

Table of Contents

CHAPTER 1: <i>Introductory Principles and Explanations</i>	1
Primary Sources of Federal Firearm Laws	1
<u>National Firearms Act</u>	1
<u>Gun Control Act</u>	2
<u>Arms Control and Disarmament Act of 1961</u>	2
<u>Arms Export Control Act of 1976</u>	2
<u>Regulations</u>	2
<u>Table of Congressional Acts, Statutes, and Related Regulations</u>	3
<u>Regulatory Departments and Agencies</u>	5
<i>Department of Justice & the Bureau of Alcohol, Tobacco, Firearms and Explosives</i>	5
<i>Department of Commerce</i>	7
<i>Department of State</i>	7
Fictional Limitation of the Interstate Commerce Clause	8
Lawful Uses of Firearms Include Self-Defense	9
Non-exclusivity of Federal Law and Conflicting State Laws	10
Limitation on Rules and Regulations	10
Government Exemptions to Gun Control Act	10
ATF Online.Gov/eForms/FFLeZCheck	11
Alternative Methods or Procedures and Variations from Requirements Under Gun Control Act	14
<u>Alternative Methods or Procedures</u>	14
<i>Application for Alternate Method or Procedure</i>	15
<i>Required Compliance with Alternative</i>	15
<i>Director Withdrawal of Alternative</i>	15
<u>Emergency Variations for Method of Operation</u>	16
<i>Application for Variance</i>	16
<i>Required Compliance with Variance</i>	16
<i>Director Withdrawal of Variance</i>	16
<u>Retention of Approved Applications for Alternative Methods or Procedures and Emergency Variances</u>	17
Abbreviated References and Simplifications	17
CHAPTER 2: <i>What is Being Regulated?</i>	19
Regulating Agency	19
Definition of a Person	19
Definition of a Firearm	19
<u>Subsection (A): Firearms Expel a Projectile by the Action of an Explosive</u>	20
<i>BB and Pellet Guns</i>	20
<i>Working Guns</i>	20
<i>Tasers & Stun Guns</i>	21
<i>Readily Converted and Starter Guns</i>	21
<u>Subsection (B): Frames and Receivers Are Firearms</u>	22
<i>No Requirement that a Barrel Can Be Connected</i>	22
<i>Practicality Supersedes Definition to Regulate Only Lower Receivers</i>	23
<u>Merging of Subsections (A) and (B): The Incomplete (80%) Lower Receiver</u>	25

Table of Contents

<i>How Many Firearms in a Weapon?</i>	29
<u>Subsection (C): Mufflers and Silencers Are Firearms (Suppressors)</u>	30
<i>Purpose Over Function</i>	30
<u>Subsection (D): Any Destructive Device.</u>	31
<i>Exclusion from Definition.</i>	32
<i>Tear Gas & Pyrotechnic Devices</i>	33
<i>37/38 mm Gas/Flare Guns</i>	33
<i>Request for ATF Determination</i>	34
<u>Exclusion: Antique Firearms</u>	35
Definition of Ammunition.	36
<u>“Exploding” Shotgun Shell</u>	36
<u>Armor-Piercing Ammunition.</u>	36
<i>7N6 5.45x39.</i>	37
<i>SS109/M855 5.56 Ammunition.</i>	37
Types of Firearms Defined	40
<u>Shotgun</u>	40
<u>Rifle</u>	41
<u>Handgun</u>	41
<i>Pistol</i>	41
<i>Revolver</i>	42
Prohibited Firearms	42
<u>Stolen Firearms and Ammunition</u>	42
<u>Machine Guns.</u>	42
<i>Defined.</i>	42
<i>Illegal to transport</i>	43
<i>Illegal to transfer or possess</i>	43
<i>The National Firearms Act</i>	43
<u>Bump Stocks and Administrative Overreach</u>	43
<i>Department of Justice Regulation of Bump Stocks</i>	45
<i>Functioning of Bump Stocks Inconsistent with Basis for Regulations.</i>	46
<i>Court Challenges Fail Under Chevron “Reasonableness” Standard.</i>	48
<u>“Plastic” or Undetectable Firearms</u>	54
Exclusion: Frame or Receiver.	55
Exception: “Security Exemplars.”	55
Exception: Compliance Testing and Development of New Technology.	55
Exception: Firearms for Military or Intelligence Agencies	56
Exception: Firearms Existing Prior to November 10, 1988.	56
<u>3-D Firearms.</u>	56
CHAPTER 3: Juveniles and Prohibited Persons	59
Juveniles: Possession of Handguns or Handgun Ammunition	59
<u>Transfers to and Possession of Handguns and Handgun Ammunition by</u> <u>Juveniles</u>	59
<i>Exceptions.</i>	61
<i>Subsequent Juvenile Misconduct and Permanent Confiscation Protection</i>	63
<i>Penalties for Juveniles.</i>	63

Table of Contents

<i>Penalties for Non-Juvenile</i>	64
Transfers to Juveniles by Licensees	64
Prohibited Persons	65
Conviction or Under Indictment for Crime Punishable by Term Exceeding One Year	66
<u>Prohibited Transactions</u>	66
<i>Unlawful Sale or Distribution to Prohibited Persons</i>	66
<i>Unlawful Firearms Possession or Transactions by Prohibited Persons</i>	67
<i>Unlawful Sale or Distribution by Licensee to Prohibited Person</i>	67
<u>Exception: Indicted Licensee</u>	67
<u>Definitions</u>	67
<i>Conviction Defined</i>	67
<i>Indictment Defined</i>	68
<i>Crimes Punishable by More than One-Year's Imprisonment</i>	68
Fugitive from Justice	68
<u>Prohibited Transactions</u>	68
<i>Unlawful Sale or Distribution to Prohibited Persons</i>	68
<i>Unlawful Firearms Possession or Transactions by Prohibited Persons</i>	69
<i>Unlawful Sale or Distribution by Licensee to Prohibited Persons</i>	69
<u>Definitions</u>	69
<i>Fugitive from Justice</i>	69
Unlawful User of or Addicted to Any Controlled Substance	69
<u>Firearm Prohibitions</u>	69
<i>Unlawful Sale or Distribution to Prohibited Person</i>	69
<i>Unlawful Firearms Possession or Transactions by Prohibited Persons</i>	69
<i>Unlawful Sale or Distribution by Licensee to Prohibited Persons</i>	70
<u>Definitions</u>	70
<i>Controlled Substance</i>	70
<i>Unlawful User or Addiction</i>	70
<u>State-Authorized Medical Use of Marijuana</u>	71
Adjudicated as a Mental Defective or Has Been Committed to Any Mental Institution	74
<u>Prohibited Transactions</u>	74
<i>Unlawful Sale or Distribution to Prohibited Person</i>	74
<i>Unlawful Firearms Possession or Transactions by Prohibited Persons</i>	74
<i>Unlawful Sale or Distribution by Licensee to Prohibited Persons</i>	75
<u>Definitions</u>	75
<i>Mental Institution</i>	75
<i>Adjudicated as a Mental Defective</i>	75
<i>Committed to a Mental Institution</i>	77
<i>ATF Open Letter</i>	78
<i>Federal Relief</i>	79
<i>State Relief</i>	82
<u>Social Security & Veterans Affairs Beneficiaries</u>	84
Illegal Aliens and Aliens Admitted Under Nonimmigrant Visas	86
<u>Prohibited Transactions</u>	86

Table of Contents

<i>Unlawful Sale or Distribution to Prohibited Person</i>	86
<i>Unlawful Firearms Possession or Transactions by Prohibited Persons</i>	86
<i>Unlawful Sale or Distribution by Licensee to Prohibited Persons</i>	86
<u>Definitions</u>	87
<i>Alien</i>	87
<i>Illegally or Unlawfully in the United States</i>	87
Temporary Protected Status	88
<i>Nonimmigrant Visa</i>	90
<u>FFL Acceptance of Drivers' Licenses Issued Without Proof of Lawful Residency</u> . .	90
<u>Limited Nonimmigrant Visa Exceptions</u>	91
<i>Procedure</i>	93
<u>Nonimmigrant Visa Waivers</u>	94
Dishonorable Discharge from Armed Forces	94
<u>Prohibited Transactions</u>	94
<i>Unlawful Sale or Distribution to Prohibited Person</i>	94
<i>Unlawful Firearms Possession or Transactions by Prohibited Persons</i>	94
<i>Unlawful Sale or Distribution by Licensee to Prohibited Persons</i>	95
<u>Definitions</u>	95
<i>Discharged under Dishonorable Condition</i>	95
Renounced United States Citizenship	95
<u>Prohibited Transactions</u>	95
<i>Unlawful Sale or Distribution to Prohibited Persons</i>	95
<i>Unlawful Firearms Possession or Transactions by Prohibited Persons</i>	95
<i>Unlawful Sale or Distribution by Licensee to Prohibited Person</i>	96
<u>Definitions</u>	96
Court-Ordered Domestic Restraining Order	96
<u>Prohibited Transactions</u>	96
<i>Unlawful Sales and Dispositions to Prohibited Persons</i>	96
<i>Unlawful Firearms Possession or Transactions by Prohibited Persons</i>	97
<i>Unlawful Sale or Distribution by Licensee to Prohibited Persons</i>	99
<u>Definitions</u>	99
<i>Actual Notice</i>	99
<u>Awarding Firearms to Non-restrained Spouse</u>	100
<u>Regulations for Storage of Seized Firearms</u>	100
<u>Exceptions</u>	100
Misdemeanor Conviction for Domestic Violence	101
<u>Prohibited Transactions</u>	101
<i>Unlawful Sales and Dispositions to Prohibited Persons</i>	101
<i>Unlawful Firearms Possession or Transactions by Prohibited Persons</i>	101
<i>Unlawful Sale or Distribution by Licensee to Prohibited Person</i>	102
<u>Definitions</u>	102
<i>Misdemeanor Crime of Domestic Violence</i>	102
Employees of Prohibited Persons	105
Repeated Convictions for Violent Felonies or Serious Drug Offenses	105
<u>Violent Felony</u>	106
<u>Serious Drug Offense</u>	107

Table of Contents

Possession Violates State Law or Published Ordinance	107
Prohibited Persons: Pardons, Expunctions, Reversals, Etc.	108
Prohibited Persons: Relief from Federal Felony Conviction	108
<u>Presidential Pardon of Federal Conviction</u>	109
<u>As-Applied Challenges to Restrictions</u>	109
<u>Evidentiary Burden for As-Applied Challenges</u>	114
<u>Example of As-Applied Challenge</u>	116
<u>Model for the Future: Analysis of Dissent of Seventh Circuit Court</u> <u>Judge Amy Barrett</u>	118
Prohibited Persons: Applications for Federal Relief	121
<u>Applications for Relief-General</u>	121
<i>Congressional Funding Restrictions</i>	121
<u>Applications-for-Relief Process (Under Defunded Program)</u>	123
<i>Application Requirements</i>	123
<i>Certified Copies Required</i>	125
<i>Incomplete or Improperly Executed Application</i>	125
<i>False Statements in Application</i>	126
<u>Grounds for Granting Application for Relief</u>	126
<i>General Standards</i>	126
<i>Discharged from Parole/Probation More Than Two Years</i>	126
<i>Possession Violation of State Law</i>	126
<u>Granting of Relief Published</u>	126
<u>Denial of Application for Relief</u>	127
<i>Petition Challenging Denial</i>	127
Prohibited Persons: Relief from State or Foreign Conviction	127
<u>State Pardon</u>	127
<u>Expunction, Reversal, or Setting Aside of Conviction</u>	127
<u>Restoration of Civil Rights</u>	127
<i>Exceptions</i>	128
<u>Multiple Felonies in Different States</u>	128
<u>When State Restoration Is Unavailable or Insufficient</u>	128
Licensees: Relief from Indictments & Disabilities	129
<u>Licensees: Relief from Indictment</u>	129
<i>Continue Operations Until Conviction</i>	129
<i>License Expiration During Indictment Period</i>	130
<u>Licensees with Disabilities: License Renewals and Applications for Relief</u>	130
<i>License Renewal if Expiration Within 30 Days of Disability</i>	130
<i>Applications for Relief by Licensees</i>	130
<i>Benefit of Lack of ATF Funding</i>	130
<i>Thirty Days to File Application for Relief</i>	131
<i>Licensee Has 30 Days After Denial to Discontinue Licensed Operations</i>	132
CHAPTER 4: Locations Where Fire arms Are Prohibited	133
School Zones	133
<u>Possession Prohibition</u>	135
<u>Discharge Prohibition</u>	136

Table of Contents

<u>No Prohibition for More Stringent State Laws</u>	136
Federal Facilities	137
<u>Federal Facilities Other than Federal Court Facilities</u>	137
<i>Knowing Possession</i>	137
<i>Conspicuous Posting of Law</i>	137
<u>Federal Facilities Including Federal Court Facilities</u>	138
<i>Intent or Attempt to Commit Crime</i>	138
<i>Killing a Person in a Federal Facility</i>	138
<i>No Requirement for Conspicuous Posting of Law</i>	138
<u>Federal Court Facilities Only</u>	138
<i>Conspicuous Posting of Law</i>	139
<i>Additional Punishment</i>	139
<u>United States Post Office</u>	139
CHAPTER 5: <i>Transportation of Firearms</i>	141
Personal Interstate Transportation of Firearms	141
<u>Protection Only In Intermediate “States”</u>	142
<u>New York and New Jersey</u>	143
<u>New York City: Travel Outside of Specified Home or Business Listed on License</u>	149
<u>California’s Ammunition Laws</u>	151
Transporting through the United States Postal Service	151
Transporting Through a Common or Contract Carrier—Notice Requirement	152
Common or Contract Carrier’s Obligation to Aid in Enforcement of the Law	153
Constitutionality Under Self-Incrimination Clause	153
Exception: Personal Transportation of Firearm on Common or Contract Carrier	154
Transportation and Shipment of Stolen Firearms and Ammunition	156
Transportation of Firearms with Tampered Serial Numbers	156
Transportation of Firearms or Ammunition by Person Under Indictment for a Felony	157
CHAPTER 6: <i>Fire arm Transfers by Unlicensed Persons</i>	159
Private Transfers within State	159
Firearms License Required for Business Transfers	163
Restrictions on Firearms Transactions with Unlicensed Individuals or Businesses	164
<u>Nonlicensee Shipment to Licensee Allowed</u>	164
<u>Licensee Out-of-State Transfer to Nonlicensee Generally Prohibited</u>	164
Nonresident of Any State “Sporting Purpose” Requirement	164
Determining State of Residence	164
<u>Examples</u>	165
<u>Out-of-State College Students</u>	166
<u>Dual Foreign and State Residences</u>	166
Out-of-State Resident Transfer Restrictions	166
<u>Receipt from Non-resident State</u>	166
<i>Exception for Bequests and Intestate Succession</i>	167

Table of Contents

<i>Exception for Rifles/ Shotguns from Licensee</i>	167
<i>Exceptions for Loans/ Rentals</i>	168
<i>Non-resident U.S. Citizens Returning to the United States</i>	168
<i>Nonresident Aliens</i>	169
<i>Unconstitutionality of Restriction</i>	169
<u>Transfers to Residents of Another State</u>	170
<i>Exception for Bequests and Intestate Succession</i>	170
<i>Exceptions for Loans/ Rentals from Licensee</i>	170
<i>Transportation with Common Carrier</i>	170
Loans and Rentals by Clubs and Associations	171
Transfers of Destructive Devices, Machine Guns, Short-Barreled Shotguns, and Short-Barreled Rifles	171
ATF eForms and Form 6 for Imports	171
Import Permits for Firearm Barrels by Nonlicensees	172
<u>Application Approval/Disapproval</u>	173
<u>Requirements for Release from Customs</u>	173
<i>Import Permit</i>	174
<i>ATF Form 6A (Release and Receipt of Imported Firearms, Ammunition and Implements of War)</i>	174
<u>Options for Failure to Obtain Prior Import Authorization</u>	174
Import Permits by Members of the U.S. Armed Forces on Active Duty Outside the United States	175
<u>Statutory Import Requirements</u>	175
<u>Import Permit Requirements</u>	175
<u>Import Permit Process</u>	176
<i>ATF Form 6-Part II</i>	176
<i>International Import Certificate (IIC)</i>	178
<u>Application Approval/Disapproval</u>	178
<u>Requirements for Release from Customs</u>	178
<i>Import Permit (Form 6, Part II)</i>	178
<i>ATF Form 6A</i>	178
<i>Appointed Agents to Obtain Release</i>	179
<u>Souvenirs</u>	179
<u>Options for Failure to Obtain Prior Import Authorization</u>	179
<u>Returning with Firearms/Ammunition Furnished by Licensee</u>	180
Exemptions from Import Restrictions	181
<u>Returning with Firearms or Ammunition</u>	181
<i>Methods of Proof</i>	181
<i>Electronic Export Systems and ATF Guidelines</i>	181
<u>For Government and Its Agencies</u>	183
<u>Antiques</u>	183
<u>Provisions Covering Aliens Admitted under Nonimmigrant Visas</u>	183
<i>Exception to the Exception</i>	184
CHAPTER 7: Licenses: Authority, Restrictions and Requirements	185
Transfers in Violation of State Law	185

Table of Contents

Transactions with Prohibited Persons	185
Transfers to and from Indicted Licensees	186
<u>Prohibited Transactions in General</u>	186
<i>Unlawful Sale or Distribution to Prohibited Person</i>	186
<i>Unlawful Firearms Possession or Transactions by Prohibited Persons</i>	186
<i>Unlawful Sale or Distribution by Licensee to Prohibited Person</i>	186
<u>Exception: Indicted Licensee</u>	186
<u>Application for Relief from Prohibited Person Disabilities</u>	187
Transfers to Unlicensed Persons Through Interstate or Foreign Commerce	187
<u>General Exceptions to Prohibitions</u>	187
<u>Licensee Aiding in Nonlicensee Transactions</u>	188
Interstate Transfers	189
<u>Transfers from Another State</u>	189
<i>Exception for Bequests and Intestate Succession</i>	189
<i>Exception for Rifles/ Shotguns from Licensee</i>	189
<i>Exception for Loans/ Rentals from Licensee</i>	190
<u>Transfers to Another State</u>	190
<i>Exception for Transactions between Licensees</i>	191
<i>Exception for Bequests and Intestate Succession</i>	191
<i>Exception for Rifles/ Shotguns from Licensee</i>	191
<i>Exceptions for Loans/ Rentals from a Licensee</i>	192
<i>Unconstitutionality of Restriction</i>	192
Providing Firearms to Employees of Licensee	192
Loan or Rental of Firearms by a Licensee	193
<u>Exceptions: Person to Whom a Licensee May Not Loan or Rent a Firearm</u>	193
<u>Requirements for Loans or Rentals by a Licensee</u>	194
Licensee Transfers of Destructive Devices, Machine Guns, Short-Barreled Shotguns, & Short-Barreled Rifles	194
<u>Exception: Transactions Between Licensees</u>	195
<u>Exception: Research Organizations</u>	195
Licensee Transfers of Armor-Piercing Ammunition	196
<u>General Prohibitions</u>	196
<i>Application for Testing or Experimentation</i>	197
<i>Application for Sporting or Industrial Purposes</i>	197
<u>Prohibitions for Licensed Dealers</u>	198
<i>Restriction on Transfers</i>	198
<i>Exception: Pre 8/28/86 Inventory</i>	198
<i>Recordkeeping Requirements for Licensed Dealers</i>	198
<i>Violations by Licensed Dealers</i>	199
<i>ATF Information for Licensed Dealers</i>	199
<u>General Recordkeeping Requirements</u>	199
Transactions Between Licensees	199
<u>NFA Firearms</u>	200
Verification of Licensee Status	200
<u>Requirement for Certified Copy of Transferee's License</u>	200
<u>Exceptions</u>	200

Table of Contents

<u>Multilicensed Businesses</u>	201
<u>Expired License</u>	201
<u>Certified Copy of License</u>	202
Handgun Sales: Gun Storage or Safety Devices	202
<u>Exceptions</u>	202
<u>Qualified Gun Storage or Safety Device</u>	203
<u>Penalties</u>	204
<u>Liability</u>	204
Handguns Sales: Signs and Written Notices	205
<u>Sign Displayed at Licenses Premises</u>	205
<i>Exception</i>	206
<u>Youth Handgun Safety Act Notice</u>	206
<i>Content</i>	206
<i>Methods and Format of Providing Written Notification</i>	209
CHAPTER 8: Transfer Process and Background Checks	211
Required Use of Form 4473	211
<u>Applicable Transfers</u>	211
<u>Pawnbrokers</u>	211
<u>Firearms Consultants and Experts</u>	212
<u>Gunsmiths</u>	213
<u>Law Enforcement Officers</u>	213
<u>Electronic Version of ATF Form 4473 Approved</u>	215
<i>Requirements</i>	215
<i>Form 4473 Download</i>	220
<i>Exception</i>	220
<i>Collecting Additional Information</i>	220
<i>Loss of Right to Use e-4473</i>	220
<i>Previous Variances</i>	220
Firearms Transfer Process	220
<u>Required Information for Form 4473</u>	220
<i>Residence Address</i>	221
<i>Correcting Errors on Printed Forms</i>	223
<i>Information Collected in Addition to Form 4473</i>	223
<i>Certification by Transferee</i>	224
<i>False or Fictitious Statements</i>	224
<i>Optional information from Transferee</i>	224
<u>Documentation Required from Transferee</u>	225
<i>Acceptable Documentation</i>	226
<i>Concealed-Carry Weapon Permits</i>	227
<i>Active-Duty Military</i>	227
<i>Nonimmigrant Alien</i>	228
<u>NICS Background Check and Documentation of Information from NICS</u>	228
<u>Identification of Firearm on Form 4473</u>	228
<u>Licensee Signs and Dates Form 4473 & Transfers Firearm</u>	228
<i>Transferees Who Are Not Individuals</i>	228

Table of Contents

The Brady Act: The Era of Background Checks	229
<u>Step One: Licensee Must Contact the National Instant Criminal Background Check System</u>	230
<u>Step Two: NICS’s Response</u>	230
<i>NICS Denial Reversed.</i>	231
<i>Conditions for Transfer.</i>	231
<i>One Transaction/Thirty-Day Rule.</i>	232
<u>Step Three: The Licensee Verifies the Identity of the Transferee</u>	233
<i>Discovery of Incorrect or Incomplete Form 4473 Information.</i>	233
State Waiting Periods: California Example	234
<u>No DROS Response</u>	234
<u>Delayed and Release After Delayed DROS Response</u>	235
<u>Delayed and Undetermined DROS Response</u>	236
<u>Cancelled DROS Response</u>	238
<i>Prospective Purchaser Cancels Transaction and No Response from CA DOJ</i>	238
<i>FFL Cancels DROS after 10-day Waiting Period and No CA DOJ Response</i>	238
<i>FFL Cancels DROS after 10-day Waiting Period and Received initial “Delayed” CA DOJ Response</i>	238
<u>Firearm Not Transferred</u>	239
Exceptions to Background Checks	239
<u>Penalties for Licensee’s Failure to Comply</u>	242
<u>Immunity for Government</u>	243
NICS Appeals & Voluntary Appeal File	243
<u>NICS Appeals to FBI of Delays and Denials</u>	243
<u>Voluntary Appeal File for Misidentifications</u>	243
Legal Action for Wrongful Denial	245
Transfers When Purchaser Does Not Appear in Person (Mail Order Residents). ...	246
<u>Statutory Provisions</u>	246
<u>Regulatory Provisions: Persons Exempt from Background Checks</u>	247
<u>ATF Procedure 2013-2: Persons Exempt from Background Checks</u>	249
CHAPTER 9: Recordkeeping and Inspections	253
Records Must Be Maintained and Entries Must Be Accurate	253
<u>Records Required</u>	253
<u>Gunsmiths.</u>	253
<u>False Statements or Representations</u>	253
<u>Location of Records</u>	254
<u>Electronic Acquisition and Disposition Records</u>	254
1. <i>Required Information</i>	254
2. <i>Tracking of Corrections</i>	254
3. <i>Inclusive Electronic System.</i>	255
4. <i>Query Capability</i>	255
5. <i>Downloaded/Printed A&D Records Kept on Business Premises.</i>	256
6. <i>Storage Device Retention and Access.</i>	257
7. <i>Printout Retention</i>	257
8. <i>Limited to Firearms and Antique Firearms.</i>	257

Table of Contents

9. <i>Offsite Storage of Electronic Records</i>	257
10. <i>Change in Host Facility</i>	258
11. <i>No Intermingling</i>	258
12. <i>Backups</i>	258
13. <i>Retention of Records</i>	258
14. <i>Discontinuance of Business</i>	258
<i>Electronic Records Not Required</i>	259
<i>Loss of Right to Use Electronic Records</i>	259
Sales Information Required to be Collected	259
<u>Identifying Information</u>	259
<u>ATF Form 4473</u>	259
<i>Exception</i>	260
<i>Retention of Form 4473</i>	260
<u>Purchaser Not Appearing in Person (Mail Order Residents)</u>	260
<u>Multiple Sales/Dispositions</u>	261
<i>Form 3310.4 (Report of Multiple Sale or Other Disposition of Pistol and Revolvers)</i> ..	261
<i>Form 3310.12 (Multiple Sale or Other Disposition of Certain Rifles)</i>	262
<i>Recipients of Reports</i>	263
<i>Deadline (Same Day)</i>	264
<i>Law Enforcement Nondisclosure and Destruction</i>	265
<u>Exports</u>	266
Licensee Transfers of Armor-Piercing Ammunition	266
<u>General Recordkeeping Requirements</u>	266
<u>Licensed Importers</u>	266
<u>Licensed Manufacturers</u>	267
<u>Licensed Dealers</u>	268
<u>Licensed Collectors</u>	268
<i>Sales to Nonlicensees</i>	268
<i>Sales to Licensees</i>	269
Reporting of Lost or Stolen Firearms	270
Retention of Approved Applications for Alternative Methods or Procedures and Emergency Variances	270
Attorney General (ATF) Inspections-General	270
<u>Warrant Needed: Suspected Violation of Firearms Laws</u>	270
<i>Limited Scope of Inspection</i>	271
<u>No Warrant Needed-Licensee Compliance, Nonlicensee Criminal Investigation, or Tracing (Dealers, Manufacturers, & Importers)</u>	271
<u>No Warrant Needed-Licensee Compliance or Nonlicensee Criminal Investigation-(Collectors)</u>	272
<i>Location of Inspection</i>	272
<u>Hours for Inspection</u>	273
<i>Gunsmiths</i>	273
<i>Firearms Consultants & Experts</i>	273
<u>Seizure of Records and Documents</u>	273
<u>Disclosure of Information from Records</u>	274
Letters Requiring Submission of Information to ATF	274

Table of Contents

<u>Form 5300.5: Report of Firearms Transactions</u>	274
<u>Form 5300.11: Annual Firearms Manufacturing and Exportation Report</u>	275
<u>Alternative Methods of Record Submission</u>	275
Requests for Information Related to Criminal Investigation	276
Disposition of Records When Business Discontinued	277
<u>Succeeded by New Licensee</u>	277
<u>Permanent Discontinuance</u>	277
Retention of Firearms Records	278
<u>Form 4473, Firearms Transaction Record and Related Records</u>	278
<u>Completed Transactions (20 Years)</u>	278
<u>Uncompleted Transactions (5 Years)</u>	278
<u>Records for Transactions Where Background Check Not Required</u>	278
<u>Transferee Holds Permit or License to Possess, Acquire, or Carry a Firearm</u>	279
<u>ATF Certified Compliance with Background Check Impracticable</u>	279
<u>Other Firearms Transaction Records</u>	279
<u>Form 3310.4 (Multiple Sales)</u>	279
<u>Form 3310.11 (FFL Firearms Inventory Theft/Loss Report)</u>	280
<u>Records of Importation & Manufacture (including Forms 6 and 6A)</u>	280
<u>Inapplicable Provisions</u>	280
Penalties	281
<u>Nonlicensee</u>	281
<u>Licensee</u>	281
Licensees and Their Personal Firearm Collections	281
<u>Requirements to Avoid Background Check and Form 4473</u>	282
<u>Firearms Dispositions from Personal Collection</u>	282
<u>Firearms Disposed of to Evade Licensee Restrictions</u>	284
Prevention of Government Control Over Records and Preclusion of National Registry	284
CHAPTER 10: General Licensing Requirements	285
Licensing Requirement	285
Licensing Applications	285
<u>General Information</u>	285
<u>Types of Federal Firearms Licenses</u>	286
<u>License Application Process: ATF Form 7</u>	287
<u>Incomplete or Improperly Executed Application</u>	289
<u>Scope of License</u>	290
<u>No Exemptions from State Laws</u>	290
<u>Licensed Importers/Manufactures Do Not Need a Dealer License</u>	290
<u>Destructive Devices and Ammunition</u>	290
<u>License Fees-General</u>	291
<u>Refundability</u>	291
<u>Multiple Businesses or Locations</u>	291
Requirements for Licensees	292
License Approval and Receipt	294
<u>Sixty-Day Approval Time</u>	294

Table of Contents

<u>License Numbers</u>	294
<u>Review of License for Errors</u>	294
<u>ATF Discovery of License Error</u>	295
<u>Continuance of Business While ATF Possesses License</u>	295
<u>Posting of Federal Firearms License</u>	296
<u>Law Enforcement Notification</u>	296
Firearms License Denials	296
<u>Denial of Application for License</u>	296
<i>Written Notice of Denial (Form 4498)</i>	296
<u>Challenges to Denial of License</u>	297
<i>Applicant Must File Request for Hearing</i>	297
<i>Hearing</i>	297
<i>Notice After Hearing</i>	298
<i>Court Review of Denial</i>	298
<i>License Denials Based on Criminal Charges</i>	299
Firearms License Renewals	299
<u>Sixty-Day Approval</u>	300
<u>Letters of Authorization</u>	300
<u>Alien with Nonimmigrant Visa</u>	301
<u>Failure to File on Time</u>	301
<u>Application for Common Expiration Date</u>	301
Firearms License Revocation, Suspension, or Imposition of Civil Fine	303
<u>Grounds for Revocation of License</u>	305
<u>Challenges to Revocation of a License</u>	306
<i>Written Notice from ATF (Form 4500)</i>	306
<i>Licensee Must File Request for Hearing</i>	307
<i>Hearing</i>	308
<i>Notice After Hearing</i>	309
<i>Court Review of Denial</i>	310
<i>License Revocations Based on Criminal Charges</i>	311
License Issues Affected by Changes in Business	311
<u>Licenses Nontransferable</u>	311
<u>Change of Address</u>	311
<u>Change of Business Name</u>	312
<u>Corporation or Association Change of Control</u>	313
<u>Discontinuance or New Owner of Business</u>	313
<u>Right of Business Succession Upon Death or Bankruptcy of Licensee</u>	313
<u>Continuing Partnership upon Death or Insolvency of Partner</u>	314
Licenses Who Become “Prohibited Persons”	314
<u>Application for Relief</u>	314
<u>Ongoing Operations Pending Final Action on Application</u>	315
<u>Petition Challenging Denial</u>	315
Licenses Under Felony Indictment	315
Licenses for Skeet, Trap, Target, and Similar Activities	316

Table of Contents

CHAPTER 11: <i>Licensed Firearms Dealers</i>	317
Definition of a Firearms Dealer	317
<u>Engaged in the Business of Selling Firearms</u>	317
<u>Gunsmiths</u>	321
<i>Installation of Drop-in Replacement Parts Requires a Dealer's License</i>	321
<i>Camouflaging & Engraving Firearms Requires a Dealer's License</i>	322
<u>Pawnbroker</u>	322
<u>Firearms Consultant or Expert</u>	323
<u>Auctioneers</u>	323
<i>Estate Auctions-No License Required</i>	323
<i>Consignment Auctions-License Required</i>	324
Federal Firearms License Required	324
<u>Firearms</u>	324
<u>Ammunition</u>	325
Firearms Dealer License Application	325
<u>Application Fee</u>	325
<u>Gunsmiths</u>	326
<u>Firearm Consultants & Experts</u>	326
Firearms License Renewals	327
<u>Gunsmiths</u>	327
<u>Firearms Consultants & Experts</u>	327
Armor-Piercing Ammunition	327
<u>Prohibitions for Licensed Dealers</u>	327
<i>Restriction on Transfers</i>	327
<i>Exception: Pre 8/28/86 Inventory</i>	327
<u>Recordkeeping Requirements for Licensed Dealers</u>	327
<u>Violations by Licensed Dealers</u>	328
<u>ATF Information for Licensed Dealers</u>	328
License Revocation	328
Recordkeeping Requirements	328
<u>Initial Firearms Inventory Requirement</u>	329
<u>Bound Firearms Book: Firearms Acquisition and Disposition Record</u>	329
<u>Gunsmiths</u>	329
<u>Firearms Purchased to Salvage Parts</u>	329
<u>Replacing Customers' Damaged Frames or Receivers</u>	330
<u>Firearm Consultants or Experts</u>	330
<u>Pawnbrokers</u>	330
<u>Timeliness of Entry</u>	331
<u>Purchases & Acquisitions (Next Business Day)</u>	331
<u>Sales (7 Days)</u>	331
<u>Separate Form 4473's for To-Be Recorded Sales to Nonlicensees</u>	331
<u>Disposition to Licensees</u>	332
<u>Alternative Records</u>	332
Gunsmiths and Organized Shooting Events	333

Table of Contents

CHAPTER 12: <i>Arms Export Act of 1976 (Importers, Exporters, and Manufacturers)</i>	335
General Background	335
<u>Arms Control and Disarmament Act of 1961</u>	335
<u>Arms Export Control Act of 1976</u>	336
Section 2778's Restrictions on Defense Articles and Defense Services	338
United States Munitions List of Defense Articles and Defense Services	339
Regulatory Oversight: Department of Justice, Department of State, or Department of Commerce	341
<u>Permanent Imports</u>	341
<u>Exports and Temporary Imports</u>	342
<u>Sporting Shotguns, Black Powder Firearms, Nonmilitary Spec Items</u>	342
Defense Articles for Exports and Temporary Imports-United States Munitions List Categories	343
Proposed Transfer of Regulations of Non-Military Firearms to the Department of Commerce	348
Technical Data and Defense Distributed's Software	351
Military Firearms or Ammunition Restrictions on Import After Export	352
<u>Exception for Curios and Relics</u>	353
<u>Process to Import Curios and Relics Under Exception</u>	353
Overview of Export/Temporary Import Procedure	354
Registration Requirement	356
<u>Exemptions to Registration Requirement</u>	357
<u>Registration Procedure: Form DS-2032</u>	358
<u>Copies of Registration to the Attorney General</u>	360
<u>Annual Renewal of Registration</u>	360
<u>Notification of Changes in Submitted Information</u>	360
<u>Notification of New Business Resulting from Merger</u>	361
<u>Notification of Intended Sale or Transfer of Ownership or Control to Foreign Person</u>	362
<u>Records Maintenance Requirement</u>	362
<u>Types of Records</u>	362
<u>Format of Records</u>	363
<u>Length of Storage</u>	363
<u>Availability for Inspection</u>	363
<u>Recordkeeping Pursuant to Licensing Exceptions</u>	363
Certification Letter	364
<u>Special Comprehensive Export Authorizations</u>	366
Licensing Requirement and Violations	366
<u>Exemptions to License Requirement</u>	367
<u>General Exemptions for Unclassified Defense Articles</u>	367
<u>Firearms and Ammunition</u>	369
<u>Foreign Trade Zones & U.S. Customs and Border Protection Warehouses</u>	373
<u>Brokers of Munitions List Articles or Services</u>	374
<u>License Expiration</u>	374
Types of Export/Temporary Import Licenses	375
<u>Unclassified Permanent Exports, DSP-5</u>	375

Table of Contents

<u>Classified Exports or Temporary Imports, DSP-85</u>	375
<i>Form DSP-83</i>	375
<u>Unclassified Temporary Imports, DSP-61</u>	376
<i>Exemption: No License Required for Temporary Import and Subsequent Export</i>	377
<i>Exemption: No License Required for Temporary Import, but Required for Subsequent Export</i>	377
<i>Exception Requirements</i>	378
<i>Exception Procedures</i>	380
<u>Unclassified Temporary Exports, DSP-73</u>	380
Exports of Technical Data and Classified Defense Articles	381
<u>Restrictions on Exports of Technical Data</u>	382
<i>Foreign Production or Technical Assistance</i>	382
<i>Reexports, Transfers, or Diversions</i>	382
<i>Classified Technical Data</i>	382
<u>General Exemptions from Licensing Requirements</u>	383
<u>Exemptions for Plant Visits</u>	387
<i>Conditions When License Not Required for Classified Plant Visit</i>	387
<i>No License Required When Plant Visit Approved by DDTC</i>	387
<i>Conditions When DDTC Approval Not Required</i>	388
General License Application Requirements	388
<u>Applications Including Items Regulated by Department of Commerce</u>	390
<u>Country of Ultimate Destination</u>	391
U.S. Customs and Border Protection's Electronic System	393
<u>Shipment Value Exceeding Amount Stated on License</u>	395
<u>Permanent Export of Hardware</u>	395
<i>Filing Deadlines</i>	395
<i>Shipment by U.S. Postal Service</i>	396
<u>Permanent Export of Technical Data and Defense Services</u>	396
<i>Reporting of Export Information</i>	396
<i>Shipment by U.S. Postal Service</i>	397
<u>Temporary Exports/Imports</u>	398
License Application Vetting	398
<u>Possible Disqualification Criteria</u>	398
<u>Discretion to Deny Application (Indictment or Reasonable Cause)</u>	400
<u>Lack of Discretion to Approve Applications in Some Circumstances</u>	400
<u>Advisory Opinions</u>	401
<u>Denial, Revocation, Suspension, or Amendment of Licenses</u>	401
<i>Grounds for Denial, Revocation, or Suspension</i>	401
<i>Notification</i>	402
<i>Reconsideration</i>	403
Retention and Return of Export License	403
<u>Electronic Decrement</u>	403
<u>Not Electronically Decrement</u>	403
<u>Unused License</u>	404
<u>Revoked License</u>	404
License Amendments	404

Table of Contents

Forms to Amend Export License	404
<u>Allowed Amendments</u>	405
<u>Disallowed Amendments</u>	405
Supplemental Agreements for Defense Services	406
<u>Types of Supplemental Agreements</u>	406
<i>Manufacturing License Agreement</i>	406
<i>Technical Assistance Agreement</i>	407
<i>Distribution Agreement</i>	407
<u>Required Agreement Information and Clauses for Proposed Agreements</u>	407
<i>Required Information for Agreements</i>	407
<i>Required Clauses for Agreements</i>	408
<i>Additional Clauses Required for Manufacturing License Agreements</i>	409
<u>Nontransfer and Use Assurances</u>	411
<i>Timing of submission of assurances</i>	411
<u>Application for and Approval of Supplemental Agreements</u>	412
<i>Required Information in Letters of Transmittal</i>	412
<i>Required Clauses for Letters of Transmittal</i>	413
<i>Post-Approval</i>	414
<u>Notifications to DDTC</u>	415
<i>Agreements Not Completed</i>	415
<i>Agreements Terminated</i>	416
<i>Coproduction or Licenced Production Outside United States</i>	416
Offshore Procurement	416
Exports to Warehouses or Distributions Points Outside the United States	418
<u>Preapproval of Agreements Required</u>	418
<u>Required Information for Agreements</u>	418
<u>Required Clauses or Statements</u>	419
<u>Required Clauses for Significant Military Equipment</u>	421
<u>Transmittal Letters</u>	421
<i>Required Statements</i>	421
<i>Required Clauses</i>	422
Reporting of Exports to the Secretary of State	422
Reporting of Political Contributions, Gifts, Commissions, etc.	423
<u>Secretary of State Authorized to Require Reporting</u>	423
<u>Regulatory Definitions</u>	423
<i>Fee or Commission</i>	423
<i>Political Contributions</i>	424
<u>Obligation to Furnish Information to the DDTC</u>	424
<i>License Applications</i>	424
<i>Suppliers</i>	425
<i>Combining Payment Made on One's Behalf</i>	425
<i>Corrected Information</i>	425
<u>Information Required to Be Furnished to DDTC</u>	426
<i>Guidelines Provided by DDTC</i>	427
<u>Supplemental Reports Based on Subsequent Payments</u>	431
<u>Information Required from Vendor to Applicant or Supplier</u>	431

Table of Contents

<i>Required Vendor Information</i>	431
<i>Respond Within 20 Days</i>	432
<i>Aggregate Amount to Protect Vendor's Commercial Interests</i>	432
<u>Information Required by Recipient of Fee or Commission</u>	433
<u>Recordkeeping Requirements</u>	433
<u>Confidential Business Information</u>	434
Violations of Export Laws & Penalties	434
<u>Actions Violating Export Laws</u>	434
<i>Exporting/Importing Without a License</i>	434
<i>Additional Violations</i>	435
<i>Responsibility for Employees and Agents</i>	435
<i>Indirect Violations</i>	436
<i>Ineligible Persons</i>	436
<i>Misrepresentation and Omission of Facts</i>	436
<u>Penalties for Violations</u>	437
<i>Seizure and Forfeiture</i>	438
<i>Debarment</i>	438
<u>Voluntary Disclosures</u>	440
Exports to Countries Supporting Acts of International Terrorism Prohibited	440
<u>Prohibited Actions</u>	440
<u>Prohibited Countries</u>	442
<u>Criminal and Civil Penalties</u>	443
Exports to Countries Not Fully Cooperating with Antiterrorism Efforts	443
<u>Prohibited Transactions</u>	443
<u>Waiver</u>	443
CHAPTER 13: <i>Licensed Fire arms Importers</i>	445
Definition of a Firearms Importer	445
<u>Exception: Foreign-Trade Zone</u>	446
Regulatory Authority by the ATF	446
<u>U.S. Customs and Border Protection</u>	447
<u>Imports for Government</u>	447
Federal Firearms License Required for Import Businesses	447
<u>Firearms</u>	447
<u>Ammunition</u>	448
<u>Penalty</u>	448
Firearms Importer License Fees	448
Registration Requirement	448
<u>Registration and Related Fees</u>	448
<u>Changes in Information</u>	449
<u>Penalties</u>	450
Excise Tax on Sale or Use of Firearms and Ammunition	450
Permit Requirements: Three Categories for Importers	450
ATF's "eForms" and Permit Applications	451
Permit Requirements: Item Listed on USMIL and Subject to the Gun Control Act	451

Table of Contents

<u>Permit Application: Form 6-Part I</u>	453
<u>Application Approval/Disapproval</u>	454
<u>Requirements for Release from Customs and Border Protection</u>	455
<i>Import Permit (Form 6, Part I)</i>	455
<i>Export License from Exporting Country</i>	455
<i>ATF Form 6A</i>	455
<i>Electronic Submission of ATF Form 6A to CBP</i>	456
<i>Option to Require Additional Documentation</i>	456
<i>Certification and Release</i>	457
<i>BIS Form 647P (Delivery Verification Certificate/Certificate of Delivery)</i>	457
<u>Post-Customs-Release Requirements</u>	457
<u>Options for Failure to Obtain Prior Import Authorization</u>	458
<u>Inquiries of ATF Regarding Importation under the Gun Control Act</u>	458
Permit Requirements: Item Listed on USMIL and Subject to the National Firearms Act	459
<u>Import Restrictions and Exceptions</u>	459
<u>Conditional Importation to Determine Authorization</u>	460
<u>Permit Application</u>	460
<u>Sales Samples</u>	461
<u>Sales Samples that Are Also Curio or Relic Firearms</u>	462
<u>Permit Decision Notification</u>	463
<u>Time Limitation of Approval</u>	463
<u>Civil and Criminal Liabilities if Imported Without Approved Application</u>	463
<u>Import Control Regulations Under Gun Control Act Applicable</u>	463
<u>Non-Import Returns into United States</u>	464
Permit Requirements: Item Listed on USMIL, but Not Subject to the Gun Control Act or the National Firearms Act	464
<u>Time Periods or Terms of Permits</u>	464
<u>Imports by the Federal Government</u>	465
<u>Other Exemptions</u>	465
<u>Permit Applications and Approvals</u>	466
<i>Form 6-Part I</i>	466
<i>Approved Application Becomes the Permit</i>	467
<i>Disapproval of Application</i>	467
<i>Denial, Revocation, Suspension, or Revision of Permits</i>	467
<i>Reconsideration of Adverse Decision</i>	468
<i>Permit Applications for Import of Plastic Explosives</i>	468
<u>Customs Release</u>	468
<i>Provide Permit to Customs</i>	468
<i>Firearms and Ammunition</i>	468
<i>Form 6A</i>	468
<u>Articles in Transit</u>	469
Import Permits for Licensees Who Are Not Licensed Importers	469
<u>Import Permit Application</u>	469
<u>Application Approval/Disapproval</u>	471
<u>Requirements for Release from Customs</u>	471

Table of Contents

<i>Import Permit</i>	471
<i>ATF Form 6A</i>	471
<u>Options for Failure to Obtain Prior Import Authorization</u>	472
Import Certification and Delivery Verification	472
<u>Import Certification</u>	472
<u>Delivery Verification</u>	474
<u>U.S. Customs and Border Protection May Require More</u>	474
Illegal to Import If Illegal to Possess	474
Firearms and Ammunition Allowed for Import	475
<u>General Import Requirements</u>	475
<i>Sporting Purpose</i>	475
<i>Semiautomatic “Assault” Weapons</i>	476
<i>Frame, Receiver, or Barrel of Prohibited Firearm</i>	477
<u>Conditional Importation for Testing</u>	478
<u>Application for Conditional Import</u>	478
<u>Unlawful to Import Parts to Make Firearm Otherwise Not Importable</u>	478
<i>Request to Assemble Nonsporting Semiautomatic Rifles or Shotguns</i>	479
<i>Assembly of Nonsporting Semiautomatic Rifle or Shotgun from Imported Parts</i>	479
<u>Imports of Curios and Relics Allowed</u>	480
<i>Surplus Military Firearms</i>	481
<u>Importing Plastic Guns Prohibited</u>	484
Regulated Defense Articles and Defense Services	484
<u>U.S. Munitions Import List</u>	485
<u>Forgings, Castings, Extrusions, and Machined Bodies</u>	487
<u>Models and Mockups</u>	487
Restricted Countries	488
<u>List of Rogue Countries</u>	488
<u>Specified Firearms and Ammunition</u>	488
<u>Transportation and Shipment Restrictions</u>	489
<u>Exemptions for Imports from Restricted Countries</u>	489
<u>Limited Exceptions for Category I(a) Gun Control Act Firearms</u>	490
Identifying Marks for Firearms and Armor-Piercing Projectiles	491
<u>Firearms Must Be Identifiable by Serial Number</u>	491
<u>Armor-Piercing Projectiles</u>	491
Licensee Transfers of Armor-Piercing Ammunition	492
<u>General Prohibitions</u>	492
Specific Recordkeeping Requirements for Licensed Importers	493
<u>Gun Control Act</u>	493
<i>Importation or Acquisition (Record Within 15 Days)</i>	493
<i>Disposition of Firearms to Licensee (Record Within 7 Days)</i>	493
<i>Disposition of Armor-Piercing Ammunition (Record Within 7 Day)</i>	494
<i>Variances</i>	494
<i>Disposition of Firearms to Nonlicensees</i>	495
<u>Consolidation of Records of Importation and Disposition Under the Gun Control Act</u>	495
<u>National Firearms Act</u>	498

Table of Contents

<u>Other Defense Articles (Not Regulated Under the Gun Control Act or National Firearms Act)</u>	498
Federal Excise or Sales Tax on Sales or Use of Firearms and Ammunition	498
Penalties, Seizures, and Forfeitures	498
<u>Penalties for Unlawful Importation</u>	498
<u>Penalties for False Statements or Concealment of Facts</u>	499
<u>Fines, Imprisonment, and Forfeiture for Illegal Imports</u>	499
CHAPTER 14: <i>Licensed Firearms Manufacturers</i>	501
Definition of a Firearms Manufacturer	501
<u>Manufacturer Defined</u>	501
<u>Engaged in the Business of Manufacturing</u>	501
<u>Gunsmith Activities</u>	502
<u>Installation of Drop-In Replacement Parts</u>	505
<u>Camouflaging & Engraving Firearms</u>	505
<u>Completion of Blanks or “80% Receivers”</u>	506
Compliance with Arms Export Control Act of 1976: Registration Required	508
Federal Firearms License Required	509
<u>Firearms</u>	509
<u>Ammunition</u>	509
Firearms Manufacturer License Application	510
<u>Application Fee</u>	510
Armor-Piercing Projectiles	510
<u>Licensee Transfers of Armor-Piercing Ammunition</u>	510
<i>General Prohibitions</i>	510
Specific Recordkeeping Requirements for Licensed Manufacturers	511
<u>Firearms Must Be Identifiable by Serial Number</u>	511
<u>Records of Completion or Acquisition</u>	511
<i>Record Within 7-Days</i>	511
<u>Records of Disposition</u>	512
<i>Disposition of Firearms to Another Licensee (Record Within 7 Days)</i>	512
<i>Disposition of Armor-Piercing Ammunition (Record Within 7 Days)</i>	512
<i>Variances</i>	512
<i>Disposition of Firearms to Nonlicensees</i>	513
<u>Consolidation of Records of Manufacture and Records of Disposition</u>	513
Federal Excise or Sales Tax on Sales or Use of Firearms and Ammunition	516
<u>Amount of Tax</u>	517
<u>Use Rather than Sale</u>	517
<i>Materials and Parts Used in Manufacture or Production</i>	517
<u>Attachment of Tax to Firearm</u>	518
<i>Generally</i>	518
<i>Credit Sales</i>	519
<i>Consignment Sales</i>	519
<i>Installment Sale</i>	519
<i>Use Rather than Sale</i>	519
<i>Use After Leases</i>	519

Table of Contents

<i>Subsequent Events After Tax Attaches</i>	519
<u>Determination of Items Subject to the Excise Tax</u>	520
<i>Parts or Accessories</i>	520
<i>Component Parts</i>	520
<i>Nontaxable Parts</i>	521
<i>Nontaxable Accessories</i>	521
<i>Loans to Employees and Writers for Trade Publications</i>	521
<u>Exemptions from Excise Tax</u>	522
<i>NFA Transfer Tax Paid</i>	522
<i>Sales to Defense Department or Coast Guard</i>	522
<i>Small Manufacturers, Producers, & Importers</i>	522
<i>Other Tax-Free Sales of Firearms and Ammunition</i>	523
CHAPTER 15: <i>Licensed Firearms Collectors</i>	525
Definition of Firearms Collector	525
Scope and Requirement of Federal Firearms License for Collectors	525
Return of Curio or Relic to Unlicensed Person	526
Curios and Relics Definitions and Determination	526
<u>Defined by Regulations</u>	526
<u>Request for ATF Determination</u>	527
Ammunition	527
Obtaining a Federal Firearms Collectors License	528
<u>Application</u>	528
<u>License Fee</u>	529
<u>Scope of License</u>	529
<u>Multiple Premises</u>	530
Imports of Curios and Relics	530
Recordkeeping Requirements Specific to Collectors	531
<u>Records Requirement</u>	531
<i>Bound Volume</i>	531
<i>Information Recorded for Acquisitions</i>	531
<i>Information Recorded for Dispositions</i>	531
<i>Bound Book Format</i>	532
<i>Disposition to Licensees</i>	532
<u>Deadlines for Recording</u>	532
<i>Purchasers & Acquisitions (1 Day)</i>	532
<i>Sale or Other Disposition (7 Days)</i>	533
<u>Armor-Piercing Ammunition</u>	533
<i>Sales to Nonlicensees</i>	533
<i>Sales to Licensees</i>	534
<u>Alternate Records</u>	534
Other Obligations	535
CHAPTER 16: <i>Firearms Serialization and Markings (Manufacturers and Importers)</i>	537
Firearm Serialization Requirements	537
<u>Firearms Must Be Identifiable by Serial Number</u>	537

Table of Contents

<u>Additional Information Required Under the Regulations</u>	537
<u>Marking Requirements Under the Regulations and ATF Rulings</u>	538
<i>Individualization</i>	538
<i>Who Must Add Serial Number</i>	538
<i>Method</i>	540
<i>Depth and Size</i>	540
<i>Legible: Roman Letters or Arabic Numbers</i>	540
<i>Location on Firearm</i>	541
<u>Adoption of Serial Number, Caliber/Gauge, and Model</u>	542
<u>Deadline for Marking Firearms</u>	543
<i>During Manufacturing or Within Seven Days</i>	543
<i>Requirements if Unable to Mark Within Seven Days</i>	544
<u>Markings Required under Customs and Duties Regulations</u>	545
Requests for Alternate Means of Identification	545
<u>Destructive Devices</u>	546
<u>Machine Guns, Silencers, and Parts</u>	548
Armor-Piercing Ammunition	549
<u>Marking of Ammunition</u>	549
<u>Labeling of Packages</u>	549
CHAPTER 17: <i>Law Enforcement Officers</i>	551
Purchase of Firearms	551
Restrictions on State and Local Laws that Prohibit Carrying of Concealed Firearms by Law Enforcement Officers	552
<u>General Allowance</u>	552
<u>Limitations and Qualifications</u>	552
<i>Qualified Law Enforcement Officer</i>	552
<i>Required Identification</i>	553
<i>Firearm Defined</i>	553
Restriction on State and Local Laws that Prohibit the Carrying of Concealed Firearms by Retired Law Enforcement Officers	554
<u>Limitations and Qualifications</u>	554
<i>Qualified Law Enforcement Officer</i>	554
<i>Required Identification</i>	556
<i>Firearm Defined</i>	557
School Zones	557
Airline Passengers	558
Gun Storage	558
CHAPTER 18: <i>Gun Shows and Events</i>	559
Temporary Business Location for Gun Shows	559
<u>Transferring Firearms to Local Licensee at Out-of-State Gun Show</u>	559
Licensing Fees for Gun Shows	562
Posting of FFL License	562
Records Required to be Kept for Gun Shows	562
Records Inspection/Examination by Attorney General	563

Table of Contents

Dealer's License Required to Sell Firearms at Gun Shows?	563
ATF's Gun Show Guidelines	563
<u>Federal Licensees</u>	564
<i>Licensed in State Where Event Held</i>	564
<i>Licensed in State Other Than Where Event Held</i>	564
<u>Nonlicensees</u>	565
<i>Non-Licensed Residence of State Where Event Held</i>	565
<i>Non-Licensed Residents from State Other than Where Event Held</i>	565
CHAPTER 19: Exemptions to the Gun Control Act	567
Government Departments and Agencies	567
<u>Importing Firearms by Law Enforcement Agencies</u>	567
<u>Exception to the Exemption: Domestic Violence Conviction</u>	568
<u>Exception to the Exemption: Plastic Guns</u>	569
Civilian Marksmanship Program	569
<u>Background and Previous Law</u>	569
<i>Exemption from Gun Control Act</i>	569
<i>Exception to the Exemption. Plastic Guns</i>	570
<u>Corporation for the Promotion of Rifle Practice and Firearm Safety</u>	570
<u>Transfers of Firearms, Ammunition, and Parts</u>	571
<i>Loans for Programs</i>	571
<i>Sales to Affiliated Organizations</i>	571
<i>Sales to Affiliated Gun Club Members</i>	571
<i>Current Gun Control Act Exemptions</i>	571
Licensee Shipping to Military Members or Recognized Clubs	573
<u>Individuals</u>	573
<u>Clubs</u>	573
<u>Written Request</u>	574
<u>Plastic Gun Restriction</u>	574
CHAPTER 20: NFA Firearms: Machine Guns, Short-Barreled Rifles/Shotguns, Suppressors, Destructive Devices	575
Manufacturing vs. Making	576
Manufacturing Exemption for Manufacturers Doing Business with Government ..	576
Exemptions for Security Providers at Nuclear Facilities	577
Defining Firearms under the NFA	578
<u>NFA Firearms Defined</u>	579
<i>Short-Barreled Shotgun</i>	579
<i>Short-Barreled Rifle</i>	579
<i>Any Other Weapon</i>	579
<i>Machine Gun</i>	581
<i>Muffler or Silencer</i>	582
<i>Destructive Device</i>	582
<u>The Short-Barreled Rifle Conundrum</u>	584
<i>Unassembled Parts Kits</i>	586
<i>Assembly of Weapons from Parts Kits</i>	587

Table of Contents

<i>Shell Used to Convert Pistol to a Rifle</i>	588
<i>Pistol Stabilizing Braces</i>	589
<u>Exceptions from NFA Firearms Definition</u>	592
<i>Collector's Item & Not Likely to Be Used as a Weapon</i>	592
<i>Antique Firearm</i>	592
<u>Determinations of Whether an Item Is an NFA Firearm</u>	592
<i>Not Likely to Be Used as a Weapon</i>	592
<i>Destructive Device</i>	593
Machine Guns	593
<u>Specific Devices and Firearms Qualifying as Machine Guns</u>	593
<i>Auto Sears</i>	594
<i>KG-9 Pistol</i>	594
<i>SM10 & SM11A1 Pistols/SAC Carbines</i>	595
<i>YAC STEN MK II</i>	597
<u>Generally: Illegal to Transfer or Possess Machine Guns</u>	597
<i>Exception: Possession of Machine Guns Manufactured Prior to May 19, 1986</i>	597
<u>Exception to Transfer/Possession of Machine Guns: Government Agencies</u>	598
<i>Importation and Manufacture</i>	598
<i>Dealer Sales Samples</i>	598
<u>Discontinuance of Business</u>	601
<u>Illegal to Transport</u>	601
<u>Applications to Make, Transfer, or Import Machine Guns</u>	602
<i>Applications Denied Unless Government Involved or Pre-May 19, 1986, Possession</i> ..	602
<i>Government Transactions</i>	603
Registration of NFA Business	605
<u>Imports</u>	605
<u>Exports</u>	605
Occupational Taxes for NFA Businesses	606
<u>Special (Occupational) Tax Requirements</u>	606
<i>Single Sale of a Firearm</i>	606
<i>Each Place of Business Taxed</i>	606
<u>Amount of Occupational Tax</u>	607
<i>No Proration of Tax</i>	607
<i>Reduced Rates for Small Importers & Manufacturers</i>	607
<u>Exclusion from Occupational Tax</u>	608
<i>Exclusive Business with U.S. Government</i>	608
<u>Filing of Occupational Tax Return (ATF Form 5630.7)</u>	609
<i>Employer Identification Number Requirement</i>	609
<i>Required Information for ATF Form 5630.7</i>	609
<i>Proof of Taxpayer Identification for Individuals Filing First Return</i>	610
<i>Signing of Form 5630.7</i>	611
<u>Multiple Locations, Businesses, & Partnerships</u>	611
<i>Multiple Locations</i>	611
<i>Multiple Businesses at Same Location</i>	612
<i>Partnerships</i>	613
<u>Special Tax Stamp</u>	613

Table of Contents

<i>Lost or Destroyed</i>	613
<u>Changes of Ownership</u>	613
<i>Death of Owner</i>	613
<i>Bankruptcy of Owner</i>	614
<i>Change in Partnership or Unincorporated Association</i>	614
<i>Corporation Changes</i>	614
<u>Change in Business Location</u>	615
<u>Change of Business Name</u>	615
<u>Additional Notifications to Government of Business Changes</u>	616
<u>Penalties and Interest</u>	617
<i>Failure to Pay Special (Occupational) Tax</i>	617
<i>Succeeding Business and Name Changes</i>	617
<i>Delinquency</i>	618
<i>Fraudulent Return</i>	618
<i>Application of State Laws</i>	619
NFA Forms to Request Making, Manufacturing, Importing, Transferring, Exporting, or Registering NFA Firearms	619
“Making” Tax for Each NFA Firearm	623
<u>Exemptions from “Making” Tax</u>	624
<i>Qualified Manufacturer</i>	624
<i>On behalf of the federal government</i>	624
<i>On behalf of a state government</i>	624
Transfer Tax Stamps for Each NFA Firearm	624
<u>Exemptions from Transfer Taxes</u>	625
<i>Exemption for Federal Government</i>	625
<i>Exemption for State Governments</i>	626
<i>Exemption for Transfers Between Licensees (ATF Form 3)</i>	628
<i>Exemption for Unserviceable Firearms</i>	630
<i>Exemption for Exports</i>	631
<i>Exemption for Transfers to United States Insular Possessions</i>	632
<i>Exemption for Transfers to a Lawful Heir</i>	632
<u>Transfer Tax & Import Duty</u>	632
Serialization of NFA Firearms	633
<u>Manufacturers, Importers, and Makers</u>	633
<u>Alternative Methods</u>	634
<u>Frames & Receivers/Incomplete Firearms</u>	635
<u>Destructive Devices</u>	635
<u>Unlawful to Remove or Alter Serial Number</u>	635
Registration of NFA Firearms	636
<u>Registration Requirements</u>	636
<i>Manufacturers, Importers, and Makers</i>	636
<i>Registration of Unserialized Firearm</i>	637
<i>Registration by State Government or Law Enforcement</i>	637
<u>Lawful Possession Required for Registration</u>	638
<u>Registration Requirement for NFA Firearm Transfers</u>	638
<u>Required to Retain Proof of Registration</u>	639

Table of Contents

Importation of NFA Firearms and Registration of Imported NFA Firearms	640
<u>Importation Restrictions of NFA Firearms</u>	640
<u>Alternative Method for Temporary Imports of NFA Weapons</u>	640
<u>Permit Requirements: Item Listed on USMIL and Subject to the National</u>	
<u>Firearms Act</u>	642
<u>Registration of Imported NFA Firearms</u>	642
<u>When Temporary Importation of NFA Weapons to Licensee Is Not a Transfer</u> . . .	643
Exportation of NFA Firearms	644
<u>Form 9: Application and Permit for Exportation of Firearms</u>	644
<u>Transfer to Exporter</u>	645
<u>Form 9 Approval/Disapproval</u>	645
<u>Shipment Procedures by Exporter</u>	645
<i>Exported by Parcel Post</i>	645
<i>Exported by Other than Parcel Post</i>	646
<i>Export Not Made After Permit Issued</i>	646
<u>Procedure by Customs</u>	646
<i>Inspection</i>	646
<u>Exporter Must Provide Proof of Exportation</u>	647
Required Business Records & Reports for NFA Firearms	647
<u>NFA Business Records</u>	647
<i>Gun Control Act Record Keeping Requirements Applicable</i>	648
<i>Additional NFA Requirements</i>	648
<i>Criminal Conduct for False Entries</i>	648
<u>Stolen/Lost Firearms or Records</u>	649
<i>Stolen or Lost Firearms</i>	649
<i>Stolen or Lost Records</i>	649
Restrictions on Use of NFA Records	649
ATF Inspections	650
<i>Time of Inspections</i>	650
<i>Location of Inspections</i>	650
<i>Scope of Inspections</i>	650
The Department of Justice’s Solution in Search of a Problem	650
“Making” NFA Firearms by Other Than GCA/NFA Qualified Manufacturers	653
<u>Process for “Making” NFA Firearms</u>	653
<u>ATF Review of Application to Make NFA Firearm</u>	657
<i>Approval/Disapproval</i>	657
<i>Cancellation of Stamp</i>	658
<u>Proof of Registration</u>	658
Transfer of NFA Firearms	658
<u>Exception for Transactions Between Licensees</u>	659
<u>Exception: Research Organizations</u>	659
<u>Transfer Process for NFA Firearms</u>	660
<i>Additional Requirements Beyond the Application</i>	663
<u>ATF Director Review of NFA Transfer Application</u>	664
<u>Approval and Registration of NFA Firearm Transfer</u>	664
<u>Post-Approval Process</u>	665

Table of Contents

<u>Disapproval of NFA Firearm Transfer</u>	665
<u>Possession by Estates During Probate Not a “Transfer”</u>	665
National Firearms Tax Stamps	667
<u>Redemption of or Allowance for NFA Tax Stamps</u>	667
<u>Refund of Tax Stamps Taxes</u>	667
<i>Taxes Paid Pursuant to Assessment</i>	667
<i>Taxes Paid for Making or Transfer Not Taking Place</i>	667
<u>Unlawful Conduct Related to NFA Tax Stamps</u>	668
<i>Counterfeiting</i>	668
<i>Mutilation or Removal</i>	668
<i>Use of Mutilated, Insufficient, or Counterfeited Stamps</i>	668
<i>Reuse of stamps</i>	669
Interstate/Foreign Transportation of NFA Firearms by Nonlicensees	
Requires Approval	669
<u>Exception for Licensees</u>	670
<u>Request for Transport Authorization</u>	670
Alternative Methods/Procedures and Emergency Variations	671
<u>Alternative Methods or Procedures</u>	671
<i>Application to Director of Industry Operation</i>	671
<i>Approval Criteria</i>	671
<i>Post-Approval Compliance</i>	672
<i>Withdrawal by ATF Director</i>	672
<u>Emergency Variations from Requirements</u>	672
<i>Application</i>	672
<i>Approval Criteria</i>	672
<i>Post-Approval Compliance</i>	673
<i>Withdrawal by ATF Director</i>	673
<i>Recordkeeping Requirement</i>	673
Penalties and Forfeitures	673
<u>Penalties</u>	673
<u>Forfeitures</u>	674
CHAPTER 21: <i>Fire arm Seizure and Forfeiture</i>	675
The Gun Control Act’s Confiscation Provisions	675
National Firearms Act Forfeiture Provisions	677
Government Required to Specifically Identify Firearms/Ammunition	678
<u>Period for Government to Commence Charges</u>	678
<u>Return upon Acquittal or Dismissal</u>	678
<u>Attorney Fees Recoverable for Legal Action to Have Firearms/Ammunition</u>	
<u>Returned</u>	679
CHAPTER 22: <i>Criminal Conduct and Enhanced Penalties</i>	681
Transfers with Intent or Knowledge of Criminal Use	681
<u>Crime of Violence</u>	681
<u>Drug Trafficking Crime</u>	681

Table of Contents

Travel to Other States to Acquire or Transfer Firearms to Engage in Specified Crimes	681
Theft of Firearms	683
Theft of Firearms from Licensee	683
Use of a Firearm During a Violent/Drug-Trafficking Crime	684
<u>Use of Restricted Firearms</u>	685
<u>Subsequent Convictions</u>	685
<u>No Probation or Concurrent Sentences</u>	685
<u>Murder Resulting from Use of Firearms During Commission of Violent or Drug-Trafficking Crime</u>	686
Use of Armor-Piercing Ammunition During the Commission of a Violent or Drug-Trafficking Crime	686
Smuggling or Importing Firearms for Violent or Drug-Trafficking Crimes	687
CHAPTER 23: Miscellaneous Provisions	689
Lost or Stolen Firearms	689
<u>Reporting Requirements</u>	689
<i>Telephone ATF</i>	689
<i>File ATF Form 3310.11 (FFL Firearms Inventory Theft/Loss Report)</i>	689
<i>Contact Local Authorities</i>	690
<i>File ATF Form 3310.6 (Interstate Firearms Shipment Theft/Loss Report)</i>	690
<u>Recordkeeping Requirement</u>	690
<u>Subsequent Discovery of Firearm</u>	691
Natural Disasters: Securing and Moving Firearms Records and Inventory	691
<u>Lost or Stolen Firearms</u>	691
<u>Destroyed Business</u>	691
<u>Voluntary Steps to Prepare for Pending Natural Disaster</u>	692
<u>Voluntary Procedures to Evacuate Premises and/or Store Records and Inventory Elsewhere</u>	692
<u>Voluntary Procedures When Firearms Premises Destroyed or Inventory and Records Destroyed/Damaged</u>	693
Protection of Lawful Commerce in Arms Act	693
<u>Protection of Lawful Commerce in Arms Act</u>	693
<i>Findings and Purposes</i>	695
<i>Qualified Civil Liability Actions Precluded</i>	697
Body Armor	701
<u>Employee Exception</u>	701
<u>Penalty</u>	701
ATF Forms and Publications	702
<u>State Laws and Published Ordinances—Firearms</u>	702
<u>Requests for ATF Forms</u>	702