizenship
- (g)(8) Is subject to a qualifying protection/restraining order
- (g)(9) Has been convicted in any court of a misdemeanor crime of domestic violence
- (n) Is under indictment/information for a crime punishable by imprisonment for a term exceeding one year

# Checks on Non-U.S. Citizens

**For NICS purposes, there are three classifications of aliens:**

1. Illegal/Unlawful Alien
2. Immigrant Alien
3. Nonimmigrant Alien



# CBP Web site www.CBP.gov



CBP.gov - home page x



## U.S. Customs and Border Protection

*Securing America's Borders*

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[Newsroom](#)

[Border Security](#)

[Trade](#)

**NEED YOUR I-94 NUMBER?**

**ACCESS ARRIVAL/DEPARTURE RECORD**

# Checks on Non-U.S. Citizens

## NONIMMIGRANT VISA REQUIREMENTS FOR A NICS CHECK

- If the subject is a nonimmigrant alien admitted to the United States under a nonimmigrant Visa (Yes to Question 21.n.1 on the ATF Form 4473), a valid nonimmigrant exception MUST be provided.
- ✓ Questions 21.n.2 and 26d on the ATF Form 4473

# Checks on Non-U.S. Citizens

## IMPORTANT THINGS TO REMEMBER

- All non-U.S. citizens have an alien number for Question 20. There are no exceptions for firearm purchases.
- All nonimmigrants admitted to the United States under a Visa are required to have an exception, i.e., valid hunting license.
- Verify the alien number when possible—an incorrect number will result in a deny.
- When providing an alien number to the NICS operator, indicate “AR/USCIS” (9 numerical digits) or “I-94” (11 numerical digits).

# The NICS E-Check



## Benefits

- Added customer protection against identity theft
- Added protection of FFL license number and code word
- No hold times waiting for the call center
- Ability to check the status of an NTN 24/7
- Notification of a change in status



# Select Access Number **ATF**

PROTECTING THE PUBLIC  
SERVING OUR NATION

## (FFL RDS Key—"first 3, last 5")

NICS Refresh

Refresh Time

Please select your Access Number. Double-Click a row in order to view more details.

RDS Key	License Name	Business Name	Store ID
10101211	PerformCDE		<input type="button" value="Select"/>
10101211	PerformCDE		<input type="button" value="Select"/>

**Common Links**

Help Pages

Training Services User Manual

RDS Statistical and Program Information

Available FFLs

RDS Key	License Name	Business Name	Store ID
10101211	PerformCDE		<input type="button" value="Select"/>

**FFL Information**

FFL ID	101000015801211	FFL RDS KEY	10101211
Business Name		License Type	Regular FFL
Address Line 1	919 fifty st	Address Line 2	
City	compton	State	South Carolina
Store ID			



# Select Access Number **ATF**

PROTECTING THE PUBLIC  
SERVING OUR NATION

## (FFL RDS Key—"first 3, last 5")

### Please select your Access Number ✕

**Instructions**

Please select your Access Number. Double-Click a row in order to view more details

Page 1 of 4

	RDS Key	License Name	Business Name	Store ID	
>	36702000	LT SEVEN	LT SEVEN	---	Select
>	31131120	merging again	---	---	Select
>	36703322	LT 98	LT 98	---	Select
>	45521496	OLD DOG	NEW TRICKS	---	Select
>	12312396	test	---	---	Select

# The NICS E-Check

- Google Chrome/Microsoft Edge
- Internet Explorer/Mozilla Firefox
- Password Autofill
- Bookmark
  - [www.nicsezcheckfbi.gov](http://www.nicsezcheckfbi.gov)

# The NICS E-Check Enhancements

- Safer Communities Act
  - Under 21 enhanced checks
  - Dating Relationship
- NICS Denial Notification Act
- State age limit banner notification
- Self-reset and unlock for personal passphrase or challenge questions
- E-mail notification for status changes
- Mobile Device mode

# The NICS E-Check Future Enhancements

- Safer Communities Act
  - Firearm Handler Checks
  - Gun File access
- Elimination of challenge questions for E-Check users

# Important Dos and Don'ts to Improve Your NICS Experience

- Do check your NTN statuses daily on NICS E-Check.
- Do not initiate a check on the NICS E-Check if you have already called in a check to the call center.
- Do provide as much descriptive information as possible during your searches.
- Do remember your FFL number and code word.
- Change FFL code word periodically.
- If you change your contact phone number, notify the ATF at <FFLC@atf.gov>.
- Do record the status on the ATF form 4473 even if you printed the results of the transaction from the NICS E-Check.



# NICS Section Contact Information

(b)(6)/(b)(7)(C) Liaison Specialist

(b)(6)/(b)(7)(C)



(b)(6)/(b)(7)(C) Liaison Specialist

(b)(6)/(b)(7)(C)



(b)(6)/(b)(7)(C) Liaison Specialist

NICS Business Relations Team

NICSLiaison@fbi.gov

Lieutenant (b)(6)/(b)(7)(C)  
Lieutenant (b)(6)/(b)(7)(C)  
Indiana State Police

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

- Download forms
- FAQs
- Publications
- Industry Updates
- State Laws and Published Ordinances

## Email Updates

Subscribe to receive news and update from the Bureau of Alcohol, Tobacco, Firearms and Explosives

*\* Enter Email Address*

**Submit**

Chicago Field Division  
Merrillville Field Office

**(b)(6)/(b)(7)(C)**

THANK YOU!