



**U.S. Department of Justice**

Bureau of Alcohol, Tobacco,  
Firearms and Explosives

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

March 2, 2022

REFER TO: 2020-0802

VIA Email: [wjo@mindspring.com](mailto:wjo@mindspring.com)

Dear Mr. Olson:

This responds to your Freedom of Information Act (FOIA) request dated June 1, 2020, and received by the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) on the same day, in which you requested records concerning the ATF Processing of Dealer "Out of Business" Records.

This is a rolling production and this is **Release One**. In response to your request, we have processed a total of 312 pages of responsive material.

You have requested material that ATF is required to maintain pursuant to the Gun Control Act (GCA) and/or is information contained in ATF Firearms Trace System database. This information is exempt from disclosure pursuant to Exemption (b)(3) of the FOIA and Public Law 112-55, 125 Stat. 552.

Exemption (b)(3) of the FOIA permits the withholding of information prohibited from disclosure by another statute only if one of two disjunctive requirements are met: the statute either (A) requires that the matters be withheld from the public in such a manner as to leave no discretion on the issue, or (B) establishes particular criteria for withholding or refers to particular types of matters to be withheld. Thus, a statute falls within the exemption's coverage if it satisfies any one of its disjunctive requirements.

Beginning in 2003, Congress placed restrictions on ATF's disclosure of certain GCA related information. In short, ATF can only provide certain GCA data to a law enforcement agency or a prosecutor solely in connection with a criminal investigation or prosecution. Beginning in Fiscal Year 2006, Congress included a provision within each iteration of the restriction, which effectively made the law permanent.

The most recent iteration of these various restrictions was included in ATF's 2012 Appropriation Bill, Public Law 112-55, 125 Stat. 552. Some of the information in the requested records falls within this restriction. Since the Fiscal Year 2006 through 2008 restrictions satisfy all the requirements of FOIA Exemption (b)(3), and the 2012 language is perpetuated from those

Mr. Robert Olson

restrictions, I am withholding the trace data pursuant to 5 U.S.C. § 552 (b)(3) and Public Law 112-55, 125 Stat. 552.

We are withholding third party information, including the names of ATF employees, under FOIA Exemption (b)(6). To disclose personal information about a living individual to a member of the public, we need the written consent from the persons whose information you requested. Without written consent, proof of death, or an overriding public interest, personal information is exempt from disclosure under the FOIA. The FOIA does not require agencies to disclose information that would constitute a clearly unwarranted invasion of the personal privacy of third parties (5 U.S.C. § 552(b)(6)).

We are withholding the specific law enforcement techniques and procedures used in our investigation pursuant to Exemption (b)(7)(E) of the FOIA. Exemption (b)(7)(E) exempts from mandatory disclosure records or information compiled for law enforcement purposes when production of such records or information “would disclose techniques and procedures for law enforcement investigations or prosecutions, or would disclose guidelines for law enforcement investigations or prosecutions if such disclosure could reasonably be expected to risk circumvention of the law” (5 U.S.C. § 552(b)(7)(E)). The information withheld reveals specific law enforcement procedures and techniques used in this investigation. Disclosure of such information could enable individuals outside of the agency to circumvent agency functions and gain access to sensitive investigative information.

For your information, Congress excluded three discrete categories of law enforcement and national security records from the requirements of the FOIA. *See* 5 U.S.C. § 552(c). This response is limited to those records that are subject to the requirements of the FOIA. This is a standard notification that is given to all our requesters and should not be taken as an indication that excluded records do, or do not, exist.

You may contact our FOIA Public Liaisons, Darryl Webb or Zina Kornegay, at (202) 648-7390, for any further assistance and to discuss any aspect of your request. Additionally, you may contact the Office of Government Information Services (OGIS) at the National Archives and Records Administration to inquire about the FOIA mediation services they offer. The contact information for OGIS is as follows: Office of Government Information Services, National Archives and Records Administration, Room 2510, 8601 Adelphi Road, College Park, Maryland 20740-6001, e-mail at [ogis@nara.gov](mailto:ogis@nara.gov); telephone at 202-741-5770; toll free at 1-877-684-6448; or facsimile at 202-741-5769.

If you are not satisfied with my response to this request, you may administratively appeal by writing to the Director, Office of Information Policy (OIP), United States Department of Justice, 441 G Street, NW, 6th Floor, Washington, D.C. 20530, or you may submit an appeal through OIP's FOIA STAR portal by creating an account following the instructions on OIP's website: <https://www.justice.gov/oip/submit-and-track-request-or-appeal>. Your appeal must be postmarked or electronically transmitted within 90 days of the date of my response to your request. If you submit your appeal by mail, both the letter and the envelope should be clearly marked “Freedom of Information Act Appeal.”

Mr. Robert Olson

Sincerely,























A handwritten signature in black ink, appearing to read "A. Siple".

Adam C. Siple  
Chief  
Information and Privacy Governance Division

Enclosure

## Media Conversion Data and Image Upload for ECM

Images (Non-Searchable PDFs):

Name	Date modified	Type	Size
 14965-00-4061515	8/21/2020 8:56 AM	Adobe Acrobat D...	89 KB
 14965-00-4061516	8/21/2020 8:56 AM	Adobe Acrobat D...	85 KB
 14965-00-4061517	8/21/2020 8:56 AM	Adobe Acrobat D...	85 KB
 14965-00-4061518	8/21/2020 8:56 AM	Adobe Acrobat D...	84 KB
 14965-00-4061519	8/21/2020 8:56 AM	Adobe Acrobat D...	86 KB
 14965-00-4061520	8/21/2020 8:56 AM	Adobe Acrobat D...	86 KB
 14965-00-4061521	8/21/2020 8:56 AM	Adobe Acrobat D...	86 KB
 14965-00-4061522	8/21/2020 8:56 AM	Adobe Acrobat D...	86 KB
 14965-00-4061523	8/21/2020 8:56 AM	Adobe Acrobat D...	86 KB
 14965-00-4061524	8/21/2020 8:56 AM	Adobe Acrobat D...	87 KB
 14965-00-4061525	8/21/2020 8:56 AM	Adobe Acrobat D...	86 KB
 14965-00-4061526	8/21/2020 8:56 AM	Adobe Acrobat D...	86 KB
 14965-00-4061527	8/21/2020 8:56 AM	Adobe Acrobat D...	86 KB
 14965-00-4061528	8/21/2020 8:56 AM	Adobe Acrobat D...	85 KB
 14965-00-4061529	8/21/2020 8:56 AM	Adobe Acrobat D...	85 KB
 14965-00-4061530	8/21/2020 8:56 AM	Adobe Acrobat D...	85 KB
 14965-00-4061531	8/21/2020 8:56 AM	Adobe Acrobat D...	85 KB
 14965-00-4061532	8/21/2020 8:56 AM	Adobe Acrobat D...	86 KB
 14965-00-4061533	8/21/2020 8:56 AM	Adobe Acrobat D...	86 KB
 14965-00-4061534	8/21/2020 8:56 AM	Adobe Acrobat D...	86 KB
 14965-00-4061535	8/21/2020 8:56 AM	Adobe Acrobat D...	86 KB
 14965-00-4061536	8/21/2020 8:56 AM	Adobe Acrobat D...	87 KB



Weapons Data File (Does NOT Contain PII, Firearm and Batch Information Only. Permits Serial Number Search in ECM.):

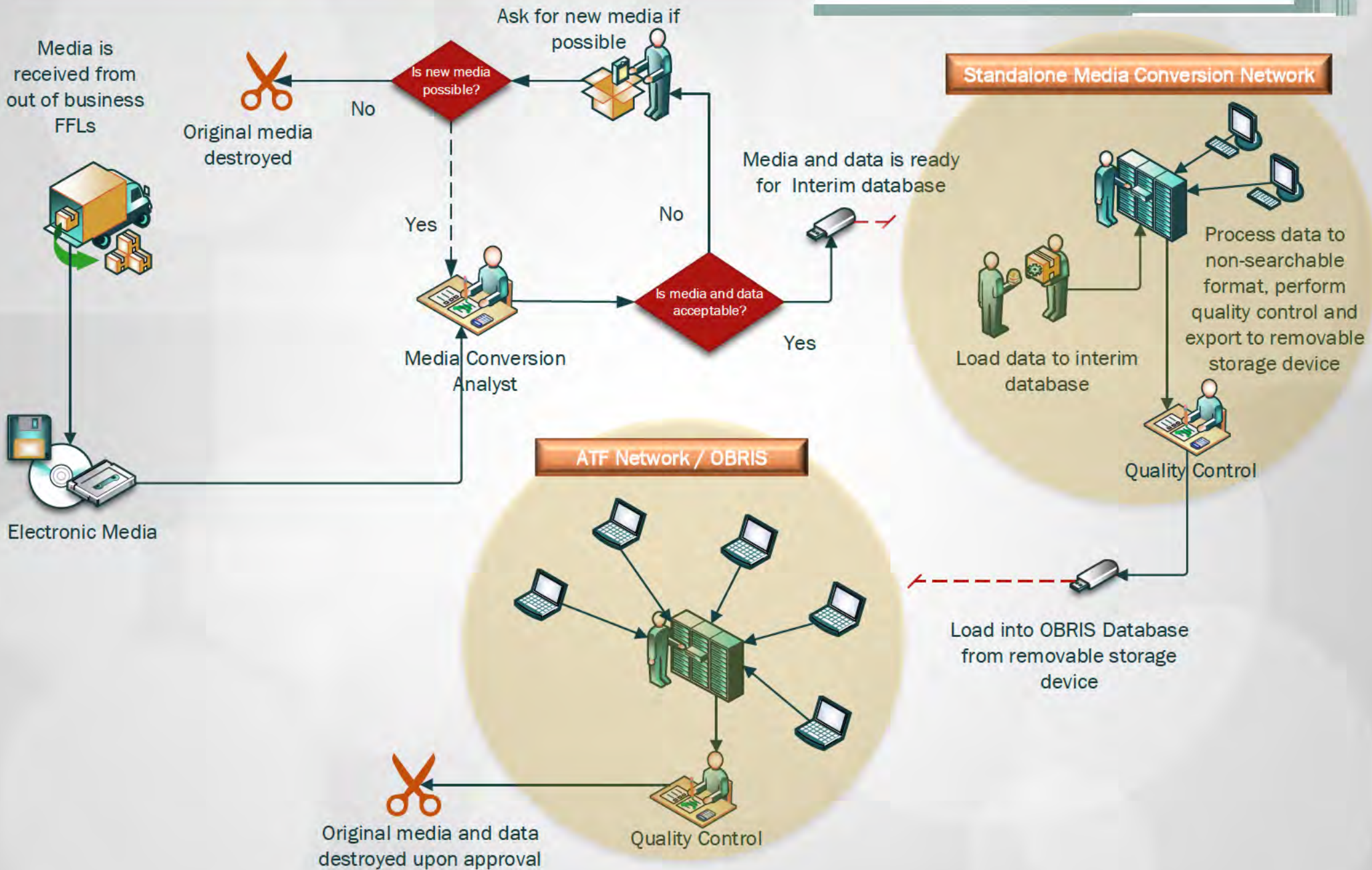
weapons - Notepad

File Edit Format View Help

**b3 Public Law 112-55 (125 Stat. 552)**

# Media Conversion Process

December 2015



## Response to FOIA 2020-0802:

- records identifying the current number of pages of records housed by the OOB Records Center;

All counts are as of 9/25/2020

Total of OOB Pages (imaged in ECM-OBR and pending imaging) = **461,235,863**

- Total OOB Pages in ECM-OBR = 420,350,563
- Approximate pages to be imaged from the Warehouse = 40,885,300.

Total Digital Reel Image Count = **397,009,542**

- 382,797,000 images from microfilm rolls in Digital Reel
- 14,212,542 images from microfiche in Digital Reel

\*The Digital Reel system is utilized by the NTC Division to store and retrieve OOB records that were received and processed by ATF prior to 2006 using microfilm/microfiche.

- records showing how OOB records are currently stored by ATF, including whether Forms 4473 and/or "bound books" are being scanned into digitized form, and/or turned into a searchable database through manual entry or use of "optical character recognition" software;

In mid-February of 2017 all OOB records stored in the Out-of-Business Records Imaging System (OBRIS), were migrated over to the new ATF Enterprise Content Management (ECM) system. The Enterprise Content Management (ECM) system utilizes Oracle WebCenter to provide a set of modular Commercial off the Shelf (COTS) products, which meet ATF high volume content management requirements, delivering the information via a web portal. The ECM system allows digital content to be centrally managed and shared by multiple applications and business groups across the ATF enterprise. The products support the high volume capture, Indexing, Storage, Search, and Retrieval of digital content received from high volume scanners, data conversion utilities, and native electronic content.

User Roles include user and system administration for Capture, Content, and Portal. System access is controlled by pulling credentials from Active Directory via WebLogic. Access variables set in the WebCenter framework are mapped to the roles and privileges in the Active Directory groups of an identical name.

The security groups for the Enterprise Content Management project include FELC, FFLC, FEIB, AFMER and **OBR**. As users are added to the system, they will be assigned to one or more groups dependent on their job function and depending upon what Groups' documents they should be granted access. The National Tracing Center (NTC) Division utilizes the OBR security group to store digital images (.tiff or .pdf format) of OOB records, which includes acquisition and disposition logbooks, along with Forms 4473 and other required records.



When paper records are received from a FFL that has discontinued business, the NTC Division scans the documents as .TIFF image files using high-speed IBML scanners. The Post Scan process, utilized to upload the .TIFF image files into the ECM-OBR repository, converts the images to a .PDF format for storage and retrieval. The files are stored as images (with no optical character recognition software). OOB records cannot be searched using free-form text queries. The OOB image files are indexed (tagged) by FFL number. This allows NTC personnel to identify a group of OOB records through a FFL number search, and then manually scan through the FFL records to locate a particular transaction.

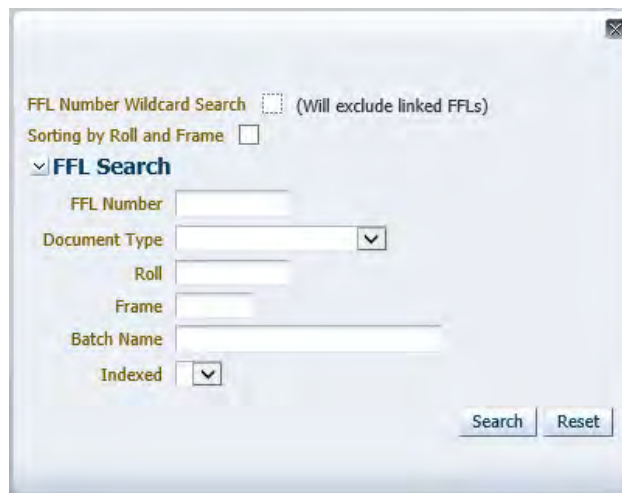
For those FFL's who submit OOB records in an electronic format, the NTC Division converts the data to a .PDF file format that is consistent with the processing of paper records. In addition to indexing the electronic Acquisition & Disposition records by FFL number, the eMedia conversion process also extracts metadata relative to the firearm description (Serial Number, Manufacturer, Type, Caliber/Gauge, Model, and date of acquisition). This allows NTC personnel to query the ECM-OBR repository by serial number, rather than having to search by FFL number and then manually scan through all of the FFL's OOB records to locate a particular transaction.

The OBR Security Group within the Enterprise Content Management system does not allow users to search by name. As illustrated in the screenshots below, users can only conduct a "FFL Search" and a "Serial Number Search". The available fields for each type of search are displayed below:

### FFL Search

FFL Search leverages WebCenter Portal to perform a search and view scanned and imported images/documents. By default, the images will open in the configured image viewer on the user workstation.

1. Initiate an FFL Search by clicking the **Search** button. A dialog box is displayed.



### FFL Search Criteria

2. Enter the search criterion. Click the **Search** button to initiate the search.

**Note:** To search using a wildcard by clicking the checkbox next to the label 'FFL Number Wildcard Search'. To use the wildcard in front of the string enter %12345 and click the FFL Number Wildcard search checkbox.

3. The system displays the returned search results based on the selected criterion.


View	FFL Number	Document Type	Roll	Frame	Batch Description	Batch Name	Documents	Batch Date	Copy	Create Weapon Transaction
	7500528	Worksheet	60142	1.1430			62			
	9523467	Form 4473	32559	1.1092			501			
	7500528	Worksheet	60141	2.501			80			
	9523467	Form 4473	32553	1.5773			251			
	9523467	Form 4473	32560	1.3765			251			
	9523467	Form 4473	32544	1.5511			501			
	9523467	Form 4473	32559	1.7815			257			
	5234688	Worksheet	43544	26.31			6			
	8303852	Worksheet	43541	34.8			316			
	9523467	Form 4473	32574	1.3812			251			
	9523467	Worksheet	32548	1.8			251			
	3339653	Worksheet	43453	1.6176			300			
	3339653	Worksheet	43454	1.5342			300			
	9523467	Form 4473	32564	1.3587			581			
	3416352	Worksheet	15037	1.3657			304			
	4235282	Worksheet	60069	5.1089			300			
	9523467	Form 4473	32557	1.3263			251			
	9523467	Form 4473	32544	1.5511			581			

### FFL Results Summary

4. To narrow the returned search results, filter by entering additional criteria over each of the column labels if a white box is displayed. **Note:** This filter is case sensitive. If the white box is not displayed, click the **Query by Example** icon to filter by the available fields. A user can filter results using the fields above the labels FFL Number, Document Type, Roll, Frame, Batch Description, Batch Name and Documents.

View	FFL Number	Document Type	Roll	Frame	Batch Description	Batch Name	Documents	Batch Date	Copy	Create Weapon Transaction
	7500528	Worksheet	60142	1.1430			52			
	9523467	Form 4473	32559	1.1092			501			
	7500528	Worksheet	60141	2.501			80			
	9523467	Form 4473	32553	1.5773			251			
	9523467	Form 4473	32560	1.3765			251			
	9523467	Form 4473	32544	1.5511			501			

### Query By Example

5. Select a document/image to view, by clicking the **View** icon  in the View column on the item row to view the document.

### Serial Number Search

Serial Number Search leverages WebCenter Portal to perform a search and view scanned and imported images/documents. By default, the images will open in the configured image viewer on the user workstation.

1. Initiate a Serial Number Search by clicking the **Search** button. A dialog box is displayed.

### Serial Number Search Criteria

2. Enter the search criterion. Click the **Search** button to initiate the search.

**Note:** To search using a wildcard click the checkbox next to the label **'Serial Number Wildcard Search'**. To use the wildcard in front of the string enter %12345 and click the **Serial Number Wildcard Search** checkbox.

3. The system displays the returned search results based on the selected criterion.


Serial Number	Document Type	FFL Number	Roll	Frame	Manufacturer	Weapon Type	Caliber	Model	Transaction Date	Batch Description	Batch Name	Copy	Comments	Update
12345a		5435486	72826	2.7076										
692649		5435486	72826	2.7076										
12345b		5435486	72826	2.7076										
692649		5435486	72826	2.7076										
12345c		5435486	72826	2.7076										
12345d		5435486	72826	2.7076										
692649		5435486	72826	2.7076										
1D42821		5435444	70333	62.6										
12345e		5435486	72826	2.7076										
NF239422	Voided Doc.	5435450	41541	27.26										
014588	State Form	5435471	41129	54.11										
NG006677	State Form	5435471	41129	54.11										
983404	State Form	5435471	41129	54.11										
436201	State Form	5435471	41129	54.14										
22006545	State Form	5435471	41129	54.17										
006688	State Form	5435471	41129	54.12										
943395	State Form	5435471	41129	54.12										

### Serial Number Results Summary

4. To narrow the returned search results, filter by entering additional criteria over each of the column labels if a white box is displayed. **Note:** this filter is case sensitive. If the white box is not displayed, click the **Query by Example** icon to filter by the available fields. A user can filter results using Serial Number, Document Type, FFL Number, Roll, Frame, Manufacturer, Weapon Type, Caliber, Model, Batch Description, Batch Name and Comments.

View	Serial Number	Document Type	FFL Number	Roll	Frame	Manufacturer	Weapon Type	Caliber	Model	Transaction Date	Batch Description	Batch Name	Copy	Comments	Update
	12345a		5435486	72826	2.7076										
	12345e		5435486	72826	2.7102										
	12345d		5435486	72826	2.7076										
	12345c		5435486	72826	2.7076										
	12345b		5435486	72826	2.7076										

### Query By Example

5. Select a document/image to view, by clicking the **View** icon  in the View column on the item row to view the document. The web application will display the selected file in the native viewer setup on the user's desktop/laptop. By default, the document/images display in the default viewer in a separate window.

For more information, please reference the attached “REF-Media Conversion Process Chart” and “WI-Media Conversion\_v11”. Additionally, “Media A&D Upload File Examples” provides examples of how electronic A&D’s are converted to PDFs, and depicts the associated XML file (ties the PDFs to the FFL and correlated batches for ECM upload), and weapons file (contains firearm and batch information only, no PII).

- records describing the capabilities of any digital database of OOB records that may exist, such as ability to search for all 4473's ever completed by a particular person;

As outlined in the response above, the Enterprise Content Management - OBR Image repository only allows NTC personnel to search OOB records by FFL Number and Serial Number. Please reference the attached document titled “WI-Imaging-v6” for additional details on the NTC Division’s Imaging and Quality Control process.

- any ATF policies or procedures governing access to OOB records; and

All requests for access to ATF systems/applications are centrally managed through the Access (formerly eRequest) module within the ATF Service Catalog. As noted in the screenshot below, access to ECM – OBR Imaging is limited to NTC (National Tracing Center) use only.

ATF

Home > Service Catalog > Access (formerly eRequest) > Application Access

Search

Submit

\* Requested For

\* Request Type  
New Access

\* What is the name of the application?  
OBR Imaging (ECM-Prod)

\* What role do you need?  
OBR Imaging (ECM-Prod) OBR Search (NTC only)

Add attachments

ATF employees working at the NTC can be granted access to ECM – OBR Imaging if the Access request is approved by their supervisors, and also by the System Owner (or designee). ATF employee requests are approved/rejected by their supervisors and those approved requests are then transferred to the system owner/designee for approval. NTC contract employees may request access to ECM – OBR Imaging and those requests are forwarded to the COR (Contracting Officer Representative) or designee for approval. Once access is approved by the COR/designee, the requests are then transferred to the system owner/designee for approval. All approved system access requests (for both ATF and Contractors) are then forwarded to the database administrators for account creation.

Current user counts for ECM–OBR Imaging are as follows:

ECM\_PROD: OBR\_SEARCH - 335

ECM\_PROD: OBR\_ADMIN - 64

- [any ATF records discussing how any such digitized database of OOB records that may exist comports with the 18 U.S.C. § 926\(a\)\(3\) prohibition on maintenance of a national gun registry.](#)

Excerpt from ATF Order 3310.4C:

Out-of-Business Records. The NTC collects and maintains firearms transaction records for those FFLs who have discontinued business. These records are used to complete firearms trace requests where a dealer within the chain of distribution has gone out-of-business. Out-of-business records are maintained on microfilm or stored as digital photographs within the Out-of-Business Records Imaging

System (OBRIS). **No records are retrievable by name.** Microfilm or digital photographs are visually inspected to determine disposition data to complete firearms trace requests.

Excerpt from ATF Order 1340.6A:

**COMPUTERIZED RECORDS.** The FFL/FEL/FEP must print out the required records or download them to a physical storage device (i.e. hard drive, CD, DVD, USB Flash Drive) or at the discretion of the licensee, both. The complete printout or download must provide an American Standard Code for Information Interchange (ASCII) text file (conforming to common industry standards) containing all acquisition and disposition records, and a file description. The complete printout or downloaded ASCII text file (and file description) must contain all information prescribed by regulation. **The NTC converts these files into image files not searchable by name.**

Excerpt from ATF Publication 3312.10A:

### **What is the NTC's Out-of-Business Records Repository?**

In 1986 Congress mandated that ATF centralize out-of-business records of Federal Firearms Licensees (FFLs) by establishing a records repository. The purpose of the Out-of-Business Records Repository is to maintain records (for use in firearms tracing) of FFLs who have gone out of business.

#### **Law/Regulation**

18 U.S.C. 923(g)(4) and 27 CFR 478.127 generally requires that FFLs who have discontinued business must forward their required records to ATF within 30 days of discontinuance.

#### **Penalty**

FFLs who willfully fail to forward their required records to ATF upon discontinuance face a penalty of \$250,000 and/or 5 years in jail. Note: It is the licensee's responsibility to send records in a manner that enables the FFL to prove that the records have been received by ATF.

#### **Required Records**

Original Federal firearms license; Acquisition/Disposition (A&D) records; ATF Forms 4473, Firearms Transaction Records; ATF Forms 3310.4, Report of Multiple Sale or Other Disposition of Pistols and Revolvers; ATF Forms 3310.12 Report of Multiple Sale or Other Disposition of Certain Rifles; ATF Forms

3310.11, Federal Firearms Licensee Theft/Loss Report; and law enforcement certification letters. If the licensee maintained a computerized record keeping system, the required records must be printed out or download to a physical storage device (i.e. hard drive, CD, DVD, USB Flash Drive) or at the discretion of the licensee, both. The computerized records (if applicable) must be provided in American Standard Code for Information Interchange (ASCII) text file format (conforming to common industry standards) containing all acquisition and disposition records and file description. **The NTC converts these files into image files not searchable by name.** See 27 CFR 478.129 for details on the length of time records must be kept.

ATF National Tracing Center				Out-Of-Business Records Repository (OBRR) – Document Imaging & Conversion
File Name	Version	Version Date	BOC	Owner
WI-Imaging	6	5/13/2019	904030	Tracing Operations and Records Management Branch

## Process Overview

This procedure defines the imaging process for records submitted to Document Imaging and Conversion for the Out-of-Business Records Repository (OBRR), Firearms & Explosives Services Division (FESD), and In-House Records located at ATF’s National Tracing Center (NTC). These documents are in a “scanner-ready” state for scanning and image quality control purposes.

All records are imaged, in the order in which they have been prepared, and every attempt is made to provide the best quality image. If the documents are not received in an order that is deemed approvable, the documents will be prepared appropriately prior to imaging by the division the records were initially submitted from.

This process is merely a guideline developed to provide assistance to the Imaging staff to make the Imaging process more streamlined and will aid in determining the best methods of capturing a quality image.

## Terminology

- **Enterprise Content Management System (ECM)** - an enterprise-class imaging platform, bringing together document extraction, content and business process management infrastructure, and standards-based integrations with Oracle’s business applications. The solution provides end-to-end document imaging and automation built upon an integrated Oracle Fusion Middleware infrastructure.
- **Federal Explosives Licensing Center (FELC)** - is responsible for reviewing and acting upon applications for Federal explosives licenses/permits. The FELC coordinates inspection of applicants with the appropriate field offices. The FELC is also the official repository of explosives inspection reports. The FELC personnel maintain the FLS database for explosives and frequently provide certifications to ATF field personnel concerning investigations regarding a FELs licensed status.
- **Federal Firearms Licensing Center (FFLC)** - supports ATF's Strategic Plan by reviewing and processing Federal firearms license applications, performing applicant background checks, collecting application fees, issuing Blue Ribbon Certifications as evidence in court proceedings, and researching and responding to Congressional and Freedom of Information Act inquiries. –
- **Firearms and Explosives Imports Branch (FEIB)** - responsible for fulfilling ATF statutory responsibilities relative to import provisions of the Gun Control Act of 1968, the National Firearms Act, and the Arms Export Control Act of 1976, by processing all applications to import firearms, ammunition and implements of war into the United States; processing all applications to register under the Arms Export Control Act as an importer of U.S. Munitions List articles, including the collection and deposit of registration fees; and issuing International Import Certificates to effect the release of U.S. Munitions Import List articles intended to be imported into the United States.

ATF National Tracing Center				Out-Of-Business Records Repository (OBRR) – Document Imaging & Conversion
File Name	Version	Version Date	BOC	Owner
WI-Imaging	6	5/13/2019	904030	Tracing Operations and Records Management Branch

- **Firearms and Explosives Services Division (FESD)** - promotes ATF's missions by administering the statutory requirements for licensing, permitting, tax collection, and fee collection provisions of the Gun Control Act, the Federal Explosives laws, and Arms Export Control Act.
- **Imaging Business Machines, LLC (IBML)** - global provider of end-to-end information capture solutions, combining ImageTrac intelligent scanners and other scanners with our advanced capture software and services.
- **In-house** – Multiple Sales, Trace Requests, and Demand records that are processed and stored at the NTC until digitized and available to view in ECM.
- **Image Quality Control (IQC)** - an integral component of a digital imaging initiative to ensure that quality expectations are met. It encompasses procedures and techniques to verify the quality, accuracy, and consistency of digital products.
- **Job** – custom image capture software established to meet the output requirements for each document type scanned
- **Jogger** - machines that are used to align and organize documents so they can be fed into other machines for binding, hole punches, cutting, mailing, shipping, and printing
- **Kirtas (Skyview)** - flatbed imaging system captures up to a 35x25 inch aerial view using 21.1-megapixel high-resolution Canon EOS 1DS Mark III digital camera. Moving cameras and a sliding shelf work together to create a perfect image of larger documents
- **National Tracing Center (NTC)** - Accurately and efficiently, conduct firearms tracing and associated programs and processes for International, Federal, State and local law enforcement agencies to provide investigative leads. The NTC has three branches: Firearms Tracing Branch, Law Enforcement Support Branch, and Tracing Operations and Records Management Branch.
- **RECPAK** – receiving packet to include Target sheet, Receiving Checklist, Record of Conversation (if applicable), and other out-of-business supporting documentation.
- **Warehouse Tracking System (WTS)** – Warehouse / Receiving application used to track the OBRR inventory.
- **Enterprise Content Management (ECM)**- a database used to retrieve and view digital images of firearm and explosive records, license records, in-house records, and FFL correspondences
- **Webcenter Content** – a Web browser-based interface used for managing and processing work items
- **EOS utility**- an application that brings together functions to communicate with the camera. These functions include downloading and displaying images, remote shooting, and camera control for each setting.
- **Jpgconvert.cmd**- command line image converter software used to convert images to PDF.

## Process

### I. Document Imaging – Belt Feed Scanner (IBML)



ATF National Tracing Center				Out-Of-Business Records Repository (OBRR) – Document Imaging & Conversion
File Name	Version	Version Date	BOC	Owner
WI-Imaging	6	5/13/2019	904030	Tracing Operations and Records Management Branch

A. Pulling records to be scanned:

1. Retrieve next set of approved prepped records ready to be imaged from the printed WTS list showing location and box count.
2. Scan the records to the appropriate location with the WTS scanner.

B. Pre-scan tasks:

1. Follow check sheet for daily maintenance instructions; reference REF-ImageTrac DM Check List
  - i.) Clean the feed tires (Black) with mild soap and water
  - ii.) Clean and rotate the direction of the gray reverse belts
  - iii.) Clean tracking sensors with a dry cotton swab
  - iv.) Clean picker and de-double rollers with a damp cloth if necessary
  - v.) Inspect the rear camera glass
  - vi.) Vacuum or blow dust and particles off the track
2. For detailed daily maintenance instructions, reference REF-ImageTrac DM Guide

C. Power on scanner:

1. Power on the scanner by pressing the ON/OFF button located on the front of the scanner
2. Log into Windows by using assigned User Name and Password
  - i.) Assigned by the Imaging Administrator / Supervisor at time of instruction
3. Log into the Image Server located on the shared drive in order for scanned images from the IBML to write to the folder
  - i.) Select Start in lower left hand corner.
    - a.) Select run, enter [\\ntcpibml01](#) in the field, select okay. The image file will appear on the desktop
4. Log into the Scan Client using assigned User Name and Password.

D. Prepare documents for imaging:

1. Retrieve the first box to be imaged making sure to start with the earliest box in sequence.
2. Prepare records for imaging by removing the contents of each box and staging on the preparation table next to the scanner.
  - i.) To avoid confusion, do not remove the contents of too many boxes at the same time.

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- ii.) Be aware of the order the records are in the box so records are imaged in the correct prepped order
  - 3. Check the batch coversheet in each batch to ensure information on the coversheet matches the Target sheet.
    - i.) FFL Name / Number
    - ii.) OBR File Number
  - 4. Make sure batches are in correct prep order
    - i.) Date, Transaction, or Special Case
  - 5. On each box label, write initials, date, start and end batch.
    - i.) If scanning In-House (Trace Requests, Multiple Sales, & Demand records), FESD (FFLC, FELC, and Imports), and AFMER, the beginning and ending frame numbers need to be written in the Daily Scanner Log book and on each box label.
  - 6. The RECPAK will contain a target sheet and a one-barcode batch coversheet
    - i.) Select the RECPAK job
    - ii.) When scanning a folder dealer, the batches will have a RECPAK containing the target sheet, one-barcode batch coversheet, Dealer Record Summary and other documentation
  - 7. Track box numbers, batch numbers and FFLs being scanned in the Daily Scanner Log book located at each scanner.
  - 8. The documents are ready for scanning.
- E. Imaging / Scanning Process:
- 1. Preparing to image
    - i.) After preparing the batches for imaging, load batches into the feeder tray, depending on the document size.
      - a.) The 8 ½” x 11” batches can be loaded in multiples
      - b.) The 22” and 33” document batches should be loaded one at a time
        - 1.) If 22” or 33” document batches are small, multiple batches may be loaded
      - c.) Too many batches in the feeder tray at once may cause frequent jamming.
  - 2. Starting to image

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- i.) Before starting to scan, the document types need to be evaluated in order to select the correct job template in Scan Client; reference (REF-Imaging Job Groups)
    - 1.) Example - A&D No Index, 4473 No Index, Other No Index, Multiple Sales, etc.
    - a.) Select Job
    - b.) An option to select the orientation of the documents as landscape, long, irregular, or dot matrix may be available.
  - ii.) The batch number will appear on the screen in Scan Client.
    - a.) Verify the batch number in the Daily Scanner Log book and on the label on the front of the box match Scan Client.
  - iii.) Begin scanning the documents by choosing Auto Feed, Single Feed, or Hand Feed.
    - a.) Auto Feed - Allows automatic continuous feeding of documents from the feeder tray.
      - 1.) Preferred method of scanning documents.
    - b.) Single Feed – Only feeds one document at a time from the feeder tray.
    - c.) Hand Feed – Allows the scanning of a document that is not in the feeder tray due to an error.
    - d.) For additional detail, reference REF-ImageTrac User Guide
  - iv.) Pay attention to the screen to ensure that the batch coversheet and remaining documents are being scanned correctly.
    - a.) If a skewed document, late document, double feed, or min gap document are detected, the scanner will automatically stop.
      - 1.) For additional detail, reference REF-ImageTrac User Guide
    - b.) If the scanner stops, remove the documents from the feeder belts that were not scanned and, either hand-feed or place back in order with the remaining portion of the batch (on the feeder tray) to be auto fed.
  - v.) While documents are being fed through the scanner, prepare the next box to be imaged.
3. Scanner errors
- i.) For detailed information pertaining to scanner errors, reference REF-ImageTrac User Guide
  - ii.) Scan Hold Error

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a.) If a batch needs to be placed on Scan Hold, the batch will need to be reopened by the Supervisor or Team Lead. Any remaining documents will need to be imaged and the batch processed before continuing to the next batch.

4. After image process (re-boxing by batch):

- i.) After being properly imaged, all batches are expected to be placed back in the boxes in the same original condition.
  - a.) Batches should be recognizable with batch coversheet, and in the correct order
  - b.) Multiple batches may be banded together as long as in correct order
- ii.) Remove the imaged documents from the pocket located at end of right side of scanner and bundle each batch together with a rubber band before placing the batch back into the original box.
  - a.) The original and correct batch coversheet should be the top page of each bundle (batch).
  - b.) Use the “jogger” to ensure the documents are neatly stacked and banded together before placing back in original box to aid in the Image Quality Control (IQC) process.
- iii.) Place imaged boxes on cart to prevent any confusion with boxes that still need to be imaged as well as helps maintain a clean work area.
- iv.) When imaging records, write initials, date, and scanner sequence on the label on the front of the box
  - a.) Include:
    - 1.) OBR — Scanner ID, Julian date, start and end batch numbers
    - 2.) All other types of records - beginning and ending frame numbers
- v.) Provide the same information on the Daily Scanner Log before continuing to the next box.

5. Repeat Scanning Process steps until each set of records is completely imaged.

F. End of shift duties:

- i.) Place imaged boxes in approved IQC holding area.
  - a.) Scan inventory label to reflect change in stage of process and location
- ii.) Ensure work is available for next shift
  - a.) From the approved WTS list, retrieve the next set of approved records ready to be imaged for the next shift and place them in the appropriate location near each scanner.

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- 1.) Pull boxes in the order listed unless directed by Supervisor / Team Lead.
- 2.) At least 20 boxes should be staged for the next shift.
- 3.) Scan inventory label with WTS hand-held scanner for the boxes reflecting the new location
- iii.) Accurately complete an Imaging Production Log sheet for scanner statistics and turn in to supervisor / team lead.
- iv.) Update the Record Destruction Tracking Spreadsheet located on the NTC shared network
  - a.) Select appropriate tab at the bottom for the type of records imaged.
  - b.) Complete spreadsheet with Scanner ID, # of Boxes or Box ID, Operator Name, FFL#, Date and Shift.
- v.) Clean work area
- vi.) Close out of the Scan Client application, log out then power off the scanner by pressing the ON/OFF button located on the front of the scanner.

## II. Document Imaging – Skyview (ZCAM / Oversize)

### A. Pulling records to be imaged:

1. Retrieve next set of approved prepped records ready to be imaged from the printed WTS list showing location and box count.
2. Scan the records to the appropriate location with the WTS scanner.

### B. Preparing records for imaging:

1. Write initials, date, start and end batch, and beginning and ending frame numbers on each label on the front of the box.
2. Track boxes, batch numbers, and dealers being imaged in the Daily Scanner Log located at each scanner.
  - i.) When a Multiple Dealer oversize box is being imaged, the log sheet located inside the box will need to be copied. The copied form will need the date imaged, imaged by, Scanner ID, Julian date, frame number and the start and end batch information completed. This copy will be placed in the Daily Scanner Log and the original will be placed back in the box.
  - ii.) Track the Julian date and batch number on the front of each batch coversheet
3. Open EOS utility by clicking the icon on the desktop.

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- i.) Power on Kirtas by pressing the ON/OFF button located on the back right hand side of the camera
- ii.) Click on Camera Settings/Remote Shooting
- iii.) Select Live View Shoot
- iv.) Click the Zoom icon to preview image
- v.) When complete, close window.

#### 4. Capture images

- i.) Click on the foot pedal to take first image.
  - a.) After all documents are imaged, open jpgconvert.cmd
  - b.) Type in the Julian date, click enter
  - c.) Type in batch number, click enter
  - d.) Click enter again, the batch will process to the C drive

#### 5. Edit images

- i.) Go to My computer/C drive/Kirtas
  - a.) Find the converted batch then double click on it to open.
  - b.) Select Edit PDF and drag and drop the Crop pages icon to the toolbar.
  - c.) Click the Crop icon and crop your documents in the batch.
  - d.) When finished close with the X
  - e.) Click “Yes” to save changes before closing.

#### 6. Upload images to Webcenter Content

- i.) Log in to Webcenter Content using your computer log in username and password
- ii.) At the top right-hand corner, there is a drop down box for system Searches
  - a.) Select batch search, enter last batch from previous day. Ex: Z18045-1001
  - b.) Click on the (i),
  - c.) Go to Content Actions
  - d.) Select Check In Similar
  - e.) Change the title to your batch number to match the one you are checking in
- iii.) Under Primary file, browse to the C drive, Kirtas folder and select your batch
  - a.) Enter Form Code

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- b.) Number pages
- c.) Batch Date
- d.) Batch Description
- e.) FFL Number
- f.) Batch Name
- g.) Batch Doc number is 0
- h.) Orignr Num is 34
- i.) click Check in

C. Repeat Scanning Process steps until each set of records is completely imaged.

D. End of shift duties:

1. Make sure the box label is filled out with the appropriate information.
2. Scan inventory label to reflect change in stage of process and location
3. Place imaged boxes in approved IQC holding areas.
4. Update Imaging Scanner Log for scanner statistics.
5. Ensure work is available for next shift, if applicable
  - i.) From the approved WTS list, retrieve the next set of approved records ready to be imaged for the next shift and place them in the appropriate location near each scanner.
  - ii.) Pull boxes in the order listed unless directed by Supervisor / Team lead.
  - iii.) Scan inventory label with WTS hand-held scanner for the boxes reflecting the new location
6. Accurately complete an Imaging Production Log sheet for scanner statistics and turn in to supervisor / team lead.
  - i.) Supervisor / team lead is responsible for performing a quality check to certify production records are accurately being entered by Imaging staff.
7. Update the Record Destruction Tracking Spreadsheet located on the NTC shared network
  - i.) Select appropriate tab at the bottom for the type of records imaged.
  - ii.) Complete spreadsheet with Scanner ID, Box ID, Number of Boxes, Operator Name, Date and Shift.
8. Exit out of EOS utility and Jpgconvert.
  - i.) Ensure browse folder has no remaining images and close the folder.

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9. Power off camera by pressing the ON/OFF button located on the back right hand side of the camera.

10. Clean work area

### III. Image Quality Control (IQC)

#### A. Selecting records / boxes to perform image quality control

1. Select appropriate boxes for image quality control (IQC).

i.) Use the Record Destruction Tracking Sheet as the order to complete quality control

a.) Verify with supervisor / team lead that there are not any priority QC requests

2. Use the WTS to locate the FFLs records.

3. Select the earliest box in the sequence of records.

4. Scan inventory label to reflect change in stage of process and location

#### B. Keeping track of batches for IQC:

1. Start a Record Destruction/Disposition Log (FOR-Record Destruction/Disposition) for each set of records.

i.) Enter - Scanner ID/Julian date, Start/End Batch number, FFL number, FFL name, Box ID, Box sequence, and comments.

ii.) Enter comments on the Record Destruction Log if there were rescans for the boxes. This allows the Supervisor / Lead to verify if there would be anything to hold the dealer from shred and provides information needed for the Record Destruction tracking spreadsheet with whether the dealer had rescans and if the rescans were completed.

2. Track # of Boxes, Batch Numbers, IQC Results, Total Image Counts and Comments detailing all rescans on the daily production log.

#### C. Identifying a Rescan

1. Distorted / Unreadable Image

2. Folded page / corner covering information

3. Vague Image

4. Overlapped Documents

5. Missing Page / Document

#### D. Identifying a Total Rescan



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1. Entire batch was missed during scanning
2. Better image quality can be captured using different imaging equipment such as using the IBML / Skyview.

E. How to IQC in ECM:

1. Log into ECM with your assigned username and domain password.
  - i.) Once logged into ECM, click Quick Search drop down.
  - ii.) To perform FFL Search, select FFL Search.
    - a.) Enter first FFL in the box to be IQC'd.
      - 1.) Do not use dashes (example: 5906021 or TX01235)
      - 2.) Is case sensitive
    - b.) Click Search.
    - c.) Look for the batch name corresponding with the FFL of the batch being IQC'd. First batch name in the box should match the box label.
      - 1.) Choose to continue searching by FFL or perform a batch search.
  - iii.) To perform a batch search, under “Quick Search” drop down, select Batch Search.
    - a.) Enter first batch name of the box being IQC'd.
      - 1.) Do not use dashes (example: A1118FFLC01683)
      - 2.) Is case sensitive
    - b.) Click Search.
    - c.) Look for the batch name corresponding with the first batch in the box.
    - d.) Click on info (i) icon under the actions column for the batch being IQC'd.
      - 1.) Verify the following content information:
        - (i.) FFL
        - (ii.) Form Code for FFLC and FELC
        - (iii.) Doc type
        - (iv.) Batch Name
        - (v.) Batch Document Count
          - (a.) Count physical documents to ensure accuracy between digitized images and physical documents. Note any discrepancies during document count.

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- (vi.) Click on the Native File link.
- (vii.) Select Open with Adobe Acrobat PRO (default).
  - (a.) Click Ok.
- (viii.) Once the Adobe Acrobat window opens, perform a visual inspection of the batch contents to make sure nothing constitutes a rescan.
  - (a.) IQC operator may elect to open thumbnails to scroll through images.
  - (b.) If all batch contents are correct and no rescans are needed, close Adobe Acrobat window to continue.
  - (c.) If batch contents do not match and a rescan is needed, notate what corrections need made on an Error Tracking Sheet.
  - (d.) Proceed with ECM Rescan instructions prior to continuing further.
- (ix.) Click Content Actions drop down then select Update.
  - (a.) In QC Completed field, update with COMPLETED
  - (b.) Verify all information is correct on the Info Update Form.
    - (1.) Change batch information in this window.
  - (c.) If all information is correct, click Submit Update.
    - (1.) Will be directed back to the Content Information page.
    - (2.) At this time, perform IQC for remaining batches in the box by continuing with the Batch or FFL Search.
  - (d.) For ease of tracking batches that are QC Complete, the operator can elect to view multiple batch names in the search results by eliminating a digit(s) at the end of the batch name.
    - (1.) Example: Full batch name A1118FFLC01683 will display only 1 batch, A1118FFLC0168 will display 10 batches, A1118FFLC016 will display 100 batch names, etc.
    - (2.) It is highly recommended that the operator view no more than 10 batch names in the Batch Search results.
- e.) Repeat all steps in section E on How to IQC in ECM to perform IQC tasks.

## F. Completing Rescan

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1. ECM Rescan Procedures Using Xerox:

i.) Perform the following tasks to successfully rescan documents on the Xerox:

a.) Select Services Home Button.

1.) Select E-mail.

(i.) Email addresses for Imaging staff will be programmed in the Xerox Device Address Book by the Supervisor / Group Lead.

(ii.) If email addresses are not programmed in the device address book –

(a.) Select New Recipient

(b.) Enter e-mail address

(c.) Press Add

(d.) Press Close

b.) Output Color

1.) Color

c.) Scanning Option

1.) 1 sided or 2 sided

d.) Advanced Setting Tab

1.) Imaging Options

(i.) To make image lighter or darker.

e.) Layout Adjustment Tab

1.) Original Size

2.) Custom Scan Area

(i.) To change print range length & width, if needed.

f.) File format

1.) PDF

(i.) Do not select PDF/A.

g.) Scan Document (s)

1.) Click on the E-mail address

(i.) Remove recipient

(ii.) Remove

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- 2.) Clear All button
- 3.) Confirm
- h.) Ensure the rescan folder on the desktop is empty
- ii.) Return to workstation and access email
  - a.) Find the rescanned document sent from the Xerox
  - b.) Open attached document
    - (i.) Make sure the document is legible and that none of the information has been cut off
  - c.) Click on File
    - (i.) Save As
    - (ii.) Select Desktop
    - (iii.) Select Rescan folder
    - (iv.) IQC operator can elect to rename the file
    - (v.) Save
  - iii.) Open the rescanned document(s) file in the Rescan folder
    - a.) Go to “Tools” on the right side of the PDF window
      - (i.) Ensure All Pages is selected as the default
      - (ii.) Click Ok
      - (iii.) Save file
      - (iv.) Close rescanned document(s) file
  - iv.) In ECM, click on info (i) icon under the actions column for the batch being IQC’d
    - a.) Under “Content Actions” drop down, select “Check Out”
  - v.) Click on the Native File link
  - vi.) Select “Open with Adobe Acrobat (default)”
  - vii.) Click Ok
  - viii.) Click on File
    - a.) Save As
    - b.) Select PDF
    - c.) Select Desktop

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- d.) Select Rescan folder
- e.) Save
- ix.) Open original batch name in Rescan folder
- x.) Click on “Insert page from another file” in the toolbar of the PDF file
- xi.) Select File to Insert
  - a.) Click on Desktop
  - b.) Click on Rescan folder
  - c.) Select the rescanned document(s)
  - d.) Click Select
- xii.) Insert File
  - a.) Select the direction the file will be inserted, Before or After
  - b.) Enter page number the file will be inserted before or after
  - c.) Click Ok
- xiii.) Save File
- xiv.) In ECM, click on Check In under the Check-Out Confirmation window
- xv.) Click Browse File under Primary File field
  - a.) Click on Desktop
  - b.) Click on Rescan folder
  - c.) Select original batch name file that now has the rescanned image inserted
  - d.) Click Open.
- xvi.) Ensure Completed option is selected under QC Completed field
- xvii.) Change number of pages to appropriate count of physical documents in the batch
- xviii.) Verify FFL is correct
- xix.) Change the batch document number to the corrected image count
  - a.) Batch document number should be the physical document count multiplied by two
- xx.) Click Check In
- xxi.) Verify the rescan changes are correct by reviewing the batch
- xxii.) Follow all steps in section E on How to IQC in ECM.

## 2. Perform a Rescan on Kirtas

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- i.) Power on Kirtas by the on/off switch located on the back of the camera
  - ii.) Open EOS utility by selecting the icon on desktop
    - a.) Capture image by stepping on the foot pedal or clicking the black circle button in the EOS utility page
    - b.) Image will show up automatically in EOS utility, left click and drag picture over to desktop
  - iii.) Right click on image and select “convert to adobe PDF”
    - a.) PDF will open automatically, edit image as needed by selecting the crop icon, leave this page open
  - iv.) If only a single image is needed, log onto ECM
    - a.) Search the batch name that needs corrected under batch search
    - b.) Under content action select check out
    - c.) Click on the link
  - v.) PDF file will open another tab
    - a.) Insert new image by left clicking on the new image in first tab and dragging it over to the second tab
    - b.) Drop the image before or after the defective image
    - c.) Delete defective image by right clicking and selecting “delete”
    - d.) Select save as, save file under rescan folder on desktop under the batch name
  - vi.) Check batch back in by selecting “check in”
    - a.) Under primary file select the corrected batch from rescan folder, edit document numbers if needed (for example, if adding a missed document)
    - b.) Click submit update
  - vii.) Verify rescan by selecting the second revision. To view the file select “native file”.
  - viii.) Ensure rescan was done properly.
3. Whole Batch Requires Rescan
- i.) If batch rescan is required on IBML or Kirtas, send batch to Supervisor / Team Lead.
    - a.) Batch will be delivered to IBML
      - 1.) IBML / Kirtas operator should notate batch name and “rescan” in FFL field on the daily scanner log
      - 2.) Scan batch as instructed above in Section I & II
      - 3.) Provide batch back to IQC team for review
4. Save edited batch under the assigned batch name in a rescan folder
- i.) Search the batch name that needs corrected under batch search
  - ii.) Under content action select check out
  - iii.) Click check in
  - iv.) Under primary file select corrected batch from rescan folder
  - v.) Edit document count or any other data that was changed

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- vi.) Submit changes
- vii.) Verify rescan by selecting the second revision, view the file by selecting native file
- viii.) Ensure rescan was done properly.
- 5. Go to ECM and using the Error Tracking for Imaging/IQC sheet information (Julian date and batch number) verify all rescans/modifications have been completed and saved correctly
  - i.) On Error Tracing for Imaging/IQC notate:
    - a.) Partial rescan
    - b.) Total rescan
    - c.) Name
    - d.) Date
    - e.) FFL #
    - f.) Scanner ID
    - g.) Sequence
    - h.) Batch #
    - i.) Page #
    - j.) Reason for rescan
  - ii.) Turn in all Error Tracing for Imaging/IQC sheets to Supervisor / Team Lead

## Referenced Documents

File Name	Document Title	Location (S:\ISO Documentation Storage - Temporary Holding\)
REF-ImageTrac DM Check List	ImageTrac Daily Preventive Maintenance	904030_Tracing Operations and Records Management Branch\Document Conversion Group\Imaging\References
REF-ImageTrac DM Guide	ImageTrac Operator's Daily Maintenance Tasks	904030_Tracing Operations and Records Management Branch\Document Conversion Group\Imaging\References
REF-Imaging Job Groups_v6	Imaging Job Groups	904030_Tracing Operations and Records Management Branch\Document Conversion Group\Imaging\References
REF-ImageTrac User Guide	ImageTrac and Scan Client User's Guide	904030_Tracing Operations and Records Management Branch\Document Conversion Group\Imaging\References
REF-IBML Scanning Catalog	IBML Scanning Catalog	904030_Tracing Operations and Records Management Branch\Document Conversion Group\Imaging\References
FOR-Demand Destruction	Demand Destruction	904030_Tracing Operations and Records Management Branch\Document Conversion Group\Imaging\Forms
FOR-FESD Destruction	FESD Destruction Approval	904030_Tracing Operations and Records Management Branch\Document Conversion Group\Imaging\Forms

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FOR-Record Destruction_Disposition	Record Destruction / Disposition Log	904030_Tracing Operations and Records Management Branch\Document Conversion Group\Imaging\Forms
FOR-Error Tracking	Imaging – Error Tracking	904030_Tracing Operations and Records Management Branch\Document Conversion Group\Imaging\Forms

### Revision History

Version	Effective Date	Change Description	Approved By
6	4/29/2019	Updated IQC process, general formatting updates	(b) (6) TORM Branch Chief, 5/13/2019





## ImageTrac daily preventive maintenance

*Each of these steps should be performed once per 8 hour shift.*

1. Clean the feed tires (Black) with mild soap and water.  
*Feed tires should be replaced when they are worn and / or don't feed well.*
2. Clean and rotate the direction of the gray reverse belts.  
*This helps increase the effective life of the belt. Also brush back to a "rough" texture with a hard bristle brush if debris has accumulated on the belt. Replace when the surface can no longer be brushed to a slightly "rough" texture. NEVER apply any moisture to these belts.*
3. Clean tracking sensors with a dry cotton swab.  
*Never use any type of cleaners or solvents on these sensors.*
4. Clean picker and de-double rollers with a damp cloth if necessary. *Do not use soaps or solvents, only water: rollers must be dry prior to scanning.*
5. Inspect the rear camera Glass.  
*Clean with a lint free non abrasive cloth if necessary.*
6. Vacuum or blow dust and particles off the track.



Document scanning. Done right.™

Version 2.5

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# **ImageTrac Operator's Daily Maintenance Tasks**

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May be covered by one or more of U.S. Patent Nos. 6,094,505, 5,768,416, 5,369,508 and 5,258,855.



ibml is shipping totally RoHS compliant machines to the European Community Members.

## ImageTrac Operator's Daily Maintenance Tasks

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## Safety Instructions

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Please read all safety instructions, warnings, and precautions thoroughly before operating the ImageTrac. Follow all operating and other instructions carefully. Pay attention to the following symbols:



The Electrical Hazard symbol indicates that there are dangerously high voltages present inside the enclosure of this product. To reduce the risk of fire or electric shock, do not attempt to open the enclosure or access areas of the ImageTrac where you are not instructed to do so. Refer servicing to qualified personnel only.



The User Caution symbol indicates a condition where damage to the equipment or injury to the operator/installer could occur if operational procedures are not followed. To reduce the risk of damage or injury, follow all steps and procedures as instructed.



The Danger! Laser Energy symbol indicates that this equipment contains Class II laser products. Before working on this equipment, personnel must be laser safety qualified and use proper eye protection. Do not stare into the laser beam.

## Operation Safety

As an operator, it is important that you follow these guidelines to maintain a proper environment for the ImageTrac and ensure safe operation.

### **Operating Temperature**

To reduce the risk of operator error or accident, the ImageTrac should be operated between 59° F (15° C) and 90° F (32° C). It is the responsibility of the purchaser to ensure that adequate environmental conditions are maintained in the equipment operating area.

### **Lighting**

The supplier of this equipment does not provide local lighting as part of the product installation. It is the responsibility of the purchaser to ensure adequate lighting is provided to reduce the risk of accidents or operator eyestrain. For information on lighting conditions, consult local laws regarding human factors engineering.

### **Body Strain/Accident**



To reduce the risk of physical strain, avoid repetitive motions, uncomfortable postures, and take breaks as recommended by local regulations.

### **Operating Errors**

Errors in operation may cause hazards. To reduce this risk, **do not** attempt to operate the equipment if you are impaired due to illness, stress, or if you are under the influence of medication, alcohol, or other drugs.

### **Servicing**

It is important that you **do not** attempt to service this unit unless you are specifically instructed and trained to do so. Also, **do not** attempt to access areas of the scanner where dangerous voltages are present.

Should you come across any of the following conditions, please contact qualified service personnel:

- the power supply cord is damaged
- liquid has been spilled into the ImageTrac
- the ImageTrac does not function normally, displays a negative and distinct change in performance, or has been damaged in any way

### **Warnings**

#### **Operation**

- Moving parts present a hazard to the user. Please keep fingers and other body parts clear from feed tires and other moving parts.
- **Do not** use the [Feeder Throat Adjustment](#) to force the track to stop; doing so will damage scanner hardware and the integrity of scanned documents.
- The [Emergency Stop](#) should only be used in case of emergency and not as an alternative to **Stop Feed** in Scan Client. After an Emergency Stop is performed, some documents left on the track may not have been fully processed; it is recommended that documents be verified to ensure proper capture.

#### **Maintenance**

- Be aware, when the power switch is in the off position, AC power is still supplied to the Host PC.
- **Do not** use any canned/compressed air, cleaning fluids, or liquids on or near the sensors.
- **Do not** wash reverse belts with any type of liquid.

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# Maintenance

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## Maintenance

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To maintain optimum throughput and protect the life of the scanner and its parts, it is essential to perform maintenance tasks regularly, especially in environments under excessive production.

The maintenance tasks described here can be performed by operators, lead operators, and supervisors. Since duties and roles differ between customer sites, customers should discuss maintenance tasks with an ibml Implementation Specialist to help decide who should perform each task.

Familiarize yourself with the tasks in the Daily Maintenance Checklist and review the steps for performing each task. You may see the Daily Maintenance Checklist each time you launch Scan Client if your administrator has enabled this option.

### Daily Maintenance Tasks

- [Remove all paper, dust, and debris](#) (staples, paper clips, rubber bands) using a vacuum cleaner or a dry, lint-free cloth.
- [Clean the feed tires](#) with soap and water and rotate the set to allow the tires to dry.
- [Clean the reverse belts](#) with a dry brush provided with the scanner and rotate the direction of the belts on the reverse belt assembly.
- Clean sensors with a cotton swab or similar dry material. **Do not** use solvents or compressed air/canned air on the sensors.
- Clean picker and de-double rollers with a damp cloth; remove moisture and wipe clean with a dry cloth. **Do not** use soaps or solvents, only water: rollers must be dry prior to scanning.

[Additional maintenance tasks](#) should be performed as needed.

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### Additional maintenance tasks

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The maintenance tasks described below should only be performed as needed by designated personnel:

- Gently dust across the glass surface of the Barcode Reader lens using a dry, soft cloth. Be careful not to alter the position of the reader.
- Gently dust and clean front and rear camera glass. Use Optical Lens Cleaning Wipes (ibml part #042-00125).
- Clean the MICR read heads with a small amount of alcohol and a cotton swab.

- Using a cotton TexWipe® moist with de-ionized or distilled water, wipe ink and other build-up off of the inkjet print head and electrical interconnect pads.
- Clean stainless steel track surface components with an ibml-approved stainless steel cleaner (ibml part #003-00055) and a lint-free cloth. (Do not spray cleaner directly on steel surfaces.)

## Cleaning feed tires

---

The feed tires should be cleaned daily after every 8-hour shift to remove dirt and grime. The feed tires should be cleaned with soap and water and should then be allowed to air dry. Install a clean set of feed tires while the freshly washed set of tires air-dries. A toothbrush or lint-free cloth may be used for deep cleaning or scrubbing purposes.

Feed tires should be discarded and replaced when they begin to wear badly or when document feeding becomes inconsistent. Be sure that an ample supply of feed tires is kept at your site for replacement purposes.

The feed tire assembly is comprised of three primary parts:

**idler**



**drive pulley**



**belt**



---

To clean the feed tires you must first remove them using the following procedure described below. Once the tires are cleaned, consult the procedure for replacing the feed tire assembly.

### Removing Feed Tires

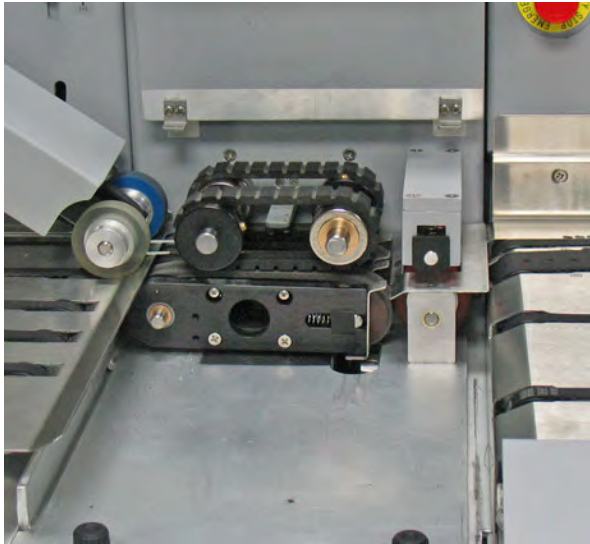
To remove the feed tires, complete the following steps:

1. Set the Feeder Throat Adjustment to open.



2. Remove the front frame cover of the Feeder module by pulling it toward you.

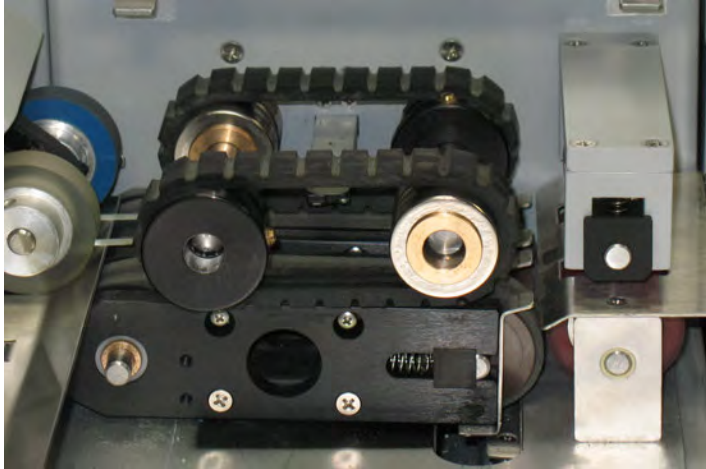
3. Remove the stainless steel base plate by pulling it toward you.



4. Lift up the De-Double cover; this exposes the De-Double assembly.

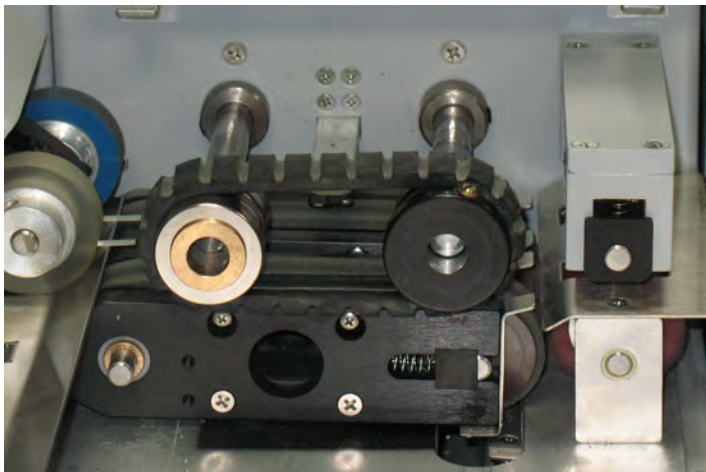
5. Remove the outer feed tire by sliding it toward you and off of the shaft.





6. Remove the two feed tire spacers by sliding them off the shafts. Take note that the spacer on the left is larger than the spacer on the right.

7. Remove the inner and outer feed tires.



At this time, you should also remove and clean the reverse belts. [see Cleaning reverse belts](#)

### Replacing Feed Tires

Once the feed tires have been removed and cleaned, they must be replaced using the following steps. Before replacing the feed tires, be sure that the reverse belts have been cleaned and replaced.

1. Place the feed tire on the idler and drive pulley; the idler should be in your left hand and the drive pulley in your right hand. The drive pulley shoulder should face you.

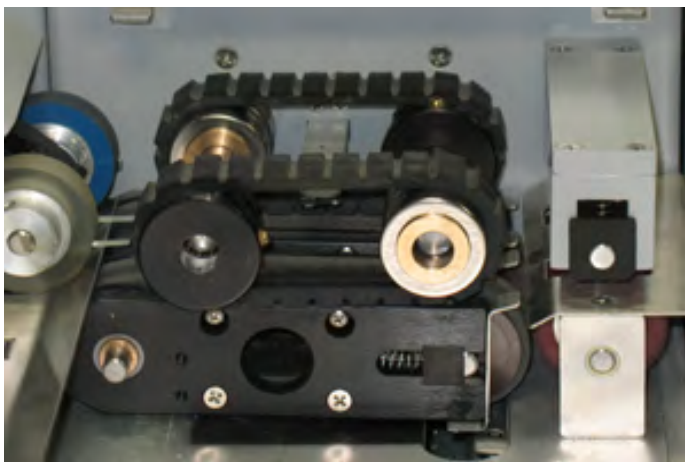


2. Slide the idler on the left shaft approximately a half-inch; then, while stretching the feed tire, slide the drive pulley onto the right shaft. Work the idler and drive pulley down the shafts until you feel the drive pulley lock into place on the shaft indentation.



3. Slide the large spacer on the left shaft and the short spacer on the right shaft.

4. Install the outer feed tire in the same manner as described in Step 1. However, for the outer feed tire you should have the idler in your right hand and the drive pulley in your left hand.



5. Install the stainless steel base plate.

6. Pull down the De-Double cover.
7. Install the Feeder module front frame cover.
8. Reset the Feeder Throat Adjustment to the desired setting.

**Note:** New/cleaned feed tires may require a different Feeder Throat Adjustment setting.

## Cleaning reverse belts

Reverse belts should be cleaned daily or every 8-hour shift with a stiff brush like a toothbrush. **Do not** clean reverse belts with any type of liquid. The De-Double reverse belts should be replaced when they show signs of wear or when feed quality decreases and/or double feeds increase. As a guideline, the belts should be replaced every 2,000,000 documents, or every 30-60 days.

To clean the reverse belts, you must first remove the reverse belt assembly using the following procedure. Once you have removed, cleaned, and replaced the reverse belts, replace the reverse belt assembly.

### Removing Reverse Belt Assembly

To remove the reverse belt assembly, you must first [remove the feed tires](#). Then, complete the following steps:

1. Remove the outer reverse belt assembly by sliding it toward you.



2. Remove the reverse belt spacer located on the left shaft.



3. With the spacer removed, remove the inner reverse belt assembly. Once the inner reverse belt assembly has been removed, clean out any dust, staples, paperclips, or other debris.



### Removing, Cleaning, and Replacing Reverse Belts

To clean the reverse belts, remove them from both the inner and outer reverse belt assemblies.

Complete the following steps for each reverse belt assembly:

1. Press inward on the spring-loaded pulley until it locks into place.
2. Once the pulley is locked in place, enough slack is created so that you can easily remove the belt.



3. Clean the belt with the dry brush provided.

4. Rotate the direction of the belt. Then, replace the belt and slide the spring-loaded pulley outward to lock the belt in place. On each assembly, grasp the ends of the spring slides and pull; this causes the belt to snap tight to its original position.



#### Replacing Reverse Belt Assembly

Once you have replaced the new or cleaned reverse belts, replace the reverse belt assembly by completing the following steps:

1. Install the inner reverse belt assembly by sliding the brass bushing onto the left shaft.
2. Install the reverse belt spacer on the left shaft.
3. Install the outer reverse belt assembly.

Once the reverse belt assembly is in place, you can then replace the feed tires.



## Removing paper, dust, and debris

---

During normal operation of the ImageTrac scanner, it is common for small pieces of paper, dust, and debris to become lodged inside the scanner.

- Use a vacuum cleaner to remove any small pieces of paper, dust, paper clips, and staples that remain on the track.
- Use a lint-free cloth with a non-moisturizing soap to remove glue on the track that items such as envelopes and mailers may have left behind. Standard antibacterial soap is recommended.
- Remove any tape left on the track; if the area remains sticky, use a lint-free cloth with a non-moisturizing soap to clean the area.

## Ultrasonic De-Double maintenance

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Note that extra care must be taken with ImageTrac scanners that have the Ultrasonic De-Double Detector. Nothing should ever touch the emitter or receiver units. The ultrasonic signal of the emitter has a self-cleaning effect, so no, or very little, maintenance is needed for the Ultrasonic De-Double Detector.

If cleaning is required, use a vacuum to pull any particles away from the emitter unit being careful not to touch the emitter unit with the end of the vacuum nozzle.

The LEDs on the Ultrasonic De-Double Detector indicate detection of air, a single document, or more than one document.

- Yellow = detection of air
- Green = detection of a single document
- Red = detection of two documents

ATF National Tracing Center Process			Imaging - Scanning Jobs Guide
File Name	Version	BOC	Owner
REF-Scanning Jobs	6	904030	Industry Records Branch

Job ID Number	Job (Template) Name	Job (Template) Description	Doc Type	Orientation	Document Specifications	Document Preparation
<b>IBML Imaging Jobs</b>						
<b>2 BARCODE</b>						
39	2 BARCODE 4473 No IDX	4473 No Index	4473	Landscape Mixed	Single page only (11")	new version (quad) must be completely separated
				Long RSR Invoice (Holes First)	All 4473's, mostly for 22" and 33"	
64	2 BARCODE AND NO INX	A&D No Index	A&D	Landscape	A&D's on one page, leading edge no wider than 11 5/8"	book covers(with info), or copy of, must be scanned
				Calendar		only single page entries
				A&D Irregular Dot Matrix		may include acquisition or disposition only batches
67	2 BARCODE INVOICE NO IDX	INVOICE	INVOICE	Landscape Long Mixed RSR Invoice (Holes First)		
68	2 BARCODE OTHER NO IDX	OTHER		Landscape	Other documents with/without serial numbers Brady bills	
104	2 BARCODE OTHER NO IDX JPG	OTHER		Landscape		

ATF National Tracing Center Process			Imaging - Scanning Jobs Guide
File Name	Version	BOC	Owner
REF-Scanning Jobs	6	904030	Industry Records Branch

<b>Default</b>						
9	A&D No IDX WINCHESTER	A&D		Index Card Size / Type Documents		
29	RECPAK JOB	RECPAK		Dealer Information Packet	Located at front of dealer, copy with oversize documents	
30	FOLDER DEALER NO IDX	FDR		Long		
77	FIELD			PDF File Name		
94	A&D No IDX WINCHESTER GRAYSCALE			Auto Rotate		
<b>FESD</b>						
53	IMPORTS	IMPORTS	Firearms and Explosive Imports Branch	Form Type - AECA Form 6 Form 6A IIC NIA RWA		
56	FFLC	FFLC	Federal Firearms Licensing Center	Long		Remove all clips and rubber bands
57	FELC	FELC	Federal Explosive Licensing Center	Long		Remove all clips and rubber bands
58	AFMER	AFMER		Form Type - Year of Records		

Printed version is only valid at time of printing. Electronic version in Document Storage is the master.



ATF National Tracing Center Process			Imaging - Scanning Jobs Guide	
File Name	Version	BOC	Owner	
REF-Scanning Jobs	6	904030	Industry Records Branch	

63	IMPORTS AECA-1	IMPORTS AECA-1	Firearms and Explosive Imports Branch	Irregular Landscape Calendar Dot Matrix		
84	NFA SCANNING No IDX JPG	NFA	National Firearms Act	PDF File Name – User Name		
87	NFA SCANNING No IDX Check Only	NFA	National Firearms Act	PDF File Name – User Name		
93	NFA CORRESPONDANCE	NFA	National Firearms Act	PDF File Name – User Name		

### IN-HOUSE

11	MULTISALES			Landscape	Notification is sent to imaging supervisor from MS dept. each month for pick up	
14	OTHER SERIAL # No IDX			Landscape		
16	THEFT REPORT INTERSTATE			Landscape Long		
17	THEFT REPORT STOLEN			Landscape		
18	TRACE REQUEST			Landscape	Notification is sent to imaging supervisor from MS dept. each month for pick up	
20	5300 FFLC	5300 FFLC		Landscape	Records received monthly from the receiving dept.	
71	5300 FELC	5300 FELC		Landscape	Records received monthly from the receiving dept.	

### IRB

78	DEMAND 1 RECORDS			Landscape		
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ATF National Tracing Center Process			Imaging - Scanning Jobs Guide
File Name	Version	BOC	Owner
REF-Scanning Jobs	6	904030	Industry Records Branch

80	DEMAND 2 RECORDS			Landscape		
79	DEMAND 3 RECORDS			Landscape		
81	DEMAND FFL CORRESPONDENCE			Landscape		

ATF National Tracing Center Process			Imaging - Scanning Jobs Guide
File Name	Version	BOC	Owner
REF-Scanning Jobs	6	904030	Industry Records Branch

SKYVIEW Digital Scanning Jobs					
Job (Template) Name	Job (Template) Description	Doc Type	Orientation	Document Specifications	Document Preparation
A&D	A & D	A&D		A&D's that are too large or to damage for IBML scanning.	<ul style="list-style-type: none"> <li>o Must be separated from 4473's</li> <li>o Must be documented on summary sheet</li> <li>o Must be numbered before removing from binders</li> <li>o copy of binder/book cover to be included, if it has information to be scanned</li> <li>o Classify under "Others" with or without Serial Number</li> <li>o Send to "Z" Camera</li> </ul>
				A&D located on 2 pages	
4473	4473	4473		Use for all 4473's	o Must be folded together
				Check for information on both sides of document	o Must be rubber banded together
				If information is on one page entire batch has to be imaged or blank page used	<ul style="list-style-type: none"> <li>o Must be bundled together</li> <li>o Must face upwards</li> </ul>
Other w/Serial Numbers	Other	Other			<ul style="list-style-type: none"> <li>o Must be placed under "Other"</li> <li>Must have Serial Numbers on them</li> </ul>
INV	INV	INV			

# ImageTrac and Scan Client User's Guide



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## Welcome

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As an ImageTrac operator, you are responsible for preparing, loading, scanning, and unloading documents from the scanner. To meet these responsibilities you must understand how to operate the ImageTrac scanner and how to interact with Scan Client to scan batches of documents.

The information presented in this guide prepares you to operate the ImageTrac scanner safely and efficiently. It also instructs you on how to use the Scan Client software tool. Also included are step-by-step instructions for performing scanner maintenance tasks and a troubleshooting section that teaches you how to handle error messages encountered during scanning.

In addition to learning how to scan new batches of work, this guide teaches you how to open batches that have previously been scanned to append to, insert, or rescan documents in those batches.

### Additional information

For more information about using this help system, see [ibml help](#). To gain a better understanding of the terms associated with the ImageTrac Scanning Platform, consult the glossary included in this guide. Direct any questions to [ibml Customer Support](#). Documentation supports version 3.5.0

<b>U.S. Help Desk</b> 866-798-ibml (4265) support@ibml.com	<b>International Help Desk</b> +49-700-IMAGETRAC (462438722) or +49-7531-36171-0 (office) eusupport@ibml.com
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## ibml help

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### In-product help

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Each SoftTrac Capture Suite product comes with ibml's in-product help that provides access to all instructional content available at the time the software ships. This help can be accessed in one of two ways within our applications:

1. Click the Help button in the upper right corner of an application screen.
2. When in an open application, press F1 on your keyboard. If you are in a particular dialog or screen when you press F1, ibml's context-sensitive help opens directly to the help topic specific to that dialog or screen.

ibml's in-product help is written using a topic-based method. This method allows you to quickly and easily find the information you are looking for and accomplish your tasks with our software tools.

There are three tabs within the left pane of the help screen that are useful to you when searching for information.

From the **Contents** tab, click on a topic or task for which you want more information. Instructions for completing that task or information about that topic appears in the viewer at right.

Click on the **Search** tab to search for certain words or phrases within the available help topics by typing the word or phrase in the box provided.

Use the **Index** tab to browse alphabetically through key terms and phrases within an application. When you click on a term or phrase, click **Display** at the bottom of the help screen to display all topics in which this term or phrase appears.

### Additional help

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For a list of enhancements for this release, see [What's New in This Release](#).

Most documentation is also provided in PDF form. These PDFs are included with your software installation. All PDF documentation concerning the hardware and software components of the ImageTrac Scanning Platform is available from the ibml Customer Portal website at [www.imagetracsupport.com](http://www.imagetracsupport.com). This website links you to further training materials and classes and allows you to report hardware or software issues to ibml Customer Support.

## Safety Instructions

---

Read all safety instructions, warnings, and precautions thoroughly before operating the ImageTrac. Follow all operating and other instructions carefully. Pay attention to the following symbols:



The **Electrical Hazard** symbol indicates that there are dangerously high voltages present inside the enclosure of this product. To reduce the risk of fire or electric shock, do not attempt to open the enclosure or access areas of the ImageTrac where you are not instructed to do so. Refer servicing to qualified personnel only.

This is an example user caution statement in this documentation.

The **User Caution** symbol indicates a condition where damage to the equipment or injury to the operator/installer could occur if operational procedures are not followed. To reduce the risk of damage or injury, follow all steps and procedures as instructed.



The **Danger! Laser Energy** symbol indicates that this equipment contains Class II laser products. Before working on this equipment, personnel must be laser safety qualified and use proper eye protection. Do not stare into the laser beam.

## Operation Safety

---

As an operator, it is important that you follow these guidelines to maintain a proper environment for the ImageTrac and ensure safe operation.

### Operating Temperature

To reduce the risk of operator error or accident, the ImageTrac should be operated between 59° F (15° C) and 90° F (32° C). It is the responsibility of the purchaser to ensure that adequate environmental conditions are maintained in the equipment operating area.

### Lighting

The supplier of this equipment does not provide local lighting as part of the product installation. It is the responsibility of the purchaser to ensure adequate lighting is provided to reduce the risk of accidents or operator eyestrain. For information about lighting conditions, consult local laws regarding human factors engineering.

### **Body Strain/Accident**

To reduce the risk of physical strain, avoid repetitive motions, uncomfortable postures, and take breaks as recommended by local regulations.

### **Operating Errors**

Errors in operation may cause hazards. To reduce this risk, **do not** attempt to operate the equipment if you are impaired due to illness, stress, or if you are under the influence of medication, alcohol, or other drugs.

## Servicing

---

It is important that you **do not** attempt to service this unit unless you are specifically instructed and trained to do so. Also, **do not** attempt to access areas of the scanner where dangerous voltages are present.

Should you come across any of the following conditions, contact qualified service personnel:

- the power supply cord is damaged
- liquid has been spilled into the ImageTrac
- the ImageTrac does not function normally, displays a negative and distinct change in performance, or has been damaged in any way

## Warnings

---

### **Operation**

- Moving parts present a hazard to the user. Keep your fingers and other body parts clear from feed tires and other moving parts.
- **Do not** use the [Feeder Throat Adjustment](#) to force the track to stop; doing so damages scanner hardware and the integrity of scanned documents.
- The [Emergency Stop](#) should only be used in case of emergency and not as an alternative to **Stop Feed** in Scan Client. After an Emergency Stop is performed, some documents left on the track may not have been fully processed; it is recommended that documents be verified to ensure proper capture.

### **Maintenance**

- Be aware, when the power switch is in the off position, AC power is still supplied to the Host PC.
- **Do not** use any canned/compressed air, cleaning fluids, or liquids on or near the sensors.
- **Do not** wash reverse belts with any type of liquid.

## Getting Started

---

Get started by learning more about how ImageTrac scanning works. Next, familiarize yourself with the different frames, modules, and components that make up the ImageTrac scanner. In addition, understand how data communication is established throughout the ImageTrac with Image Server.

[How ImageTrac scanning works](#)

[ImageTrac frames, modules, and components](#)

[Image Server](#)



## How ImageTrac scanning works

---

The ImageTrac is a high-speed, high-volume intelligent scanner with two cameras (front and rear) that capture color and black-and-white images of one-sided and double-sided documents as they move down the scanner track. ImageTracs are known for their ability to scan a wide variety of document types such as checks, purchase orders, invoices, claims forms, envelopes, and other documents of varying sizes and thicknesses.

In addition to capturing images, the ImageTrac has built-in hardware tools like the Bar Code Reader and MICR Reader that collect data from documents. This data can be used to tell the ImageTrac how to sort documents when they reach the end of

the track. Some ImageTracs may have an Ink Jet Printer that prints information about documents during scanning, if necessary.

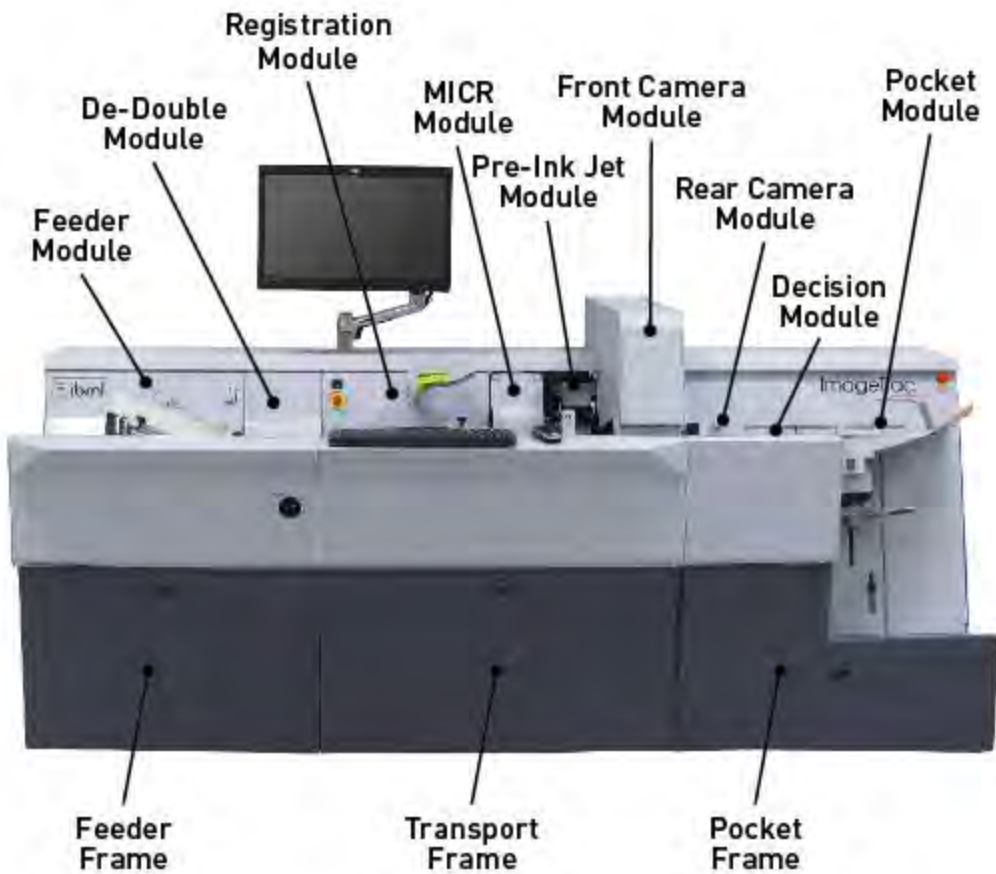
After a batch of documents is scanned, it may go through a QA process in which someone manually examines the batch for quality and completeness before allowing it to proceed further. Next, images can be archived or processed through another software tool. Some customers may use ibml's Post Scan processing to transform data and images captured by the ImageTrac into information that can be used by a host system.

## ImageTrac components

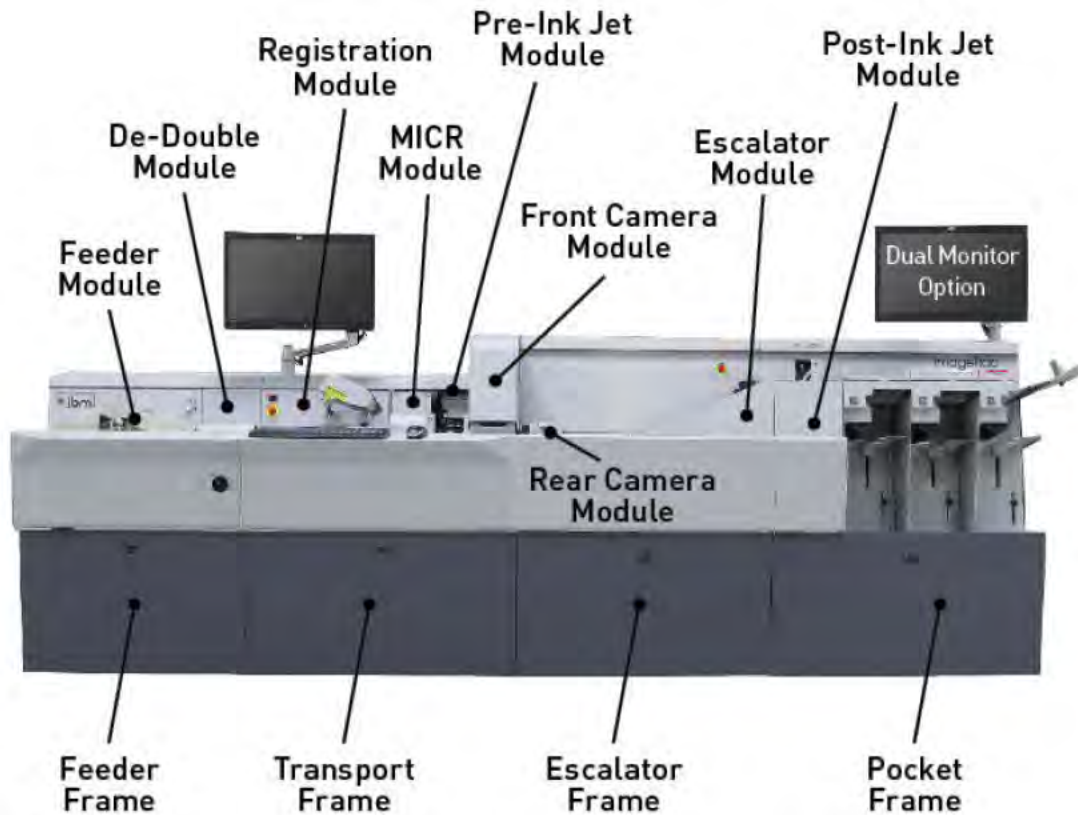
---

Your ImageTrac scanner is comprised of a number of frames and modules that contain components important to the operation of the scanner.

View the following photos to see where the most essential scanner components are located. A full description of the components on the ImageTrac is provided following the photos.



### ImageTrac Series 5 Scanner Frames and Options



## ImageTrac Series 5 Scanner Frames and Options

### Operator Switch

Located on the Registration module above the Emergency Stop, the operator switch controls power to the ImageTrac scanner.



**Note:** The Host PC's power is independent from the ImageTrac scanner, so it is possible to run the Host PC while not having the scanner powered on.

### Host PC Access

The Host PC access is located on the left side of the Feeder frame (newer models).

The system status indicator (not shown), located on the Host PC access panel, uses LED lights to indicate the status of the Host PC. There are three possible states for the LED display:

- Off: Host PC is off.
- Steady Blue: Host PC is on and running with no errors.

- **Blinking Orange:** Host PC has experienced a system error.

If the system status indicator is blinking orange, see the LCD readout panel on the front of the Host PC.

## Emergency Stop Buttons

Your ImageTrac scanner is equipped with two Emergency Stop buttons; one is located on the Transport frame, and the other is located on either the Decision frame or the Pocket frame. Triggering the Emergency Stop immediately shuts down power to the 28- and 30-volt transport belts, stopping movement of the track.

- To activate, press either of the red Emergency Stop buttons.
- To reset, turn the red Emergency Stop button one-quarter turn to the right.

For important information about the Emergency Stop, see [Warnings](#).

## Automatic Feed Tray with Feeder Wedge

The Automatic Feed Tray with Feeder Wedge is located on the Feeder module and is used to feed prepped batches of documents.

### **Picker**

The Picker arm picks documents from the top of the stack of documents in the Automatic Feed Tray and transfers them into the De-Double module. It is important that the Picker have enough pressure on the stack of documents to properly pick up each piece of paper.

It may be necessary to disable the Picker arm in ParmSetup to accommodate extremely thin or fragile documents. It may also be necessary to increase Picker speed in ParmSetup to resolve issues with uneven gaps between documents. If you encounter either of these issues, contact your administrator for assistance adjusting software settings. See the following topics related to the Picker:

[Adjust Picker Tension](#)

[Adjust Picker Sensor Arm](#)

## Feeder Throat Adjustment

The Feeder Throat Adjustment is located below the De-Double module on the Feeder frame. This lever is used to adjust the pressure between the feed tires and reverse belts. With the lever set to a lower number, less pressure is applied to documents. Increasing the number increases the pressure. It may be necessary for you to adjust the throat pressure based on the type of documents you are scanning; thicker documents may require more pressure, while thinner documents may require less.

## Use Feeder Throat Adjustment

### Note:

- Use the lowest possible setting unless continuous double feeds occur. If this occurs, increase the pressure setting by one.
- As wear increases on belts and tires, increased pressure may be needed.
- If double feeds still occur with the pressure set at maximum, clean and replace the feed tires and reverse belts. For information about cleaning the feed tires and reverse belts refer to the [Maintenance](#) section of this guide.

## Operator Control Center

The Operator Control Center is comprised of the keyboard and mouse as well as the touch screen monitor.

### **Work Surface**

The work surface houses the keyboard and mouse used to operate scanner applications on the Host PC.

### **Touch Screen Monitor**

The touch screen monitor with its 180° range of motion is more accessible to operators, simplifying the process of setting up and scanning documents and helping operators manage jobs more easily.

## Track

The track is the space in which documents travel between the Feeder module and the destination pocket. Belts along the track are used to move documents. Also located along the track are a series of sensors. These sensors track documents as they travel on the scanner and are responsible for triggering errors should there be a problem during scanning.

## Ink Jet Printers

Your ImageTrac scanner may be equipped with a Pre-Ink Jet Printer or Post-Ink Jet Printer or both. The Ink Jet Printer may have a single print head or it may have multiple print heads. It is used to spray information (as determined by the customer) on documents before (Pre-IJP) or after (Post-IJP) imaging. If your scanner is not equipped with a Post-Ink Jet Printer module, it has a Decision module instead.

## Barcode Reader

The Barcode Reader is located on the Registration module and is equipped to read a variety of barcode symbologies. Documents with barcodes are often used as batch or transaction separators.

### Patch Code Reader



Some ImageTracs may be equipped with a Patch Code Reader responsible for reading patch code labels. The Patch Code Reader is located on the Registration module.

## MICR Reader

The MICR Reader is located on the Registration module and is responsible for reading the E13-B or the CMC-7 font. Depending on your scanning needs, you may have a Top-Side MICR Reader or a Bottom-Side MICR Reader, or you may have the Touchless Top-Side MICR Reader.

## Cameras

The ImageTrac scanner is equipped with a front camera and a rear camera that capture images and relay them back to the Host PC.

## S-Turn Module

The LCD buttons on the front of the S-Turn are used for clearing jams. They both function in the same way and can be used simultaneously:

- Press and Hold: Track moves forward.
- Press Twice and Hold: Track moves in reverse.



## Pocketing Configuration

The pockets are the final destination for documents. Your scanner may have any number or combination of pockets with full sort capabilities that support a wide range of document sizes.

Types of Pockets	
<b>Check</b>	A check pocket is specifically designed to pocket checks without flipping them over
<b>Combo</b>	Combo pockets consist of a normal single pocket with a run out tray
<b>Normal Single</b>	The standard pocket equipped to handle documents of varying size
<b>Pass</b>	A pass pocket is a top transport bridging the gap between a wide pocket and the next pocket
<b>Run Out</b>	Run outs extend off of the last pocket on the scanner
<b>Wide</b>	Wide pockets are designed to hold larger-sized documents

### Pocket Button

- Press the pocket button once to empty the pocket.
- Press the pocket button twice to empty all pockets.



### Image Server


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Data communication between the Host PC and the Transport PC on the ImageTrac is established through connection to Image Server.

Image Server runs when the application is started. Image Server begins by polling the image compression boards.

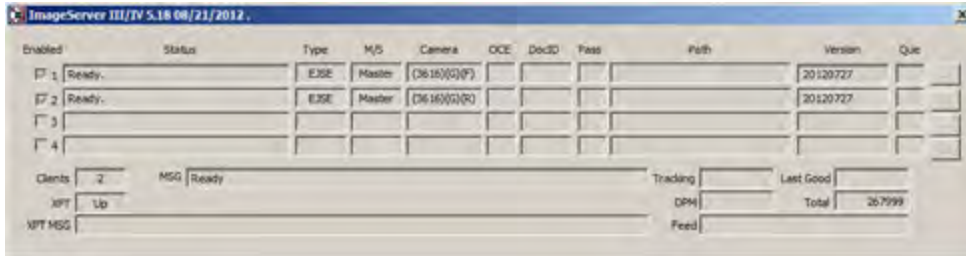


**Note:** As an operator, if you want to scan in any Legacy version of SoftTrac you must first close SoftTrac Capture Suite's Scan Client and Image Server.

Image Server connects the Host PC to the Transport PC. After a connection is established, Image Server monitors the status of the ImageTrac system and its cameras. The Image Server system tray icon  indicates the operational status of the ImageTrac:

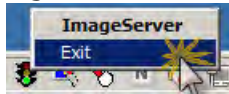
- Red: error
- Yellow: ImageTrac busy
- Green: normal operation

To bring up the Image Server application, double-click the tray icon.



### How do you close the SoftTrac Capture Suite Image Server?

1. Right-click on the Image Server system tray icon



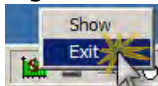
2. Click **exit**

### If we are using a Legacy SoftTrac version on the same computer as SoftTrac Capture Suite, how do I close the Legacy Image Server?

1. Right-click on the Legacy Image Server system tray icon



2. Click **exit**
3. You must also close the Legacy Server App.



- a. Right-click on the Legacy Server App
- b. Click **exit**

## Preparing documents for scanning

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Before you can scan a batch of documents, you must prepare those documents properly to prevent possible damage to the scanner and to ensure optimum output.

### Guidelines for Preparing Documents

- Gather all documents and separate them into groups, also called batches. Your administrator tells you how to form batches for specific jobs.
- Make sure that documents are normalized to the relative humidity level of the scanner room prior to their being scanned. This is important if you are prepping documents that come from a separate storage location where humidity differences between the storage location and the actual scanning location are an issue. It may be necessary to give the documents a day or so to acclimate to the scanning environment before prepping them.
- Inspect each document and remove all paper clips and staples.
- Make sure that all documents are separated. Some documents may have been taped together using clear tape. Make sure that the tape is flat, has no ragged edges, and is not hanging off of the document. Remove any excess tape. If pieces of paper are stuck together, this creates double feeds that result in jams.
- Watch out for cuts and tears in documents. If possible, carefully tape the document back together using clear tape. Make sure the tape is flat, smooth, and contains no ragged edges.
- Look for small folds or ragged edges and smooth them out.
- Prepare envelopes according to your administrator's instructions. If you are asked to open envelopes, use a letter opener.
- Documents, such as envelopes and mailers, may contain glue, which could cause a problem during scanning. To prevent this from happening, make sure that the glue is dry and not sticky.
- Stack documents according to your administrator's instructions. How you stack documents is related to the direction the batch is scanned. Generally, you stack documents with the upper left corners on top of each other. This is especially important if you are stacking a mixed batch (long and short documents).
- Turn all documents face-up. Make sure the text of the document is facing you. If it is a double-sided document, make sure that page one is facing up.
- Use a jogger to stack and align batches according to your administrator's instructions.

For more information about document preparation, consult the Document Preparation Guide provided by your ibml Implementation Specialist.

## Starting and shutting down the ImageTrac

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### Start the ImageTrac

Before starting the scanner, be sure that the track is clear of any obstructions or debris. To properly start the ImageTrac scanner, follow these steps:

1. Turn on the Host PC.
2. Log in to Windows.
3. After Windows completes loading, make sure that [Image Server](#) is running properly.
4. Power on the scanner by flipping the operator switch to the **On** position.

### Shut down the ImageTrac

It is critical that you follow these steps to properly shut down the ImageTrac scanner; failure to do so may result in malfunction.

1. Close all applications running on the Host PC.
2. Turn off power to the ImageTrac by flipping the operator switch to the **Off** position.
3. With the ImageTrac off, follow the Windows shutdown procedure to turn off the Host PC.

## Starting Scan Client

To start Scan Client on the Host PC, double-click the SoftTrac Capture Suite icon on the desktop and log in by entering the user name and password assigned to you by your administrator. In the **Database** box on the login screen, select the database that you need to connect to; this database may already be selected for you.



**Note:** The user name does not support the use of an apostrophe.



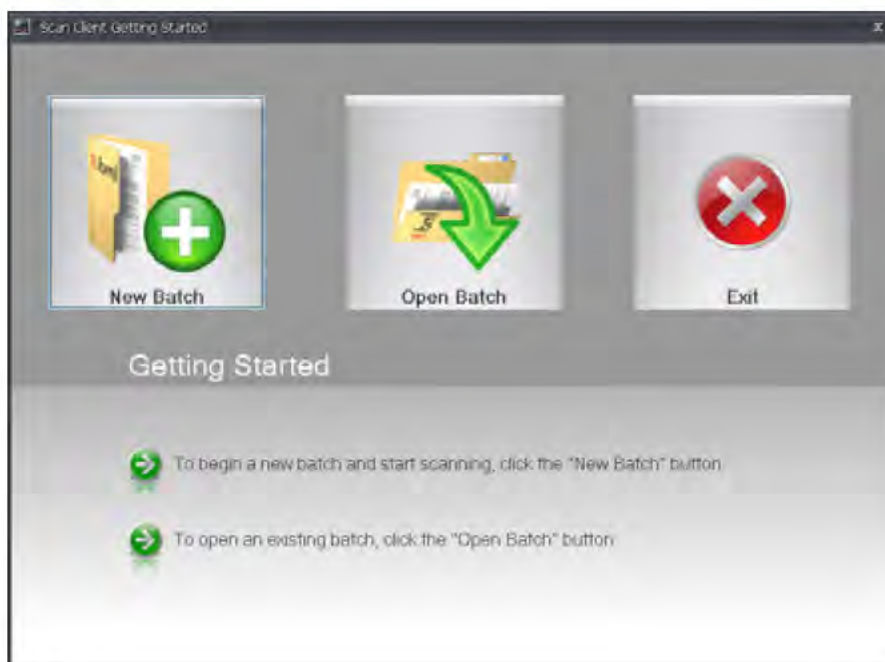
**Note:** The information you enter at login may differ based on the authentication method selected. Consult your administrator if you have any questions about logging in.

To open Scan Client from the ibml Console, select the Scan Client icon and click **Launch**. Permission to launch Scan Client must be granted by your administrator in User Admin.



The **Scan Client Getting Started** screen displays and gives you the option to scan a new batch of documents or open an existing batch.

 **Note:** If Image Server does not connect, the New Batch option is not available to you from this screen.



For information about scanning a new batch of documents, see [Scanning a new batch of documents](#).

For information about opening an existing batch of documents to append, insert, or rescan documents in the batch or review the batch, see [Opening an existing batch of documents](#).

To exit Scan Client, click **Exit**.



## Scan Client Overview

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Click the links below to learn more about the different parts of the Scan Client user interface:

[Ribbon bar](#)

[Feed buttons](#)

[Document tree](#)

[Image viewer](#)

[Messages](#)

[Document Data](#)

[Performance](#)

[Pocketing](#)

[Status bar](#)

### Ribbon bar

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The ribbon bar is located above the document tree and represents various functions used when scanning documents. See also, [Feed buttons](#).



## Close Batch

Use to close the batch that is currently open.

## Tree

- Select **First** to move to the first document in the batch.
- Select **Previous** to move up the tree to the previous document. Alternatively, click the drop-down arrow on the split button to move to the previous transaction.
- Select **Next** to move down the tree to the next document. Alternatively, click the drop-down arrow on the split button to move to the next transaction.
- Select **Last** to move to the last document in the batch.

When a document is highlighted in the tree, click **Delete** to remove the document from the batch. Permission to delete documents must be granted by your administrator.

## Inkjet

- Use the **Inkjet Enabled** button to disable ink jet printing.
- Use the **Recovery** button to assist in recovering from a jam.

## Pocketing

- Enable the **Override Pocket** button to manually change pocketing for the current scanning session. When enabled, pocketing configured in the Scan Job will not be used until an operator clicks Close Batch. User must have the "Allow Override of Pocket" permission to use this feature.

Document tree will display the original pocket number assigned by the Scan Job.

- Use the **Pocket** spin box to select the pocket destination for documents; default = 1
- [Flush Track](#) feed button will still function as normal and clear documents from the track to the flush pocket.





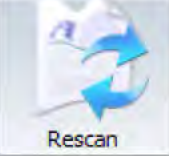

## Image

- See [Image viewer](#) topic to learn how to use the image buttons.

## Feed buttons

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The feed buttons are located to the left of the document tree and represent the various document feeding modes used when scanning documents. See also, [Ribbon bar](#)

 <p>Auto Feed</p>	<p><b>Auto Feed</b></p> <p>Use to begin automatically feeding and scanning documents from the Automatic Feed Tray.</p>
 <p>Stop Feed</p>	<p><b>Stop Feed</b></p> <p>Use to halt the track and automatically stop feeding and scanning documents.</p>
 <p>Hand Feed</p>	<p><b>Hand Feed</b></p> <p>Use to feed single documents by hand. It may become necessary to hand feed documents when there are document jams or skews or when documents are being inserted or appended to a batch.</p>
 <p>Single Feed</p>	<p><b>Single Feed</b></p> <p>Use to send one document at a time from the Automatic Feed Tray.</p>
 <p>Rescan</p>	<p><b>Rescan</b></p> <p>Use when you need to replace an image with a rescanned document image. Click on the image in the tree you need to rescan. Select <b>Rescan</b> and hand feed the appropriate document.</p>
 <p>Flush Track</p>	<p><b>Flush Track</b></p> <p>Use to send documents left on the track to the flush pocket. Flush Track is used when the track has been halted due to a document skew or jam to help you recover any documents that are left on the track.</p>

## Document tree

The document tree shows the documents scanned in a batch. The batch folder at the top of the tree contains all of the transactions (if any) and documents within the batch. The feed mode is displayed above the tree, and you can use the navigational controls to move through the list of documents.

[Ribbon bar](#); [Feed buttons](#); [Keyboard shortcuts](#); [Right-click menu item](#)

[Customize the document tree](#) by adding or removing data columns or moving columns to different locations.



The following document tree buttons are located on the [Ribbon bar](#):

- Select **First** to move to the first document in the batch.
- Select **Previous** to move up the tree to the previous document. Alternatively, click the drop-down arrow on the split button to move to the previous transaction.
- Select **Next** to move down the tree to the next document. Alternatively, click the drop-down arrow on the split button to move to the next transaction.
- Select **Last** to move to the last document in the batch.

In addition to using the on-screen arrow keys described above, you can navigate through transactions in the tree by using [keyboard shortcuts](#). You can also select transactions or documents by touching them on the screen or by clicking them with your mouse pointer. There are several modification options available when you select a transaction or document in the document tree and choose a [right-click menu item](#). For example, an operator can right-click to set the [batch priority](#).

When a document is highlighted in the tree, click **Delete** above the tree to remove the document from the batch. You can also move [one or more items](#) in the tree. Permission to delete documents or move transactions or documents must be granted by your administrator.

## Customize the document tree

The tree contains four configurable columns, which allows you to choose what document data is displayed. You must have permission to customize these columns in User Admin (Customize Scan Client Tree).

- By default, the **Name** (document name that includes the document type and the index number), **IJP Data**, **Barcode Data**, and **Pocket** columns are shown.
- The **IJP Data** column shows a comma-delimited list of all IJP data if you have more than one print line or printer.
- The **Pocket** column displays the number of the physical pocket in which the document has been placed.

- The following columns are hidden by default:
  - You can add the **Micr Data** column to the tree if needed that shows Micr data for a document.
  - The **ICR Data** column shows a comma-delimited list of ICR data for a document.
  - The **IBR Data** column shows a comma-delimited list of image bar code data for a document.

### Add or remove columns

To add or remove columns, right-click one of the column headings and select **Column Chooser** from the menu.

To **add** a column, click and drag the column name from the [Customization](#) dialog box to the column headings area of the document tree.

To **remove** a column, click and drag the column name from the column headings area of the document tree off to the **Customization** box.

### Change column order

You can change the order of columns in the tree by clicking and dragging them to different locations.

### Change column size

You can modify the size of each column as well, or you may right-click a column heading and choose the **Best Fit** option from the menu. You can apply Best Fit to individual columns or all columns.

Column settings are saved per user, per job.

## Image viewer

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As you scan documents, the image viewer on the right side of the screen displays images of those documents. The ability to view images helps ensure that documents are being scanned correctly.

When you open a scanned batch of documents and select a document in the tree, the viewer displays the image for that document based on the camera and image window selected.

The tools above the viewer let you define how you see document images.



### [Change camera and image window](#)




[Swap front and rear cameras](#)

[Fit, rotate, and zoom in and out on images](#)

[Save](#)

## Change the camera and image window

### Camera


 Front	 Rear	 Cycle
--	---	--

Select **Front** to view images captured by the front camera.

Select **Rear** to view images captured by the rear camera.

Select **Cycle** to switch between viewing images captured by the front camera and rear camera. When Cycle is selected, the **Image Window** button remains enabled.

Using the following options available from the **Image Pane**, you can view the images captured from both the front and rear cameras simultaneously:

 **Note:** The Front/Rear Horizontal and Front/Rear Vertical options are not available during scanning. If these options are selected prior to scanning, they will be disabled until scanning is complete.

Select **Front/Rear Horizontal** to horizontally display the images captured from both the front and rear cameras.

Select **Front/Rear Vertical** to vertically display the images captured from both the front and rear cameras.

To return to viewing a single image captured from either the front or rear camera, select **Single Image** from the **Image Pane** menu.

### Image Window



If multiple image windows are configured for the scan job, select the image window you want to see in the viewer by clicking this button. If you click this button and the image window number does not change, this indicates there are no other image windows to view for the scan job you have selected.



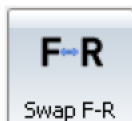
**Note:** For images that have not been discarded, the images that are configured to be shown will be displayed; if there are no images configured to be shown (possibly because they were discarded), the first captured image for the configured camera will be displayed; and if there are no images for the configured camera, no image will be displayed.

Permission to change camera and image window (permission: Edit Image Display Options) when scanning or opening a batch must be granted by your administrator in User Admin.

The camera and image window view selected are saved per user, per scan job. This allows the operator to set the view needed for scanning batches in a particular job without having to remember to set this up each time a new scanning session is started.

## Swap front and rear cameras

Click **Swap Front and Rear Cameras** or press Num Pad / on your keyboard to swap front and rear camera images and data for the document selected.



This option is useful in cases where documents are scanned backwards. For example, when the front camera images are those for the back side of the document, and the rear camera images are those for the front side of the document. When you choose to swap cameras, not only are the images swapped, but the data associated with those images is also swapped.

## Fit, rotate, and zoom in and out on images

Change how you see the images in the viewer using the fit, rotate, and zoom controls. These tools are enabled when scanning has stopped or when you open a batch for review.

### Fit, Rotate, and Zoom



Select **Fit** to fit the entire image in the viewer.

Select **Rotate -90** to rotate the image 90 degrees counterclockwise.

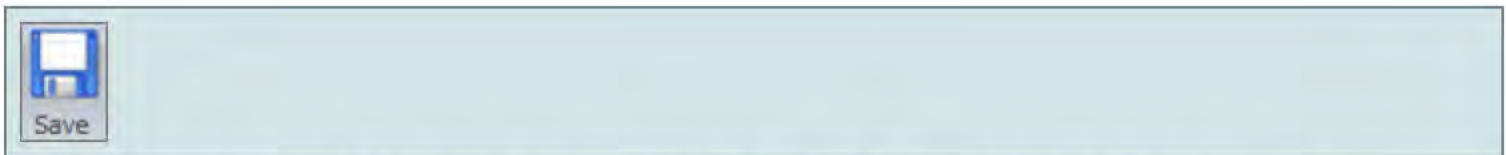
Select **Rotate +90** to rotate the image 90 degrees clockwise.

Move the **Zoom** slider, located in the bottom right corner of the dialog, to zoom in and out on an image.

### Rotating multiple document images at one time

Scan Client allows you to rotate multiple document images at one time. To do this, select the documents in the tree for the image that you want to rotate, select a rotate option, and then click **Save**. A message displays asking you to confirm the rotation of all document images that you have selected. If you do not click **Save**, a message prompts you to do so and ask you to confirm the rotation of all the documents selected.

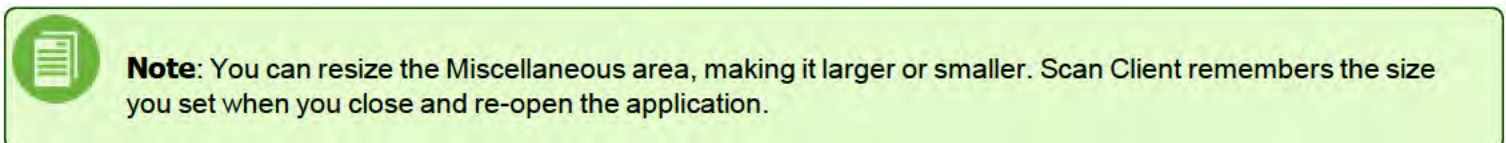
### Save



To keep changes that you have made to an image, click the **Save** icon. Permission to alter and save images (permission: Save Altered Image) must be granted by your administrator through the User Admin. If you make changes to an image and do not click the **Save** icon, a message prompts you to save before you can view the next image.

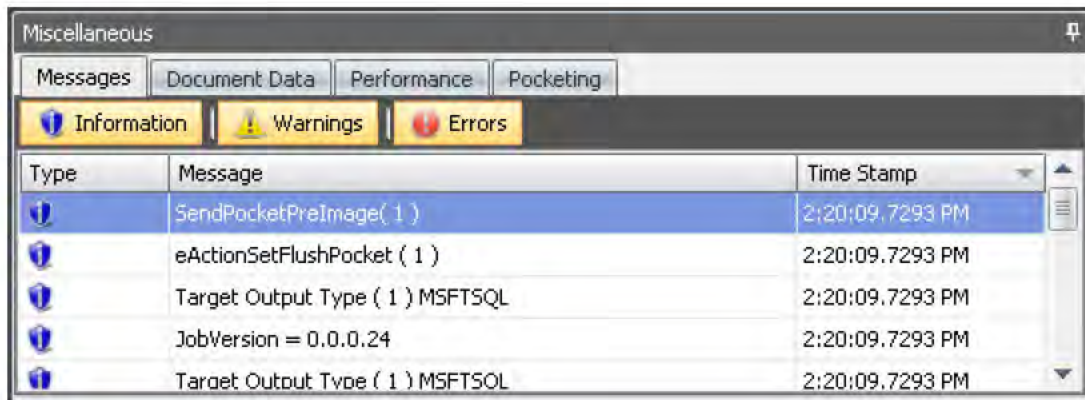
### Messages

The **Miscellaneous** area located beneath the image viewer displays messages from the scanner transport under the **Messages** tab.



**Note:** You can resize the Miscellaneous area, making it larger or smaller. Scan Client remembers the size you set when you close and re-open the application.





Filter the messages shown under the **Messages** tab by selecting and de-selecting each of the filters, **Information**, **Warnings**, and **Errors**. Messages load in the order in which they are received with the newest message appearing at the top of the list.



**Note:** Only the last 1,000 messages are kept in a cache for the Message Center.

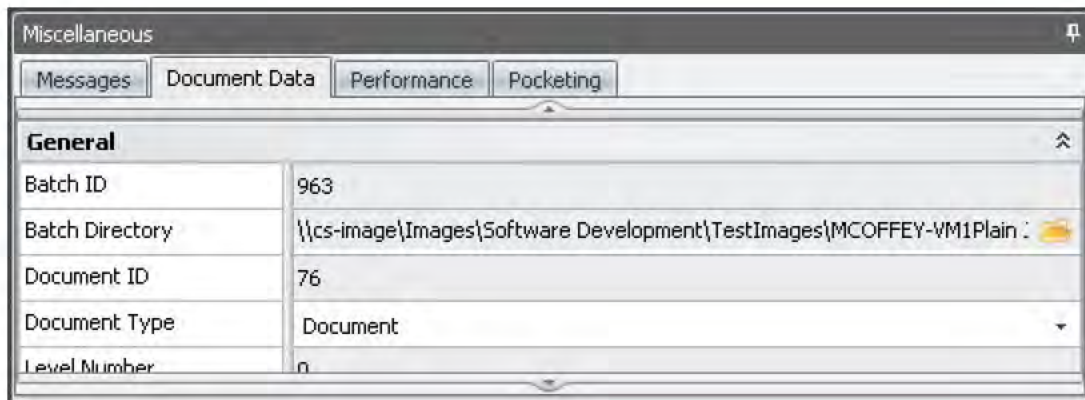
To the left of each message, there is a time stamp indicating when the message, error, or warning was displayed. The icon next to each message corresponds to the message type.

## Document Data

The **Miscellaneous** area located beneath the image viewer displays document data information under the **Document Data** tab.



**Note:** You can resize the Miscellaneous area, making it larger or smaller. Scan Client remembers the size you set when you close and re-open the application.



From the **Document Data** tab, you can [view and edit the data](#) captured for documents during scanning.

Permission to view and edit document information must be granted by your administrator in User Admin (permission name: View and Edit Document Data). If this permission is not enabled, the Document Data tab is unavailable.

## Performance

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The **Miscellaneous** area located beneath the image viewer displays scanner performance data under the **Performance** tab.



The **Performance** tab displays dials and gauges for documents-per-minute (DPM), documents-per-hour (DPH), and average document gap. Expected document counts are set up as static values by the administrator in Scan Job Setup.



**Note:** The DPM and DPH information under the Performance tab **should not** be used for diagnostic purposes.


This tab also displays the user controls for **Throughput Control**. Using the increase or decrease buttons adjusts the feeder's speed setting to control the gap between documents. This tab is only visible to users who have permission to view it.

**Increase** - Increases the feeder speed to decrease the gap between documents.

**Decrease** - Decreases the feeder speed to increase the gap between documents.




**Current Gap** - shows the current gap setting; the average gap may differ from this setting.

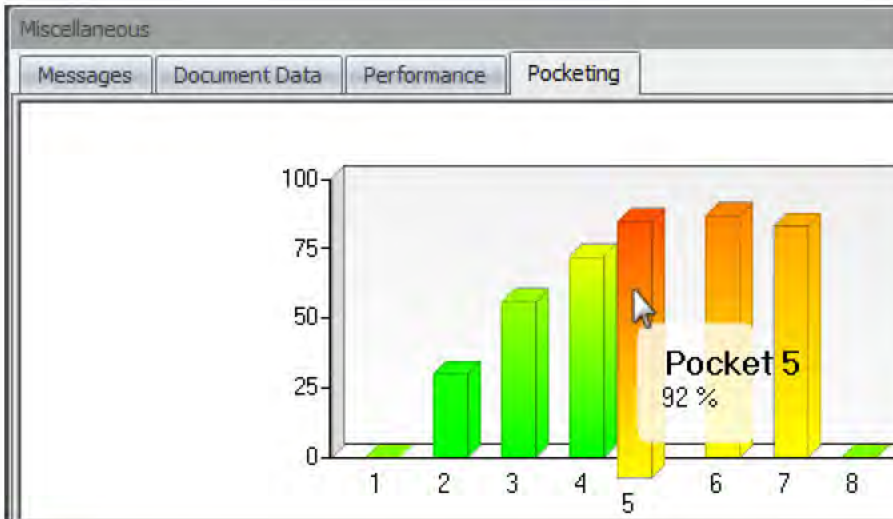
 **Note:** This control has a maximum document gap of 10 inches and minimum of 2.5; after these values are reached, the corresponding button is grayed out (disabled).

## Pocketing

The **Miscellaneous** area located beneath the image viewer displays pocket information from the scanner transport under the **Pocketing** tab. From here, the operator can view the percentage of documents in a given pocket.

 **Note:** You can resize the Miscellaneous area, making it larger or smaller. Scan Client remembers the size you set when you close and re-open the application.

The graph shows the level of documents in each pocket using the colors green, yellow, and red; these colors represent levels of fullness (green = low, yellow = medium, and red = high). The operator can use the mouse to hover over a pocket number, as shown in the screen capture below, to see the exact percentage number.



**Note:** It is important that the pockets are empty of documents while initializing a batch. This is the time when the pockets calibrate to their empty position. The pocket tray level is dependent on the pocket's spring tension setting.

## Status Bar

The status bar at the bottom of the Scan Client screen displays the following information:

- **Job:** Name of the job used to scan the batch.
- **Parmfile:** Software parameter file associated with the job.
- **Operator:** Name of the operator currently logged in to Scan Client.
- **Scanner:** Scanner ID or machine name for the machine currently being used.

**Note:** If a scanner is not configured in Scan Job Setup or the machine is being used for offline purposes, the machine name displays instead.

- **Batch Status:** Batch status of the current batch.
- **Batches Today:** Total number of batches scanned on the scanner for the current day.
- **Documents Today:** Total number of documents on the scanner for the current day.
- **Transaction:** Sequence number of the selected transaction or the selected document's transaction.
- **Document:** Sequence number of the selected document.

**Note:** When selecting multiple transactions and documents, the information displayed in the status bar pertains to the focused item.



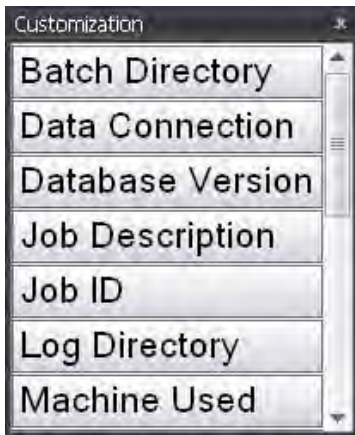
- **Total Transactions:** Total number of transactions in the batch.
- **Total Documents:** Total number of documents in the batch.
- **Total Images:** Total number of images for the batch.

## Customization dialog box

---

### Adding columns

Add a column by right-clicking a column header and selecting **Column Chooser** from the menu. In the **Customization** dialog box that displays, click and drag the columns you want to add to the column header area. You can also select the column in the Customization dialog box, right-click, and select **Show This Column**.



You can display the following columns in the **Select Job** dialog box:

- Job Description
- Job Group
- Job ID
- Job Name
- Parmfile

You can display the following columns in the **Select Batch** dialog box:

- Batch Directory
- Batch ID
- Batch Name
- Data Connection
- Database Version
- Date Created
- Document Count
- Job Description
- Job ID
- Job Name
- Locked By
- Locked On
- Log Directory

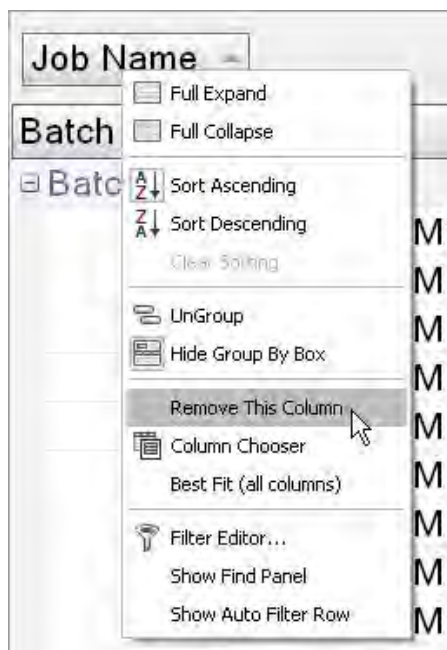
- Machine Used
- Operator Group
- Operator ID
- Operator Name
- Parmfile
- Parmfile Version
- Process Date
- Remarks
- Scan Client Version
- Scanner ID
- Scanner Version
- Status
- Status ID

### Moving columns

Change the order of the columns in the dialog box by clicking and dragging them to different locations in the header.

### Removing columns

Remove a column by right-clicking the column header and selecting **Remove This Column** from the menu. You can also drag and drop columns into the Customization dialog box to remove them.



## Sorting columns

Each column has sorting capabilities. Right-click a column header and choose either **Sort Ascending** or **Sort Descending** to change the sorting order for that particular column. You can also click the column header to change the sorting order from ascending order (listing from lowest number to highest number) to descending order (listing from highest number to lowest number).



## Grouping Columns

By default, the jobs in the **Select Job** dialog box are listed by the group to which they belong. To remove this group, click **Job Group** at the top of the dialog box and drag it to the column header area. Group by job ID, job name, or job description by clicking a column header and dragging it to the top of the dialog box. If you drag more than one header, the grouping is organized hierarchically.

By default, the batches in the **Select Batch** dialog box are grouped by job name. To remove this group, click Job Name at the top of the dialog box and drag it to the column header area. Group by another option (see the preceding list of available columns for the Select Batch dialog box) by clicking the column header and dragging it to the top of the dialog box. If you drag more than one header, the grouping is organized hierarchically.

## Creating Custom Filters

When you hover over a column header, a small filter icon displays in the upper right corner. Clicking this icon lets you create a custom filter (Custom) for the column, turn off the filter (Blanks), or show all possible entries, including columns that have blank entries (Non blanks).



## Scan a new batch

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There are three steps to follow when scanning a new batch of documents:

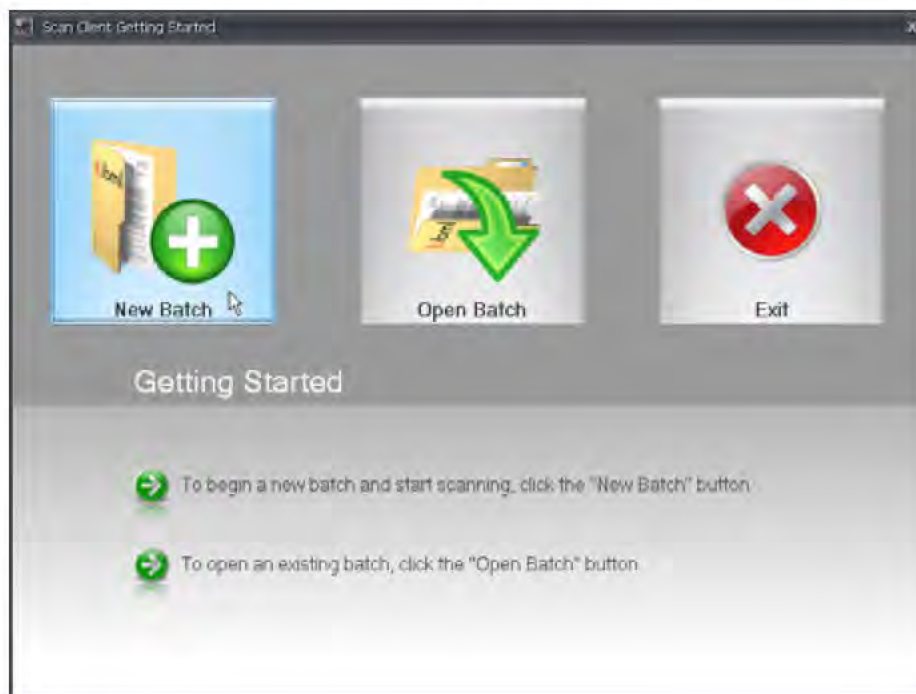


**Note:** Documents should be [prepped](#) properly prior to scanning.

## Create a new batch

Create a new batch prior to scanning by completing the following steps:

1. Select **New Batch** from the **Scan Client Getting Started** screen. Permission to create new batches must be granted by your administrator in User Admin.



**Note:** If any target data connections are out-of-date, a message displays telling you which databases need to be updated before new batches can be scanned into them.

2. In the **Select Job** dialog box, click on the job that corresponds to the batch of documents you need to scan, and click **Go** or press **Enter** on your keyboard. (Your administrator has most likely set up a number of jobs, and they should tell you which one to select from the list.)

You can [customize the Select Job dialog](#) by adding, moving, or removing columns. Additionally, you can change how jobs are sorted in the list and create custom filters for each of the different columns.

3. Should the **Batch Input** dialog box appear, enter the information that is requested.

Your administrator will instruct you on what to do if this dialog box displays. Batch input parameters may or may not be used in the job; therefore, this step may or may not be required.

After the job has loaded, the [feed buttons](#) become active. Notice that the default scan mode is **Appending** because documents will be added to the tree.

## Load documents

After you have created a new batch, you are ready to load a prepped batch of documents into the Automatic Feed Tray so that you can begin scanning. To do this, complete the following steps:

**Caution:** While loading and feeding documents, keep your hands clear of moving parts.

1. Pull the Automatic Feed Tray back and place the documents face-up in the direction in which they should be scanned. The side of the documents nearest the back of the scanner should be flush against the scanner's back edge. If scanning a batch of intermixed documents, be sure that the right or left corners (depending on the direction the documents are being scanned) are together.
2. Arrange the documents so that they are spread out horizontally and not bunched together; this helps reduce issues with feeding that can result in skews and jams.

The whole batch may not fit into the tray at one time, and you should be sure not to overload the tray as this could result in feeding issues. However, after you begin scanning, you can continue adding documents by lifting up the last document in the tray and sliding new documents into place.

## **Begin Auto Feed**

After you have created a new batch and loaded documents into the Automatic Feed Tray, you can begin feeding and scanning those documents.

To initiate feeding, select **Auto Feed**. The scanner initializes and the Picker begins picking documents from the top of the stack in the Automatic Feed Tray and transferring them into the De-Double module so that they can then move down the scanner track.

As documents are imaged, the [document tree](#) is built, and the images captured are displayed in the [image viewer](#). It is important to monitor the image viewer to check image quality. If images consistently appear dark in certain areas, this could indicate the need for [maintenance](#).

When the first document is scanned and creates the batch, the **Camera** and **Image Window** buttons above the image viewer become enabled, which indicates that you can now change the camera view and image window you are seeing while scanning. The option to change camera and image window is only available when the logged in user has permission in User Admin to edit image display options.

You can select **Stop Feed** at any time during scanning to stop feeding documents.

### **Autobatching**

Most jobs are set up for autobatching whereby new batches are automatically created when the scanner recognizes a batch header or other document type. In this case, you do not have to close batches individually as this is done for you automatically.

If you closed a batch and then reopen a batch using the **Open Batch** button, and then attempt to feed a document that creates a new batch the message, "A new batch cannot be created from a previously closed batch. You can create a new batch by clicking the New Batch button from the Getting Started screen." is displayed. Click **OK** to close the batch. Create a new batch as instructed by the message.

For jobs that do not autobatch, click **Close Batch** when scanning is complete. The batch is closed and assigned a default status of Scan Complete. You can now unload the documents that were just scanned from the pockets at the end of the scanner and store them appropriately.

### **Starting a new batch from within a current batch/Manual autobatching**

In cases where you cannot autobatch because you do not have batch headers to separate each new batch, you can use the **New Batch** option located in the Scan Client application menu or the [keyboard shortcut](#) Ctrl + N to create a new batch of the same type without having to close the current batch and return to the Scan Client Getting Started screen.

This is considered manual autobatching. When this option is selected, the current batch is closed, a new batch of the same type is automatically created, and the batch ID is incremented.

If the batch belongs to a job that has a batch input parameter associated with it, the batch input dialog is displayed when the new batch is created. Both DocIDs and inkjet keywords are reset when this option is used.

## Open an existing batch

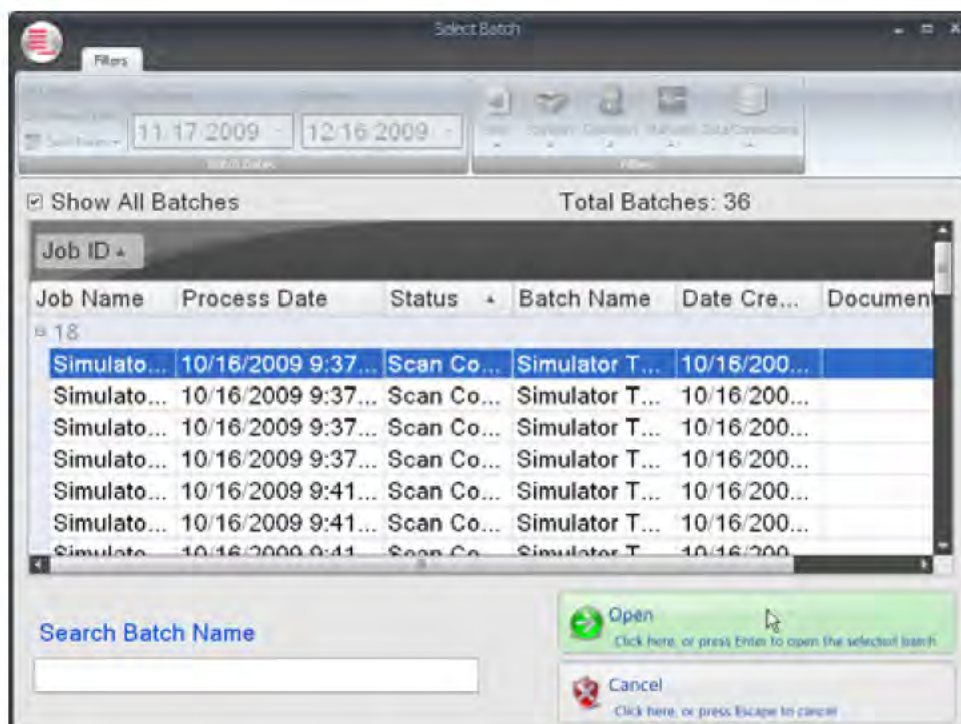
After a batch has been scanned, you can open it again for review or if you need to add, insert, or rescan documents.

To open a batch of documents, complete the following steps:

1. From the **Scan Client Getting Started** screen, click **Open Batch**.
2. From the **Select Batch** dialog box, choose the batch that you want to open and click **Open**.



**Note:** If any target data connections associated with the batches in this list are out-of-date, a message displays to the operator that shows a list of the out-of-date databases and states that batches from those databases are not available for selection. Only those batches from valid databases are shown in the list.

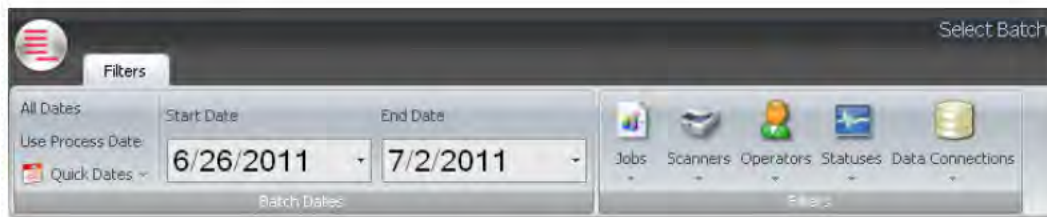


### Select Batch screen options

#### Filtering

You can change what batches are shown in the list by using the filtering selections at the

top of the screen.



The list may be filtered by the

- Date batches were created
- Job batches belong to
- Scanner batches were created on
- Operator who scanned the batches
- [Status](#)
- Data connection batches were scanned into

For any of the filters, you can select all of the items in the list by clicking **Select All**. To deselect all of the items in the list, click **Unselect All**. Filtering is turned off when **All** is selected.

To see a list of all batches scanned, select the **Show All Batches** check box.

The **Total Batches** display shows the total batch count in the list based on the filtering options selected.

### **Dialog customization**

You can [customize this dialog](#) box by adding, moving, or removing columns and applying column filters.

### **Search batch name**

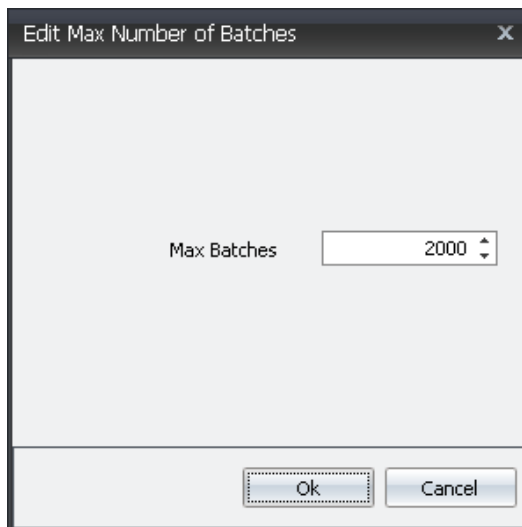
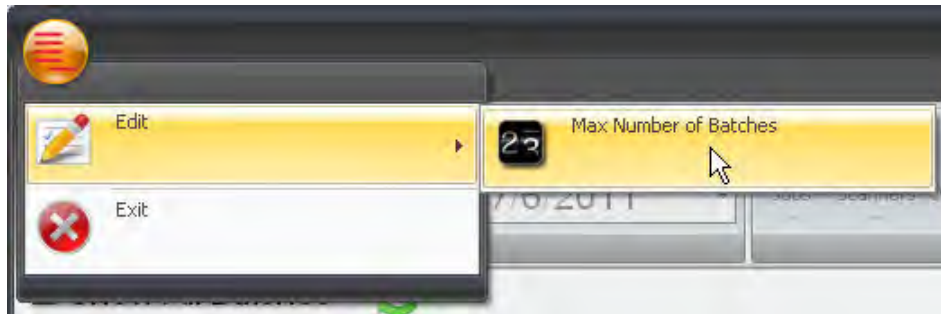
Use the **Search Batch Name** feature to search for a particular batch by name. Type in any character in this field, and the search feature looks at every character in a batch name for a match.

Search Batch Name

### **Set maximum number of batches**

By default, the maximum number of batches that are loaded into the batch viewer is 2000. Any time you change filtering options, refresh the list, and attempt to retrieve a batch list that exceeds this maximum value, a message displays that prompts you to confirm loading all batches before this command is executed.

This default number of batches can be changed by clicking **Edit > Max Number of Batches** in the application menu and changing the max batches value in the dialog that displays.





3. When the batch opens in either online or offline mode, the last document in the tree is highlighted and displayed in the image viewer. Scan Client is in **Appending** mode, as displayed at the top of the tree. In Appending mode, you can [append to or add documents to the batch](#).

You can insert documents in the batch as well, or you may [rescan](#) documents to replace them. When inserting or rescanning documents, Scan Client goes into **Inserting** mode.



**Note:** In User Admin, operators who have the "Open Batches From Any Scanner" permission enabled can open any batch no matter what scanner it was created on. If operators only have the "Open Batches Created by Current PC/Scanner" permission enabled, they can only open batches that were created on the scanner they are currently logged into.

## Append, Insert, or Rescan Documents

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A common reason to open an existing batch of documents is to add or insert additional documents or to rescan documents that were scanned incorrectly or that have unclear images.

[Append documents](#)

[Insert documents by hand feeding](#)

[Insert documents manually](#)

[Rescan documents](#)

### Append documents

---

A common reason to open an existing batch of documents is to add additional documents.

You can append documents to the end of a batch or to the beginning of a batch.

#### Append documents to the end of a batch

To append documents to the end of a batch, complete the following steps:

1. From the tree, select the last document in the batch. Notice that Appending mode is now active and the document you selected is displayed in the image viewer.
2. Depending on the number of documents you are adding to the batch and depending on whether or not the job requires the use of the Inkjet Printer, either [hand feed](#) documents or place them in the Automatic Feed Tray and select **Auto Feed**.
3. After the documents are scanned, check that they are listed in the tree correctly, and examine the quality of the images in the image viewer.

#### Append documents to the beginning of a batch (batch does not contain transactions)

To append documents to the beginning of a batch, complete the following steps:



**Note:** If the batch you are appending documents to contains transactions, you cannot append documents using the method described here. Instead, you must follow the instructions for inserting transactions and documents in the tree.

1. Navigate to the top of the tree and select the folder above the first document in the batch.
2. [Hand feed](#) the document.
3. The newly scanned document is added to the top of the tree and its image is displayed in the image viewer. The documents following the newly added document are renumbered accordingly. Check that documents are listed correctly in the tree and examine the quality of images in the image viewer.

## Insert documents by hand feeding

---

A common reason to open an existing batch of documents is to insert additional documents. There are times when the document tree may build incorrectly, and you may need to insert transactions or documents so that the tree accurately reflects the number of transactions and documents in the batch and so that the batch is correctly indexed.

One method for inserting documents and transactions in a batch is by hand feeding. To insert documents using this method, the "Insert Documents By Feeding" permission must be enabled in User Admin.

### To insert a document using hand feed, complete the following steps:

1. Select the point in the tree where the document should be inserted. New documents are automatically inserted below the document that is currently highlighted in the tree. Notice that **Inserting** mode is active.
2. [Hand feed](#) the new document. Notice that when the batch refreshes, the inserted document is highlighted, the documents following the inserted document are renumbered, and the image of the document you inserted is displayed in the image viewer.

If the document you are inserting is responsible for creating a new transaction, the transaction is created automatically, and documents are re-ordered after the insertion point.

3. Check that the newly inserted document is listed in the tree correctly and examine the quality of the image in the image viewer.



**Note:** You must insert documents one at a time; inserting multiple documents at one time results in an error.

## Insert documents manually

---

A common reason to open an existing batch of documents is to insert additional documents. There are times when the document tree may build incorrectly, and you may need to insert transactions or documents so that the tree accurately reflects the number of transactions and documents in the batch and so that the batch is correctly indexed.

While some documents and transactions must be inserted by hand feeding, there may be other documents and transactions that can be inserted manually from the tree. To use this method of insertion, you must have the "Insert Documents Manually" and "Insert Transactions Manually" permissions enabled in the User Admin.

**To insert documents or transactions manually, complete the following steps:**

1. [Right-click](#) the point in the tree where the document or transaction should be inserted. New documents and transactions are automatically inserted below the document that is currently selected in the tree.
2. From the menu, select **Insert Item** and select the document or transaction type you would like to insert. The document and transaction types listed are based on those set up within the particular job being used.



**Note:** If the job you are inserting transactions or documents into uses the Ink Jet Printer, be aware that inserting causes inkjet numbering to be out of sequence.

## Rescan documents

---

When a document has been scanned incorrectly or an image is unclear, that document must be rescanned. Permission to rescan documents is granted by your administrator in User Admin (permission name: Rescan Documents).

Generally, documents are [flagged](#) for rescanning during a quality assurance review of the batch.

**To rescan a document, complete the following steps:**

1. Select the document in the tree that you need to rescan. Scan Client automatically switches to **Inserting** mode.



**Note:** The documents responsible for creating batches and transactions cannot be rescanned. The Rescan button is unavailable when these document types are selected in the tree.

2. Select **Rescan** and [hand feed](#) the document. The rescanned document is highlighted in the tree and is displayed in the image viewer.



**Note:** A document cannot be replaced by a transaction.

3. Check the rescanned document in the image viewer to be sure that it has been scanned correctly and that a

quality image has been captured.



**Note:** When rescanning a document, only the image is replaced; any properties or rules associated with the document in Scan Job Setup do not run. Only image attributes are run. Document information is not overwritten.

## Change the current operator

---

There are scenarios where a different operator needs to log in to view a currently open batch. For example, if an operator does not have the permission to delete an image but an incorrectly scanned image needs to be replaced, a manager-level user with the permission to rescan documents may log in to Scan Client and do so by selecting **Change Operator** from the application menu ([keyboard shortcut](#) Ctrl + Shift + O).

The operator who is logging in must have permission in the User Admin to view the current job to log on successfully.

## Close a batch

---

Most jobs are set up for autobatching whereby new batches are automatically created when the scanner recognizes a batch header or other document type. In this case, you do not have to close batches individually as this is done for you automatically.

If you closed a batch and then reopen a batch using the **Open Batch** button, and then attempt to feed a document that creates a new batch the message, "A new batch cannot be created from a previously closed batch. You can create a new batch by clicking the New Batch button from the Getting Started screen." is displayed. Click **OK** to close the batch. Create a new batch as instructed by the message.

For jobs that do not autobatch, click **Close Batch** on the [ribbon bar](#) when scanning is complete. The batch is closed and assigned a default close batch status of Scan Complete. You can now unload the documents that were just scanned from the pockets at the end of the scanner and store them appropriately.

When you close an existing batch for a job that has the "Ask if Batch is Complete on Close" option enabled, a dialog displays asking you if the batch you just scanned is complete. If you select "Yes," the batch is closed and given a close batch status. If you select "No," the batch is given a hold batch status. If the "Request Status for Batch Hold" option is enabled in the job as well, a second dialog is displayed that prompts you to select a batch status (generally a hold batch status) and type in the reason for placing the batch on hold. In this dialog, type any comments that you have concerning the batch and insert a date and time stamp that identifies your remarks when another user opens the batch.

## Batch status

---

The following are common batch statuses; however, you may have statuses customized specifically for your scanning environment.

The default statuses listed below correspond with common batch states.

Batch Status	Batch State
Scan New Batch	Batch is new and ready to be scanned
Scan Complete	Scanning is complete and batch is closed/accepted
Scan Open	Batch is open and can be scanned into
Scan Hold	Batch has been put on hold
Batch Error	Batch has an error or batch has been rejected
Ready for QA	Batch is ready for quality assurance testing
PostScan Complete	Post scan processing is complete
PostScan Error	Post scan processing error occurred
PostScan Processing	Post scan processing is in progress

## Delete items from a batch

---

Sometimes it may be necessary to delete transactions, documents, or images from a batch. To delete these items, the permissions to delete documents, transactions, and images must be enabled in User Admin.

### What to keep in mind:

- When a transaction is deleted, only that transaction is deleted and not the documents within that transaction.
- When a document is deleted, all of its associated images are deleted.
- When an image is deleted, only that image is deleted; other images captured for that particular document are kept.

## Delete transactions or documents from a batch

---

To delete transactions or documents from a batch, complete the following steps:

1. Select the transaction or document you want to delete from the tree. To delete multiple transactions or documents, select the first item you want to delete and, holding the Shift key, scroll down through the tree selecting additional transactions or documents.
2. Click **Delete** at the top of the document tree, or press the Delete key on your keyboard. [Keyboard shortcuts](#); [Right click menu items](#)
3. A message prompts you to confirm the deletion; press **Yes** or **No** to accept or reject deletion.

## Delete images from a batch

---

To delete individual images from a batch, complete the following steps:

1. Double-click the document whose images you want to delete.



**Note:** The permission "View and Edit Document Data" must be enabled in User Admin before you can delete images from a batch.

2. From the **Document Data** dialog box, click **Delete** next to each document image that you want to remove.
3. Close the dialog box to return to the main Scan Client screen.



## Enable or disable IJP printing

---

Depending on Operator permissions, you have access to the **Inkjet Enabled** button on the [ribbon bar](#) to disable ink jet printing ([keyboard shortcut](#) Ctrl + Shift + J). The operator can disable and enable the ink jet.

When the IJP is disabled the inkjet head goes to its home position.

The application will then confirm by displaying a message dialog to the operator that the ink jet is now disabled. The ink jet will not print on scanned documents until it has been enabled.



**Note:** Even if ink jet printing is disabled, ink jet data still remains in the database.

## Flag documents for rescan

---

You can flag documents in the tree when they need to be [rescanned](#) due to poor image quality.

Use the hotkey F7 to flag a document; select and de-select F7 to flag and un-flag the selected item(s) in the tree.

When navigating the tree for flagged documents, use the hotkey F8 to move from one flagged document in the tree to the next.

## Hand feed documents

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While operating the scanner, it may become necessary to hand feed documents in the case of a jam or skew or in the case of appending or inserting documents in a batch.

The Registration module has four sensors located along its back edge. Generally, documents are hand fed from Sensor 1, which is the first sensor on the left side of the module. A document is hand fed by either placing it over Sensor 1 and pressing **Hand Feed** or by pressing **Hand Feed** and then placing it over Sensor 1.

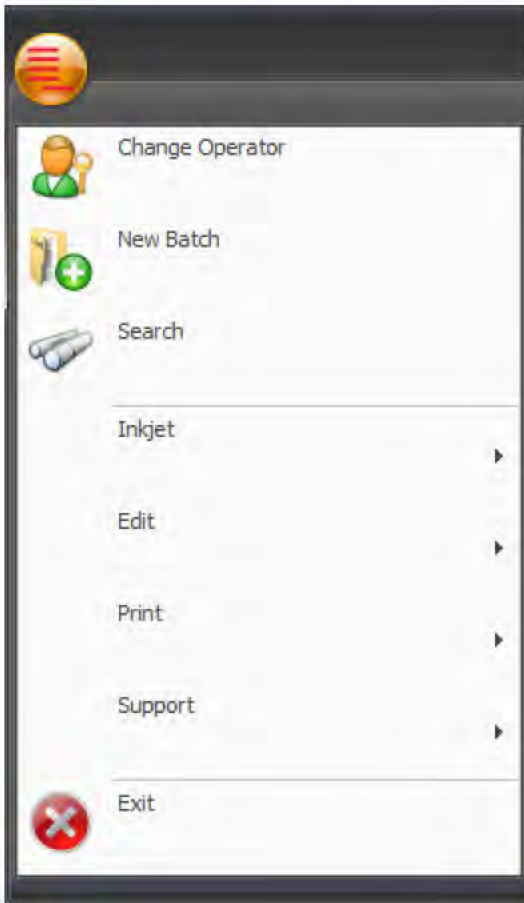
Depending on the parameters your administrator has set, you may hand feed documents from Sensor 2 as well. If you can hand feed from Sensors 1 and 2, note the following:

- When hand feeding from Sensor 1, you must first press **Hand Feed** and then place the document over the sensor.
- When hand feeding from Sensor 2, you can first press **Hand Feed** and then place the document over Sensor 2, or place the document over Sensor 2 and then press **Hand Feed**.

Scan Client remains in hand feed mode until you press **Stop Feed, Auto Feed, or Close Batch**.

## Manually create a new batch

In cases where you cannot autobatch because you do not have batch headers to separate each new batch, you can use the **New Batch** option located in the Scan Client application menu, or press the [keyboard shortcut](#) Ctrl + N to create a new batch of the same type without having to close the current batch and return to the Scan Client Getting Started screen.



This is considered manual autobatching. When this option is selected, the current batch is closed, a new batch of the same type is automatically created, and the batch ID is incremented.

If the batch belongs to a job that has a batch input parameter associated with it, the batch input dialog displays when the new batch is created. Both DocIDs and inkjet keywords are reset when this option is used.



**Note:** This option is disabled in offline mode.

## Move documents in the tree

---

You can move one or multiple items in the document tree. This option is useful when documents were scanned out of the correct order.

Permission to move documents is granted by your administrator in User Admin (permission name: Move Documents).

To move transactions or documents in the [document tree](#), complete the following steps:

1. Select the transaction or document that you want to move in the tree. To move multiple transactions or documents, select the first item you want to move, hold down the Ctrl key, and select the next transaction or document. To select transactions or documents in a range, use the Shift key.
2. Drag the selected items to a different location in the document tree.
3. A message prompts you to confirm the move; press **Yes** or **No** to accept or reject the move.

The items are moved to the new location, and the document or transactions are renumbered based on where they are dropped. If you select multiple items, the first item is placed where you drop it, and the other items are added to the tree in the order that they originally appeared, not the order they are selected. If you move only the transaction, the documents in that transaction are moved to the previous transaction.



**Note:** In batches that have transactions, you cannot move documents to the area between the batch node and transaction node.

## Move inkjet print heads

---

To clean the inkjet print heads or replace inkjet printer cartridges, select **Move Inkjet Printer Heads** from **Inkjet** in the application menu ([keyboard shortcut](#) Ctrl + Shift + M).



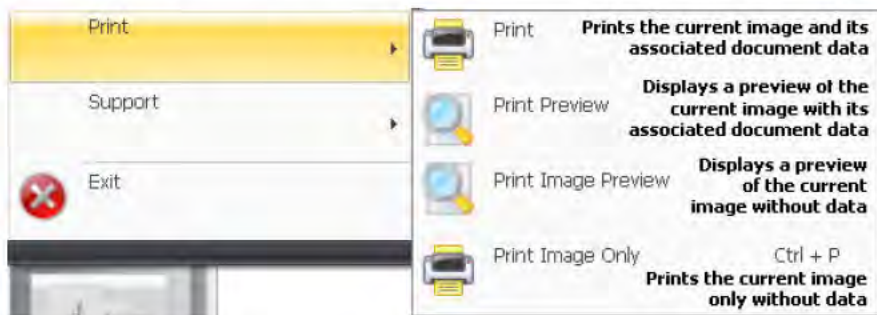
When you select this option, the pre-image inkjet head and/or post-image inkjet head moves out over the track, and a disconnect command is issued to the scanner transport.

After you have cleaned the print heads ([See Inkjet Maintenance](#)) or replaced ink cartridges, click **Move Inkjet Printer Heads** again from the application menu. At this time, a connect command is issued to the scanner transport to move the inkjet printer(s) back to their home position(s) so that you can resume document feeding.

## Print an image

You can print the image currently in the image viewer by selecting **Print > Print** from the application menu. When you select this print option, the [document data information](#) associated with the image is printed as well.

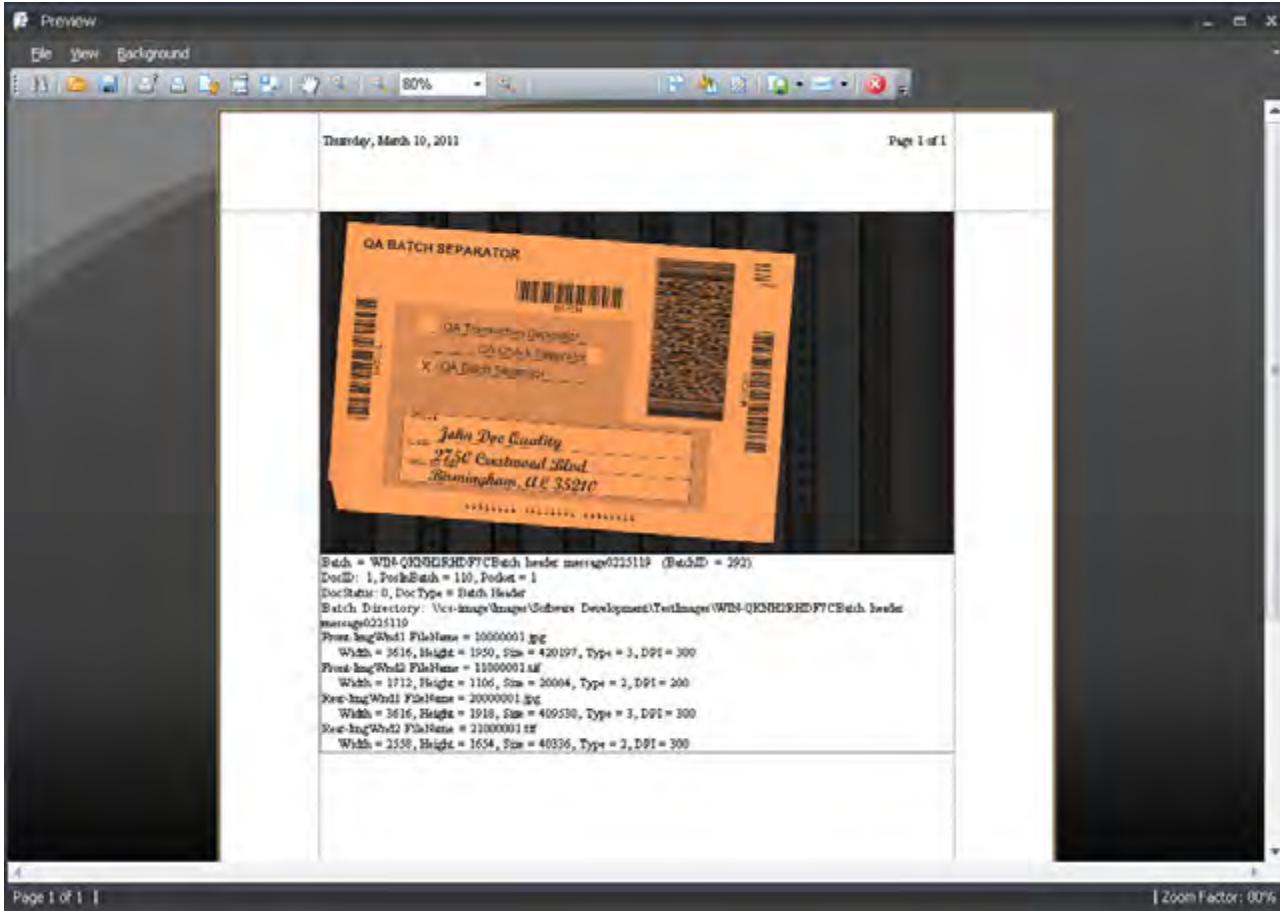
You also have the option to print just the image without any document data information. To print the image only, select **Print > Print Image Only** from the application menu, or use the [keyboard shortcut](#) Ctrl + P.



When either print option is selected, the **Print** dialog displays first, allowing you to select the printer you want to use and define any print preferences before printing.

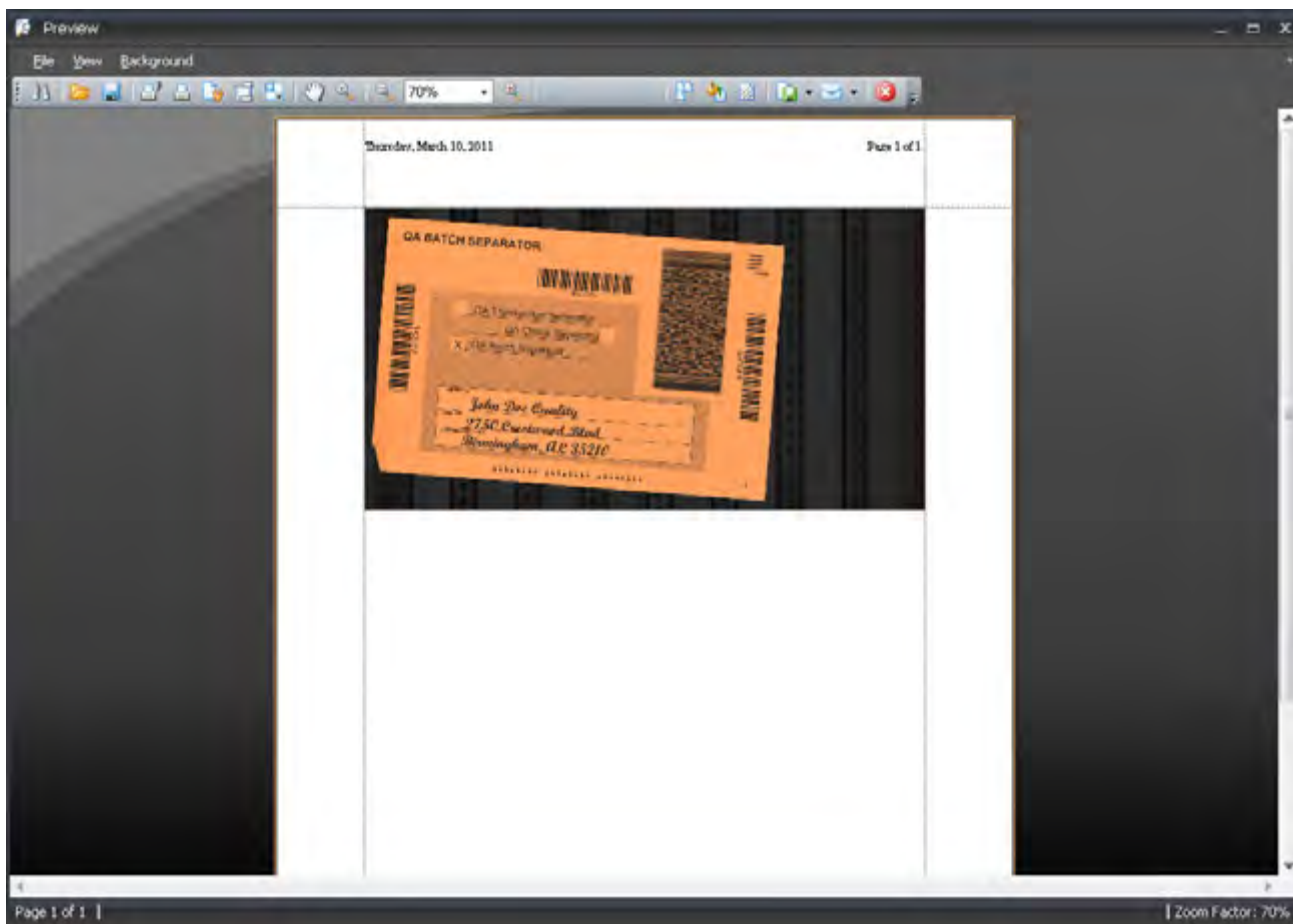
Before printing, view a preview of the image with document data by selecting the **Print > Print Preview** option from the application menu. To view a print preview of just the image without document data, select **Print > Print Image Preview**.

### Print Preview with image and document data



**Print Preview with image only**





Under the **File** menu, click **Page Setup** to change paper size, orientation, and margin sizes prior to printing. You can define a header and footer for the image by clicking Header and Footer in the toolbar. Within the header or footer, you could insert page numbers, insert the user name of the logged in user who printed the image, and insert the date and time the image was printed.

Within this dialog box, you can also zoom in and out on the image, change the background color of the image, or insert a text or picture watermark to be displayed in the background of the image.

## Rename transactions and documents

---

When the wrong document is scanned because of a mistake in batch preparation, you can rename the item in the tree to correct the issue. Permission to rename transactions or documents (permission names: Rename Documents, Rename Transactions) must be granted by your administrator in User Admin.

Double-click on the item in the tree and edit the document type in the **Document Data** dialog box. Permission to view the Document Data dialog (permission name: View and Edit Document Data) must be granted to edit this information.



**Note:** Renaming transactions and documents is dependent on how doing so affects back-end processing. In some cases, an operator may need to rescan the document; however, if the Ink Jet Printer is being used, this could present an issue.

## Review a scanned batch

---

After scanning is completed, you can quickly and easily review batch images in Scan Client using the auto-scroll feature.

- With a document selected in the tree, hit the spacebar on your keyboard to begin automatically scrolling through the documents one at a time.



**Note:** that the image manipulation keys are disabled during auto-scrolling.

- The document image shown in the image viewer is based on the camera and image window you have selected. When reviewing a batch, you may want to select the Cycle mode so that you can see images captured from both the front and rear cameras.
- To stop auto-scrolling, hit the spacebar again.
- You can also use the Page Up and Page Down keys to scroll backward or forward through the tree.
- Alternatively, click the Stop button, then press C on the keyboard to scroll thru items identified as checks, or D to scroll thru items identified as documents.
  - A scan job must be configured to identify checks in order to use this auto-scroll method.

### Transaction thumbnail view

When a transaction is highlighted in the tree a thumbnail view will be displayed in the image viewer. Double-click on a thumbnail to select that document in the tree and view that document in the normal view.

- If cycle is selected as the camera option, both front and rear thumbnails are displayed.
- The camera and window image display buttons will determine what thumbnails are visible.

## Search for documents and document data

You can search for specific documents in the tree by document ID or document type. Or, you can search the tree for document data, including IJP data, barcode data, and MICR data.

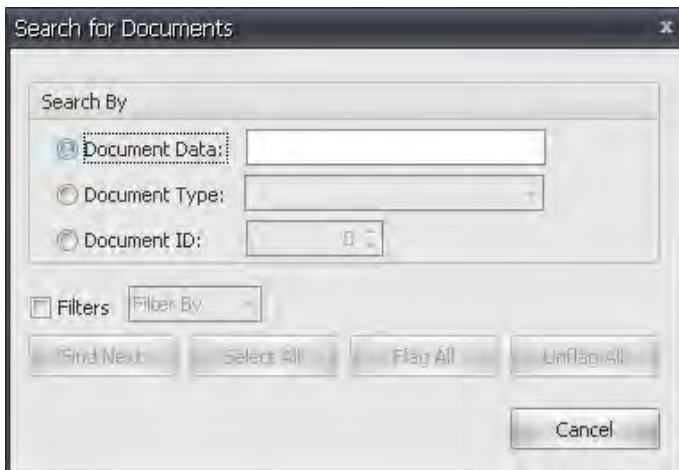
Access the search feature by selecting **Search** from the application menu or by using the [keyboard shortcut](#) Ctrl + F.

In the **Search for Documents** dialog, click on the item you want to search by—document data, document type, or document ID.

If you want to search for specific **document data**, type in the data you are looking for in the box provided. The application searches for document data in all columns (Name, IJP Data, Barcode Data, Pocket, and MICR Data) even if the particular columns are not currently shown in the tree.

If you select **document ID**, enter or select the specific ID number you are looking for in the box provided.

If you select **document type**, choose the document type to search for from the drop-down menu. The document types listed here are those that are set up within the scan job.



After you have typed in your search criteria, click **Find Next** to begin the search from the top of the tree moving down. Continue clicking **Find Next** or press F3 to continue searching for items throughout the batch that match the criteria you entered.

Click **Select All** when you want to highlight all instances of the matched item in the tree.

Click **Flag All** to flag all instances of the matched item in the tree. Click **Unflag All** to remove flags from the matches item(s) in the tree.



Select the **Filters** check box to enable filtering in the document tree. Select **Filter By** to filter the tree by the item that matches your search criteria. You can choose the **Filter Out** option to filter out an item from the tree.

To turn off filtering in the tree, clear the **Filters** check box.

Click **Cancel** to end the search and close the **Search for Documents** dialog.

## Set batch status

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If operators need to set the [status of a batch](#) to a status other than Scan Complete, they can select **Edit > Set Batch Status** from the application menu ([keyboard shortcut](#) Ctrl + Shift+ T) to change the status. Batch status can be set during scanning or before closing a batch.

For example, if a quality assurance process is followed, an operator may need to change the batch status so that the batch can be marked for rescanning. The default status when manually setting the batch status is Batch Error.



**Note:** The only batch statuses that are available to choose are those the current operator has permission to view as set up in User Admin for the operator's user profile.

## Set batch priority

---

If an operator needs to set the priority of a batch, they can select **Edit > Set Batch Priority** from the application menu to change the priority. See also [Right click menu items](#).

Batch priority can be set during scanning or before closing a batch. For example, if a batch is needed to be promoted through a workflow, an operator can choose to change the batch priority. The priority is now set to this new level, and the batch is the next handled through any process following in the workflow.



**Note:** Batch input still prompts for a priority upon batch close if configured.

## Set log levels

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When troubleshooting, it may be necessary to increase the logging levels for the VxWorks managers so that more data and information is collected in the log file.

From the Scan Client application menu, select **Support > Set log levels**. You can also access this option using the [keyboard shortcut](#) Ctrl + Shift + L.

The **Log Levels** dialog box displays and shows the current levels set for each manager of the ImageTrac VxWorks system.

Logging levels are based on a verbosity scale. Therefore, when you select a different logging level for any process manager, certain numerically classified logging options are enabled for that manager. When you want a minimal amount of information in the log file, enter zero (0). To have more information in the log file for a particular manager, enter a higher number; the maximum value is 5.



**Note:** Unless ibml Customer Support requests higher verbosity levels, the default level of 1 is recommended for troubleshooting purposes.



## View batch log

---

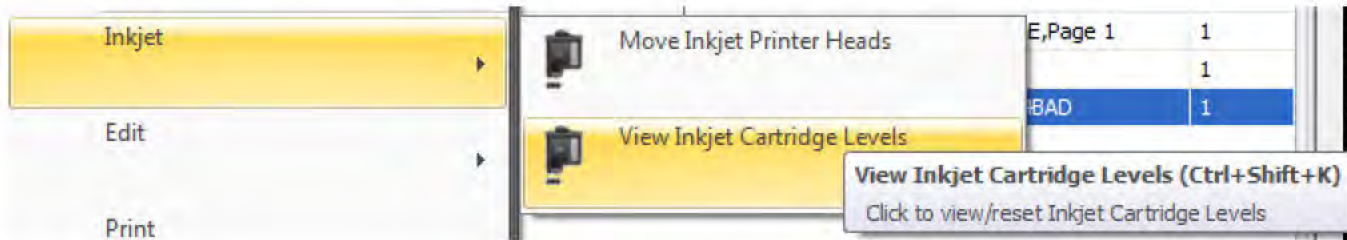
The batch log opens in a text editor and shows a record of all activity that occurs during batch processing per the job's instructions. This includes batch information, database errors, scanner errors, scanner information, document mapping errors, scanner event information, interface information, document mapping information, pocket information, inkjet printer information, database information, scanning events, and timer information.

This option is primarily used by ibml personnel to troubleshoot scanning issues.

To view the batch log, select **Support > View batch log** from the Scan Client application menu, or use the [keyboard shortcut](#) Ctrl + L.

## View Inkjet Cartridge Levels

To view the inkjet cartridge ink levels, select **View Inkjet Cartridge Levels** from **Inkjet** in the application menu ([keyboard shortcut](#) Ctrl + Shift + K).



When you select this option, the Ink Status dialog box appears, showing the cartridge's ink levels.



To replace the ink jet cartridge, see the [Move inkjet print heads](#) topic.

## View and edit batch input

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Some scanning jobs require operators to input information concerning the batch prior to or after scanning. This batch input parameter is set up by the administrator in Scan Job Setup.

You can view and edit the batch input when you are scanning a new batch or when you have opened an existing batch by selecting **Edit > View/Edit Batch Input** from the Scan Client application menu.

Open the batch input at any time during the scanning of a batch using the [keyboard shortcut](#) Ctrl +Shift + I.



**Note:** Some batch input object text fields may be read-only.

## View and edit document data

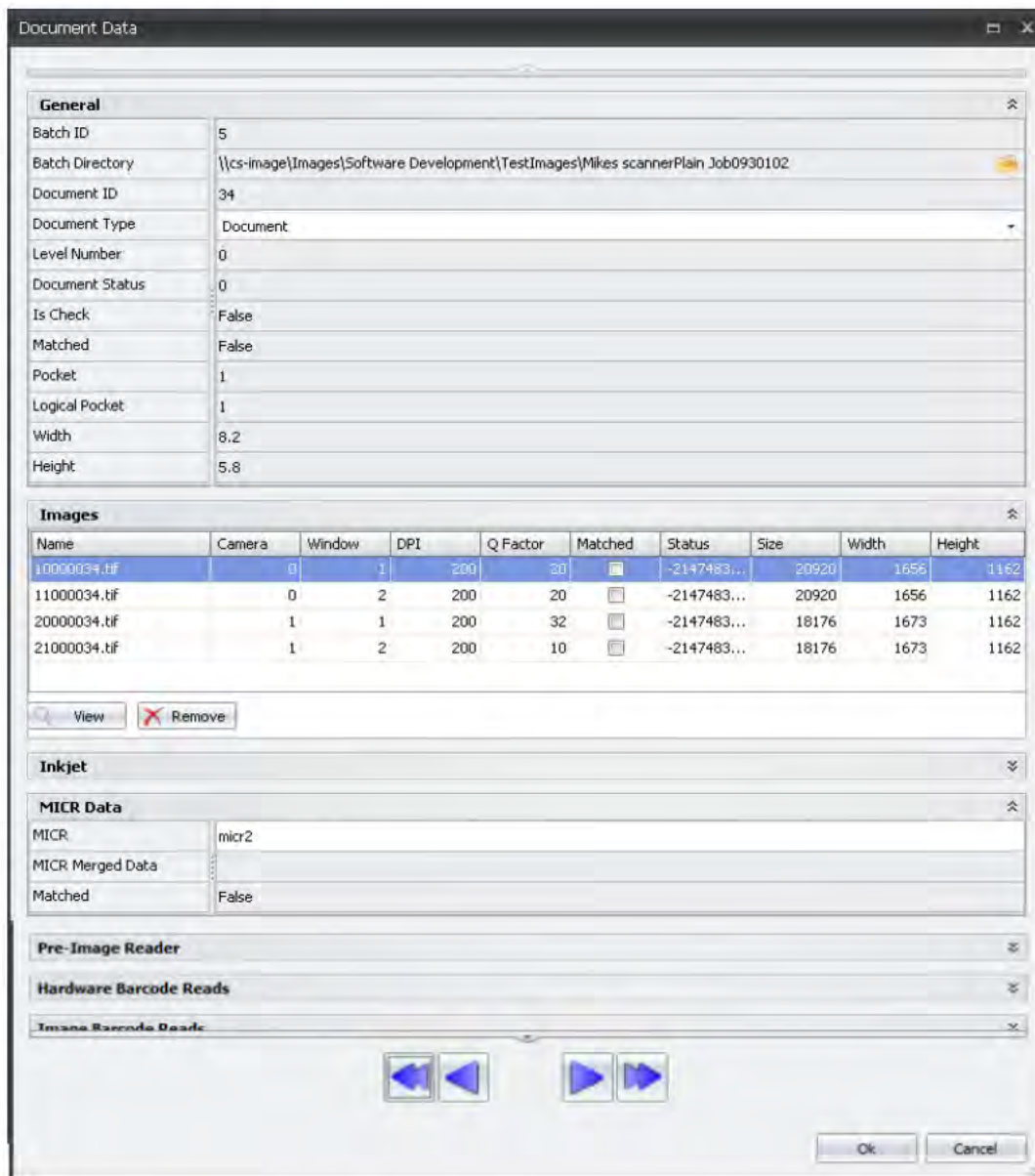
---

You have the option to view and edit the data captured for documents during scanning. Permission to view and edit document information must be granted by your administrator in User Admin (permission name: View and Edit Document Data).

To view the data specific to a particular document, double-click the document in the tree. You can also select the document in the tree and press Enter on the keyboard.

In the **Document Data** dialog that displays, view and change document data as needed. Notice that you can view and/or delete the images associated with the selected document from this dialog as well.

If you would like to view and edit data for other documents in the tree, use the navigation buttons located at the bottom of the dialog (**First Document, Last Document, Next Document, Previous Document**) to move through the other documents in the batch.



The following data is collected for each document in the tree:



**Note:** Document data for discarded separator documents, including barcode data, ICR data, MICR data, and document type recognition data, is still written to the database.

## General

### **Batch ID**

Number assigned to uniquely identify each batch

### **Batch Directory**

Path to the directory location where batch images are stored

### **Document ID**

Document identification number

### **Document Type**

The type of document as defined in Scan Job Setup. You can rename an item here by choosing a new level name from the list of available names.

### **Level Number**

Document level based on tree hierarchy, i.e. references if the document was a level 1 (transaction-based jobs) or level 0

### **Document Status**

The status of the current document as either flagged (value of 1) or not flagged (value of 0). This is also a custom field that some back-end systems use to set a status for a document.

### **IsCheck**

Value indicates whether document was recognized as a check (True) or not (False)

### **Matched**

Value indicates whether the document matched a Document Size rule (True) or not (False)

### **Pocket**

Pocket number where the document was sent

**Logical Pocket**

The logical pocket number the document was sent to

**Width**

The physical width of the document as measured in inches

**Height**

The physical height of the document as measured in inches

**Images**

Lists images associated with the document. From here, you can see the camera and image window the image was captured from as well as the width, height, DPI, file size, and image type data associated with each document image. When you open an image from the **Document Data** dialog box, the image displays in your system's default image viewer. Select **Delete** to remove an image from the list.

**Inkjet**

Lists the print line associated with the Pre-Image Inkjet and/or Post-Image Inkjet.

**MICR Data**

Lists any MICR data read by the MICR Reader. This area also shows the merged result from the MICR + ICR read, if available, and indicates, using True or False, if the MICR read matched the value specified for the MICR property/rule.

**Pre-Image Reader**

Lists any data read by the Pre-Image Reader.

### **Hardware Barcode Reads**

Lists any data read by the hardware Barcode Reader. Barcode data is displayed in the order it was on the document with respect to the direction in which the document was scanned.

### **Image Barcode Reads**

Lists Image Barcode data captured and includes the camera and image window where data was captured as well as the symbology type and coordinates. Image Barcode data is displayed in the order it was on the document with respect to the direction in which the document was scanned. This area also indicates, using True or False, if the Image Barcode read matched the value specified for the Image Barcode property/rule.

### **ICR Reads**

Lists any ICR data captured during scanning.

### **Doc Typing**

Lists any IDR data captured during scanning, including confidence, the camera and image window from which the result was taken, and whether or not the result matched the value specified for the Document Type Recognition property/rule.

### **Logo Finder**

Lists any logo data identified during scanning, including the coordinates of the logo on the document (top, left, bottom, right) and the camera and image window from which the result was taken.



## Troubleshooting

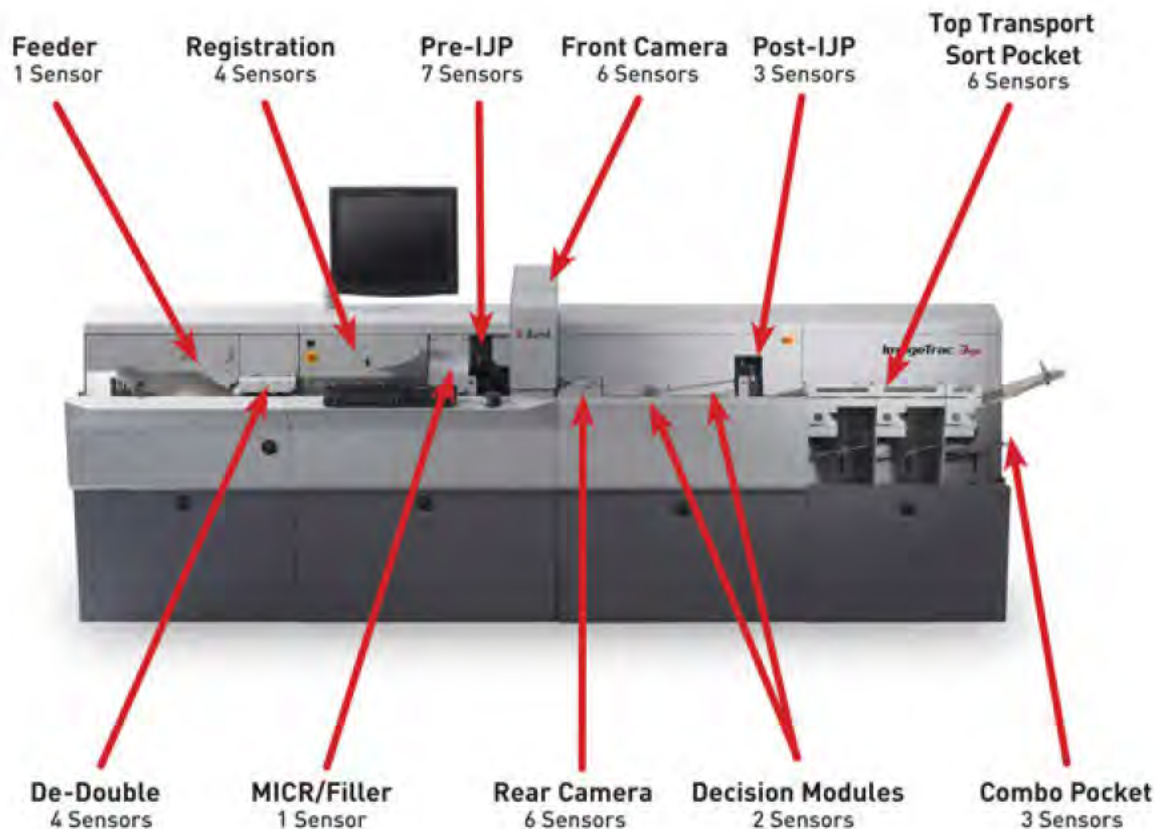
During scanning, you may experience different types of errors, such as skews, jams, or early/late documents. When such errors occur, a message displays on screen that tells you the type of error the scanner encountered, the module where the error occurred, and the sensor number from which the error was triggered. With this information, you can easily recover from these errors and return to normal scanning operation.

[How to recover from a skew](#)

[How to recover from a jam](#)

[How to override dog ear detection alerts](#)

The ImageTrac scanner is equipped with sensors throughout the track that detect the presence of documents as they move down the track during scanning. Each module has a set of sensors that are assigned numbers used for tracking and locating problems like skews or jams. The image below shows the number and location of sensors on the ImageTrac.



In addition to skews and jams, there are other errors that may occur in which Scan Client issues an error message. To recover from these errors, follow any instructions on screen or consult your administrator.

### [Common error messages](#)

When feeding issues arise, this may signal the need for maintenance, or you may be able to address these issues by adjusting document alignment, by adjusting the Picker sensor arm or Picker tension, or by using the Feeder Throat Adjustment.

### [How to improve document feeding](#)

When issues arise that require the assistance of ibml Customer Support, you need to send log files to personnel for troubleshooting.

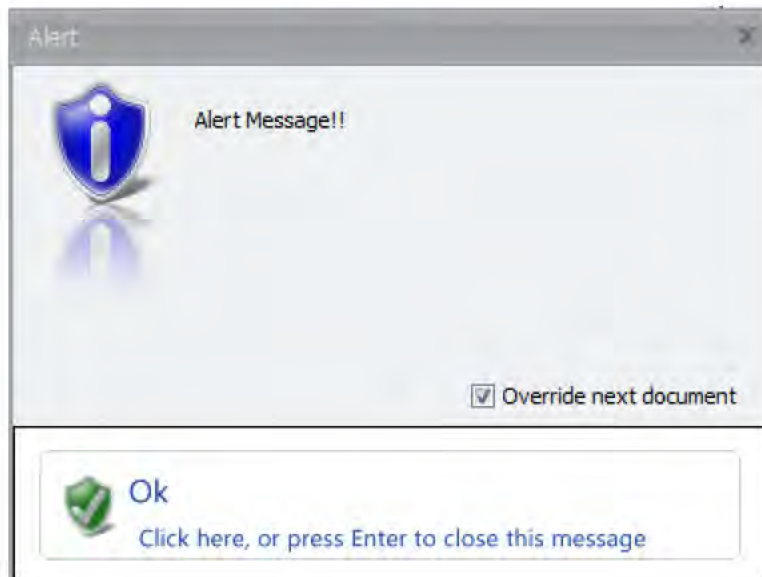
### [Get ibml Customer Support data](#)

## How to override dog ear detection alerts

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If you encounter a Dog-Ear Detection alert, and the alert is due to a document's torn corner, you may choose to override dog ear detection.

A check box on the dog ear detection alert allows you to "Override next document." Selecting this option disables dog ear detection for the next document fed.



## How to recover from a skew

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A document skew is a slanted or crooked document. A skew often results from a bent or curled document edge. Skews usually occur after a document leaves the De-Double and before the document reaches the front camera; they are usually detected by one of the Ink Jet Printer module's six sensors (usually sensors 1 and 2). If your scanner is not equipped with an Ink Jet Printer, skews are detected by the six sensors on the Ink Jet Filler module.

When the scanner detects a skewed document, a "Document skew detected" error message is issued by Scan Client and the scanner track is halted; this message tells you where on the track (module and sensor) the skew occurred.

To recover from the error, complete the following steps:

1. Using the information provided in the error message, locate the skewed document on the track.
2. Select **OK** on the error message in Scan Client.
3. Gather the documents left on the track, or select **Flush Track** in Scan Client to send the documents left on the track to the flush pocket. Take note of any documents that were not properly scanned before the skew was detected. Take the document that caused the skew error and smooth it out, if necessary.
4. [Hand feed](#) the documents that were not properly scanned, including the document that triggered the skew error.
5. When you finish hand feeding the documents, press **Auto Feed** to continue scanning into the batch.

## How to recover from a jam

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Jams can occur at any point on the track, but they most likely occur when a document gets stuck under the rear camera or in a pocket. These particular areas on the scanner have belts that touch both sides of a document; therefore, when a document with a tear or fold is pinched by these belts, a jam can occur. When a jam is detected, an error message is issued by Scan Client, telling you where the jam is located and halting the scanner track.

If frequent jams occur in the same location, make sure that all sensors in that location are clean and clear of debris. Also, make sure that documents are being prepared and fed properly.

Jam recovery consists of clearing the jam, clearing the track, locating the last scanned document, and hand feeding the documents left on the track.

To perform jam recovery, use the following steps:

1. Given the information provided by the error message, locate and clear the jammed document. Clear the track of remaining documents, making sure that you keep them in correct scanning order. You may clear the track by physically gathering documents or by selecting **Flush Track** in Scan Client. If you flush the track, all documents are sent to the pocket designated as the flush pocket. Remove the documents from the flush pocket, making sure that you keep them in correct scanning order.
2. Locate the last document scanned successfully before the jam error was issued. (This document should match the document image currently in the image viewer.) If the document that caused the jam was not successfully scanned, smooth out that document, if necessary, before feeding it again.

3. [Hand feed](#) the documents that followed the last successfully scanned document, which may include the document that caused the jam.
4. After you are done hand feeding documents, select **Auto Feed** to continue scanning the remaining documents in the batch.

## Using the LCD Buttons to Clear a Document from a Module

### Pocket Button

- Press the pocket button once to empty the pocket.
- Press the pocket button twice to empty all pockets.



### S-Turn Module

The LCD buttons on the front of the S-Turn are used for clearing jams. They both function in the same way and can be used simultaneously:

- Press and Hold: Track moves forward.
- Press Twice and Hold: Track moves in reverse.



## Clearing Documents from the S-Turn Module using the C-Turn Disengage

There are two C-Turn disengage knobs on the S-Turn module. They are designed to snap back into position and not stay open. Rotate the knob clockwise for the upper C-Turn and counter-clockwise for the lower C-Turn to disengage the rollers and remove jammed documents.



## Common Error Messages

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Below is a list of common error messages that you may come across while operating the ImageTrac scanner; under each error is a brief explanation and possible solution. Error messages are logged in the Miscellaneous area in Scan Client below the image viewer.

**Tip:** Use the search feature to find the error message text information in this topic.

"Barcode not read"

<b>explanation</b>	Your administrator set up the job so that a specific barcode must be read by the Barcode Reader. Since that barcode was not read, the track was halted.
<b>solution</b>	Contact your administrator to correct this issue.

"You still have a batch open"

<b>explanation</b>	You have tried to exit Scan Client while a batch is open.
<b>solution</b>	Select <b>No</b> on the error message and then select <b>Close Batch</b> . Next, exit the program.

"A new batch cannot be created from a previously closed batch. You can create a new batch by clicking the New Batch button from the Getting Started screen."

<b>explanation</b>	You have opened a previously closed batch and attempted to feed a document that creates a new batch.
<b>solution</b>	Click <b>Ok</b> to close the batch, and then click the <b>New Batch</b> button to create a new batch.

"Document skew detected"

<b>explanation</b>	The ImageTrac has detected a skew.
<b>solution</b>	<a href="#">How to recover from a skew</a>

"One document(s) have already been sprayed..."

<b>explanation</b>	A document has been sprayed by the IJP but has not been captured by the camera.
<b>solution</b>	Pick up any documents that were not captured and <a href="#">hand feed</a> them.

"No destination DocID: Waiting for rear DocType results"

<b>explanation</b>	The document is either late, or the ImageTrac was unable to assign a pocket destination to a document because of a timing issue involving the DocType event responsible for assigning a pocket.
<b>solution</b>	Pick up the document that caused the error message and attempt to hand feed it. Should the problem persist, contact your system administrator.

"No destination DocID: Waiting for rear ImageBar results"

<b>explanation</b>	The document is either late, or the ImageTrac was unable to assign a pocket destination because of a timing issue involving the ImageBar results responsible for assigning a pocket.
<b>solution</b>	Pick up the document that caused the error message and attempt to hand feed it. Should the problem persist, contact your system administrator.

"No destination DocID: Waiting for rear ICR results"

<b>explanation</b>	The document is either late, or the ImageTrac was unable to assign a pocket destination because of a timing issue involving the ICR results responsible for assigning a pocket.
<b>solution</b>	Pick up the document that caused the error message and attempt to hand feed it. Should the problem persist, contact your system administrator.

"Fdr tmOut [type parm1]"

<b>explanation</b>	Feeder Module sensor did not detect any documents in the time defined in the software parameter file.
<b>solution</b>	Attempt to load and feed documents again. If the problem persists, contact your system administrator.

"Corrupt Receive Buffer"

<b>explanation</b>	Corrupt Receive Buffer
<b>solution</b>	<a href="#">Shut down and restart</a> the ImageTrac system. If the problem persists, contact ibml Customer Support.

"Mod bd not resp (parm2/parm1)[status]"

<b>explanation</b>	[Name of Module] is no longer responding.
<b>solution</b>	<a href="#">Shut down and restart</a> the ImageTrac system. If the problem persists, contact ibml Customer Support.

"No destination docID [parm1][status]"

<b>explanation</b>	XX information is not received in time for the ImageTrac to make a pocketing decision. For example, in cases where the Barcode Reader is enabled in the parameter file but the hardware is not working, you receive this type of error.
<b>solution</b>	Contact your system administrator to correct this issue.

"Invalid Xpt Config: Mismatch at addr parm1"

<b>explanation</b>	Invalid transport configuration: mismatch at addr parm 1.
<b>solution</b>	<a href="#">Shut down and restart</a> the ImageTrac system. If the problem persists, contact ibml Customer Support.

"Illegal edge [name] sen [parm1] retriggered"

<b>explanation</b>	An illegal edge was detected (usually triggered by an irregular-shaped or torn document). On the Front Camera Module sensors were triggered more than once.
<b>solution</b>	Hand feed the document that caused the error and then attempt to resume normal feeding. If the problem persists, contact your system administrator.

"StartFeed failed (cmdsemcount=parm1)"

<b>explanation</b>	Start feed failed.
<b>solution</b>	Try to start feeding again. If the error persists, <a href="#">shut down and restart</a> the ImageTrac system. If the problem still persists, contact ibml Customer Support.

"Trigger test failure"

<b>explanation</b>	Trigger test failure [failure location]. Establishing communication between a serial device and peripheral was unsuccessful.
<b>solution</b>	<a href="#">Shut down and restart</a> the ImageTrac system. If the problem persists, contact ibml Customer Support.

"Reg tmOut sen [parm1-next]"

<b>explanation</b>	Expected documents have not arrived at a Registration Module sensor in the time defined in the software parameter file.
<b>solution</b>	Try to load and feed documents again. If the problem persists, contact your system administrator.



"Jam in ChkPkts"

<b>explanation</b>	There is a jam in the check pocket.
<b>solution</b>	<a href="#">How to recover from a jam</a>

"Trigger overlap"

<b>explanation</b>	There is a trigger overlap [overlap location]. Sensors saw the leading edge of a document before seeing the trailing edge of the previous document. Holes or tears in documents can cause this type of error.
<b>solution</b>	Hand feed the document(s) responsible for this error. Next, attempt to resume normal scanning. If this problem persists, contact your system administrator.

"Illegal DIO Cycle [NNNNN] senhist"

<b>explanation</b>	A document was not captured correctly by a camera.
<b>solution</b>	<a href="#">Rescan</a> the document.

"Camera A trigger gap too short [%s]"

<b>explanation</b>	Documents are too close together at the front and rear cameras.
<b>solution</b>	Hand feed the document(s) responsible for this error. Next, attempt to resume normal scanning. If this problem persists, contact your system administrator.

"Unexpected Document [name] sen [parm1]"

<b>explanation</b>	Document was not expected to cross over [module name] sensor [parm1] in the amount of time specified in the software parameter file.
<b>solution</b>	Hand feed the document(s) responsible for this error. Next, attempt to resume normal scanning. If this problem persists, contact your system administrator.

"Late Document [name] sen [parm1]"

<b>explanation</b>	Document did not reach [name] sensor[parm1] on a module in a specified amount of time.
<b>solution</b>	Hand feed the document(s) responsible for this error. Next, attempt to resume normal scanning. If this problem persists, contact your system administrator.

### "Feeder Throat open"

<b>explanation</b>	The Feeder Throat Adjustment is set to open.
<b>solution</b>	You must close the Feeder Throat (default setting is 1) before you can resume scanning.

### "Batch Name Waiting"

<b>explanation</b>	Some jobs require barcode data to be used in the batch name. This message displays what data (hardware barcode data) the batch name is waiting on.
<b>solution</b>	Contact your administrator to correct this issue.

### "Parmfile is not in the following patch [path]"

<b>explanation</b>	The software parameter file referenced by the job does not exist in the file path defined.
<b>solution</b>	Contact your administrator to correct this issue.

### "An error was encountered that will require the application to close. The database you have selected needs to be updated with the installed SCS Config sql script before this version can be used"

<b>explanation</b>	You have tried to open an existing job that is in an out-of-date database.
<b>solution</b>	Contact your administrator to correct this issue. The installed Configuration SQL script must be run against the selected database to update it before the database can be used.

### "Autobatch Image Queue Status"

<b>explanation</b>	Sent while auto-batching and image queue is behind to ensure all images for a batch are written before the batch status is changed.
<b>solution</b>	Click to resume auto-feeding on the message on-screen.

"Registration Ultrasonic Double Detect Recovery"

<b>explanation</b>	A document has been determined to be a double-feed by the ultrasonic detection hardware on the Registration Module.
<b>solution</b>	If the document is not a real double-feed, you may click Resume on the message screen to continue scanning. Otherwise, you may select Stop to halt the track and recover.

"The first document scanned must be a batch header. The following properties are used to identify batch headers:[]"

<b>explanation</b>	The job is looking to see a batch header, and the item was not scanned. Examples of properties that are used to identify the batch headers include Hardware Barcode.
<b>solution</b>	Click Ok to accept the message and be sure the first document scanned is a batch header. Review the job to verify the expected results.

"The first document scanned must be a transaction separator. The following properties are used to identify transaction separators: []"

<b>explanation</b>	The job is looking to see a transaction separator, and the item was not scanned. Examples of properties that are used to identify the transaction separators include Hardware Barcode.
<b>solution</b>	Click Ok to accept the message and be sure the first document scanned is a transaction separator. Review the job to verify the expected results.

"The second document scanned must be a transaction separator. The following properties are used to identify transaction separators: []"

<b>explanation</b>	The job is looking to see a transaction separator, and the item was not scanned. Examples of properties that are used to identify the transaction separators include Hardware Barcode.
<b>solution</b>	Click Ok to accept the message and be sure the second document scanned is a transaction separator. Review the job to verify the expected results.

"Doc xxxxx image cwwxxxxx write time ssss"

<b>explanation</b>	This happens when it takes longer than one second to create an image in the temporary image creation location configured in the parameter file.
<b>solution</b>	The temporary image creation location in the parameter file is defined under the <b>Camera Settings</b> section for each camera and is labeled <b>Image File Directory</b> . The default image creation directory or Image File Directory is C:\Program Files\IBML\SoftTracCaptureSuite\images. Have the site administrator check this configuration and resolve the latency.

"Data for DocID (#####) was sent before Inkjet Printer was ready – Please try increasing the request timer value in the software parmfile."

<b>explanation</b>	The Request Timer is not set correctly.
<b>solution</b>	Increase the setting on the Request Timer in the software parameter file.

"Data for DocID (#####) was not received by Inkjet Printer in time – Please try decreasing the request timer value in the software parmfile."

<b>explanation</b>	The Request Timer is not set correctly.
<b>solution</b>	Decrease the setting on the Request Timer in the software parameter file.

"Invalid command line options. Unrecognized command line option [option name]"

<b>explanation</b>	Used an unrecognized command line option that resulted in the application exiting.
<b>solution</b>	Verify the command line option used in the shortcut. Update with a valid command line option. For more information, see Getting Started.

"Invalid command line options. Could not find a data connection with the name [data connection name]"

<b>explanation</b>	Used an unrecognized data connection name when using the ConnName command line option.
<b>solution</b>	Verify the data connection type used in the command line option shortcut. Update with a valid command line option. The value for ConnName is the name of the database specified in the Data Connections dialog box. For more information, see Getting Started.

"Invalid command line options. Using the USERNAME and PASSWORD command line options also requires that either the DBCON or CONNNAME command line option be provided."

<b>explanation</b>	<p>The following rules apply when setting up a command line parameter shortcut or calling a command line parameter:</p> <ul style="list-style-type: none"> <li>• Always use the USERNAME and PASSWORD parameters together.</li> <li>• Include either the DBCON or ConnName parameter with the USERNAME and PASSWORD parameters.</li> <li>• When using the DBCON parameter, always specify the USERNAME and PASSWORD parameters.</li> </ul>
<b>solution</b>	Update the command line options using the guidelines. For more information, see Getting Started.

"ExecuteNonQuery requires an open and available Connection. The connection's current state is closed."

<b>explanation</b>	The application is unable to use or make a connection to the network in general or to the SQL server (database).
<b>solution</b>	Normally, this is caused by a network cable or connection that has become unplugged from the computer. If this is the case, make sure the network cable is connected to the computer or contact your Administrator for help.

"This scanner is not set up in the Scanner-To-Job List for this job."

<b>explanation</b>	This scan job uses a scanner that has not been entered into the Scanner-To-Job List.
<b>solution</b>	Set up the scanner in the Scanner-To-Job List in Scan Job Setup.

"XPT:: Error(34, 2, 0, IJP home check failed, try disconnecting )"

<b>explanation</b>	A failure from the ink jet module that indicates an issue with the ink jet head moving back to or from its home position.
<b>solution</b>	Flush the track to see if a document is keeping the ink jet head from moving. If not, contact your Administrator for help or call Support.

"Could not find server 'ServerName\SqL Server InstanceName' in sys.servers. Verify that the correct server name was specified."

<b>explanation</b>	Renaming a computer that already hosts a SQL Server installation requires additional maintenance in SQL Server to complete the renaming process.
<b>solution</b>	Reference the following link for more information on what to do when renaming a computer that is hosting one or more instances of SQL Server: <a href="http://msdn.microsoft.com/en-us/library/ms143799.aspx">http://msdn.microsoft.com/en-us/library/ms143799.aspx</a>

"Invalid value for keyword [keyword name] on DocID [document ID]. Value of [actual value] does not match expected value of [expected value]."

<b>explanation</b>	[TransactionSequence] does not start with 1 or [TransactionSequence0] does not start with 0.
<b>solution</b>	Gather support data and email software support. Verify the document preparation and rescan the batch.

"Invalid value for keyword [keyword name] on DocID [document ID]. Value of [actual value] does not match expected value of [expected value]."

<b>explanation</b>	[TransactionSequence] or [TransactionSequence0] does not increment from one transaction to another.
<b>solution</b>	Gather support data and email software support. Verify the document preparation and rescan the batch.

"Daily counter in batch name does not match value in printline. Please select new batch and rescan batch header."

<b>explanation</b>	[DailyCounter] keywords do not match between batch name and ink jet printer.
<b>solution</b>	Gather support data and email software support. Verify the document preparation and rescan batch.

"Invalid value detected in printline for keyword [keyword name] on DocID [document ID]. Please rescan document."

<b>explanation</b>	Internal keywords (e.g., [ScannerId]) are blank or empty. This should never be the case.
<b>solution</b>	Gather support data and email software support. Rescan the document. If that does not correct the issue, rescan the batch.

"Operation Mode Not Licensed"

<b>explanation</b>	The scanner is not licensed for the current speed of the parameter file in use.
<b>solution</b>	Contact ibml Customer Support to correct this issue.

"Scanner is licensed to run at a maximum speed of N, current speed is N1."

<b>explanation</b>	The scanner is not licensed for the current speed of the parameter file in use. N = maximum licensed speed. N1 = speed at which the user is attempting to run.
<b>solution</b>	Contact ibml Customer Support to correct this issue.

"The last document (DocID) in pocket (Pocket Number) is incomplete. Please retrieve and rescan this document"

<b>explanation</b>	You encountered a track stoppage and the last document did not scan properly.
<b>solution</b>	Rescan the document.

"Access Denied - SoftTrac Capture Suite is already in use."

<b>explanation</b>	The SoftTrac Capture Suite console is already in use by another user logged into the scanner.
<b>solution</b>	The other user must log-out in order to allow access.

## How to Improve Document Feeding

---

To feed documents successfully, you may need to adjust document alignment, adjust document Picker tension and sensitivity, or change the Feeder Throat Adjustment to decrease or increase the amount of pressure applied to documents.

[Adjust document alignment](#)

[Adjust Picker tension](#)

[Adjust Picker Sensor Arm](#)

[Use Feeder Throat Adjustment](#)

### Adjust document alignment

Located underneath the Feeder track and behind the Feeder module cover, the Document Alignment Adjustment Knob moves the registration wall in and out.

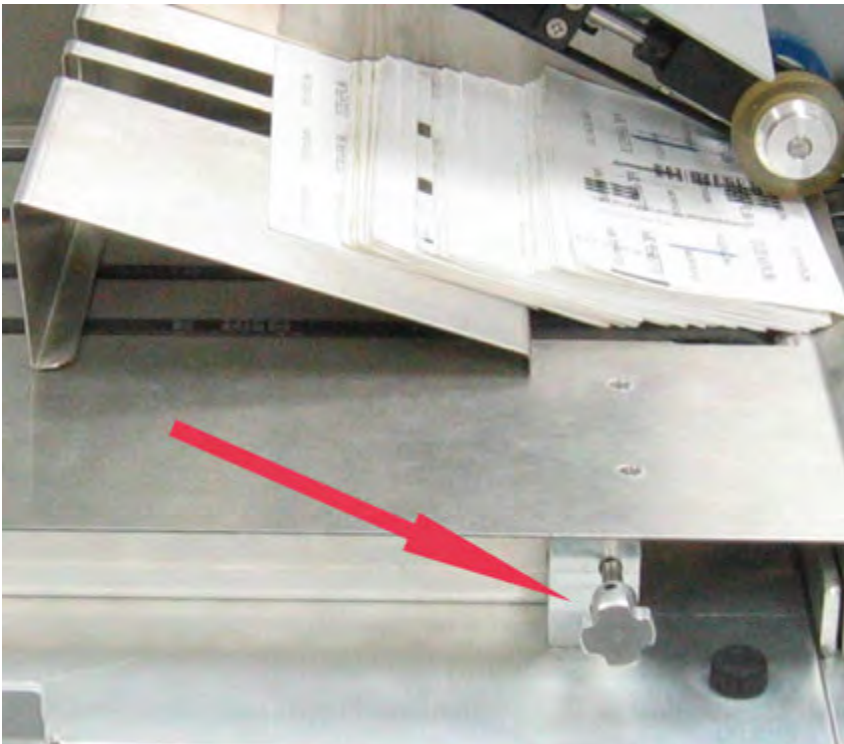
By moving the Feeder's adjustable registration wall in, long documents may be fed closer to the registration edge to assist in correct document alignment on the Registration module. This adjustment is designed for documents of more than 11 inches in length that need Feeder adjustment for optimal registration.

By moving the Feeder's adjustable registration wall out, small documents, such as checks, may be fed optimally, ensuring that they ride on top of the third belt in the Feeder module. This decreases the probability of paper jams and tearing. This adjustment is designed for documents less than 5 inches in width that need Feeder adjustment to assist transport across the spaced belts.

### **Adjusting document alignment**

Turn the Document Alignment Adjustment Knob, as shown below.

- Turn the knob left to push the Feeder's registration wall back for long documents.
- Turn the knob right to pull the Feeder's registration wall forward for small documents.



### **Adjust Picker Sensor Arm**

Located to the left of the Picker and Picker Tension Knob, the Picker Sensor Arm Knob controls the number of documents pushed into the Feeder by controlling the sensitivity of the Picker Arm Sensor and the angle at which documents are fed into the Picker. Picker Sensor Arm adjustments may be made while the ImageTrac is powered on.

### **Adjusting the Picker Sensor Arm**



Move the black Picker Tension Knob, as shown below.

- Move the knob up to increase sensor sensitivity and allow fewer documents into the Feeder.
- Move the knob down to decrease sensitivity and allow more documents into the Feeder.

Note that double feeds occur less frequently when fewer documents enter the Feeder throat at one time.



## Adjust Picker tension

The Picker Tension Spring controls the weight the Picker arm places on a batch of documents in the Automatic Feed Tray. The correct level of tension is determined by the weight of the documents in the batch; if you are scanning thin documents, you should decrease the Picker arm tension.

### Adjusting Picker tension

Move the gray knob directly above the Picker, as shown below.

- Move the knob up to decrease tension.
- Move the knob down to increase pressure.

### Items to note:

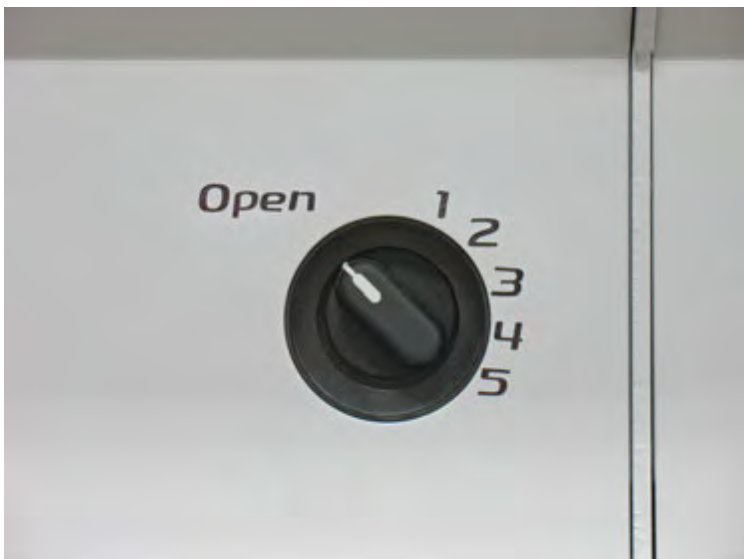
- Picker tension can be adjusted while the scanner is powered on.
- Setting the Picker arm tension too high may cause documents to bunch up or bow if the scan speed is set too fast.
- Setting the Picker arm tension too low may cause a delay in moving documents into the De-Double module.
- If the Picker arm bounces while feeding paper, the Picker tension is set too low.



## Use Feeder Throat Adjustment

The Feeder Throat Adjustment lever is used to adjust the pressure between the feed tires and reverse belts. With the lever set to a lower number, less pressure is applied to documents. Increasing the number increases the pressure.

It may be necessary for you to adjust the throat pressure based on the type of documents you are scanning; thicker documents may require more pressure, while thinner documents may require less.



### Items to note:

- Use the lowest possible setting unless continuous double feeds occur. If this occurs, increase the pressure setting by one.
- As wear increases on belts and tires, increased pressure may be needed.
- If double feeds still occur with the pressure set at maximum, replace the feed tires and reverse belts.

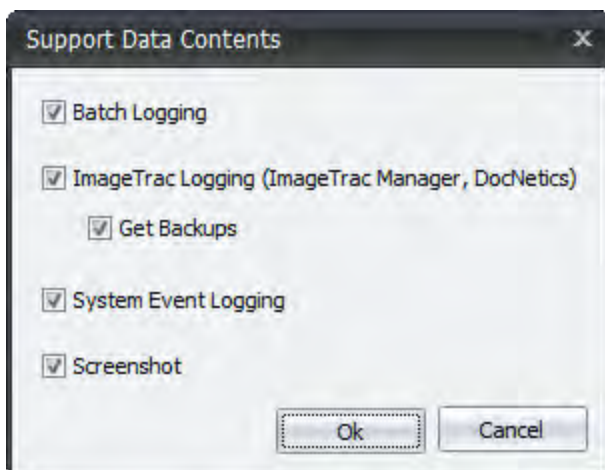
## Get ibml Customer Support data

---

When scanning issues arise, it may be necessary to send log file data to ibml Customer Support for troubleshooting.

From the Scan Client application menu, select **Support > Get Support Data**, or use the [keyboard shortcut](#) Ctrl + Shift + D. Also, any time you receive an error message, you have the option to click **Collect Support Data** from the message dialog itself.

This will display the **Support Data Contents** dialog, which allows you to select certain types of log file data and/or to control the amount of log file information to be included and saved in a batch log zip file that can be quickly and easily sent to ibml Customer Support.



- **Batch Logging** - When checked, batch logging (which includes the current and most recent batch log files) will be reviewed, and only necessary information will be included in the zip file.
- **ImageTrac Logging (ImageTrac Manager, DocNetics)** - When checked, and if the **Get Backups** option is not checked, this option includes just the current and most recent log files for ImageTrac Manager and DocNetics in the zip file.
  - **Get Backups** - This option is only enabled if the **ImageTrac Logging (ImageTrac Manager, DocNetics)** option is checked. When checked, **Get Backups** includes backups for all log files in the zip file.
- **System Event Logging** - When checked, this includes the system event logs in the zip file.
- **Screenshot** - When checked, this includes the screen shots in the zip file.



**Note:** These values will be stored globally by site and used as the defaults the next time this dialog is displayed.

**Note:** The **ImageTrac Logging (ImageTrac Manager, DocNetics)** and **Get Backups** options are only enabled for ImageTrac Manager versions 5.45 or higher. If ScanClient detects an older version of ImageTrac Manager, these checkboxes will be disabled. In that case, all ImageTrac logging will be included.

### What's always included in the zip file

The software parameter file (including the ink jet script and DocNetics files referenced by the software parameter file), hardware parameter file, scan job file, PostScan Setup job file, Quality Control job file, lookup files if used, stored procedures, ImageSvr XML file, Capture Suite ParmSetup back-up zip file, and license files are always collected and packaged into one zip file.

The default zip file name is identified by `Batch-ScannerID-JobName-Date-TimeStamp`. The zip file is password protected; the password is "ibml."

The application logs all software versions in a `version.txt` file and includes the installation version and the versions of all installed applications.

### Host PC backup

Specific Host PC files and folders can be automatically backed up to a network path on an action such as a SoftTrac session or ImageSvr connection. This ensures that there is always a current backup of the critical files on the Host PC, such as software and hardware Parmfiles and configuration files, in case there is a drive failure and you do not have a backup.

### Wireless keyboard indicators

If your scanner has a wireless keyboard, the Keyboard Indicator application is installed on your system. This application is a simple tool used to indicate whether or not a key is on or off on the keyboard, which is especially useful for keyboards that do not have indicators built in.

The indicators are shown in the Windows System Tray when the lock state is on for Caps Lock, Num Lock, and Scroll Lock.

**C** default-capslock.ico  
**N** default-numlock.ico  
**S** default-scrolllock.ico

## Maintenance

---

To maintain optimum throughput and protect the life of the scanner and its parts, it is essential to perform maintenance tasks regularly, especially in environments under excessive production.

The maintenance tasks described here can be performed by operators, lead operators, and supervisors. Since duties and roles differ between customer sites, customers should discuss maintenance tasks with an ibml Implementation Specialist to help decide who should perform each task.

Familiarize yourself with the tasks in the Daily Maintenance Checklist and review the steps for performing each task. The Daily Maintenance Checklist dialog displays each time you launch Scan Client if your administrator has enabled this option. This dialog will not display if you are using a ScanDS product or off-line product.

### Daily Maintenance Tasks

---

- [Remove all paper, dust, and debris](#) (staples, paper clips, rubber bands) using a vacuum cleaner or a dry, lint-free cloth.
- [Clean the feed tires](#) with soap and water and rotate the set to allow the tires to dry.
- [Clean the reverse belts](#) with a dry brush provided with the scanner and rotate the direction of the belts on the reverse belt assembly.
- Clean sensors with a cotton swab or similar dry material. **Do not** use solvents or compressed air/canned air on the sensors. Refer to the [Troubleshooting](#) section to see an image displaying the location and number of track sensors.
- Clean picker and de-double rollers with a damp cloth; remove moisture and wipe clean with a dry cloth. **Do not** use soaps or solvents; only use water. Rollers must be dry prior to scanning.

[Additional maintenance tasks](#) should be performed as needed.

### Removing paper, dust, and debris

---

During normal operation of the ImageTrac scanner, it is common for small pieces of paper, dust, and debris to become lodged inside the scanner.

- Use a vacuum cleaner to remove any small pieces of paper, dust, paper clips, and staples that remain on the track.
- Use a lint-free cloth with a non-moisturizing soap to remove glue on the track that items such as envelopes and mailers may have left behind. Standard antibacterial soap is recommended.
- Remove any tape left on the track; if the area remains sticky, use a lint-free cloth with a non-moisturizing soap to clean the area.

### Cleaning feed tires

---

The feed tires should be cleaned daily after every 8-hour shift to remove dirt and grime. The feed tires should be cleaned with soap and water and should then be allowed to air dry. Install a clean set of feed tires while the freshly washed set of tires air-dries. A toothbrush or lint-free cloth may be used for deep cleaning or scrubbing purposes.

Feed tires should be discarded and replaced when they begin to wear badly or when document feeding becomes inconsistent. Be sure that an ample supply of feed tires is kept at your site for replacement purposes.

The feed tire assembly is comprised of three primary parts:

**idler**



**drive pulley**



**belt**



To clean the feed tires you must first remove them using the following procedure described below. After the tires are cleaned, consult the procedure for replacing the feed tire assembly.

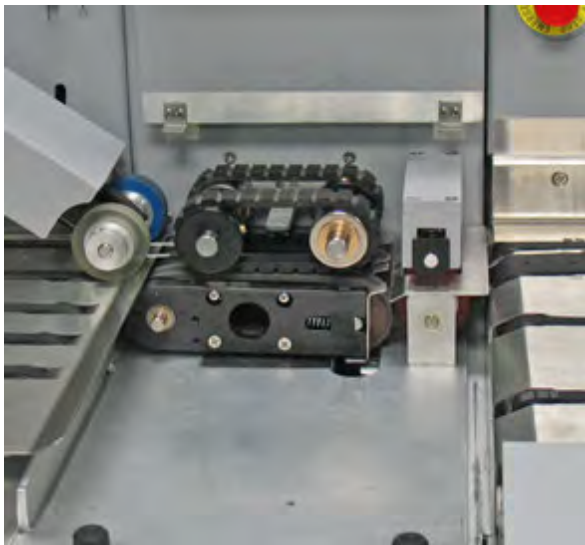
## Removing Feed Tires

To remove the feed tires, complete the following steps:

1. Set the Feeder Throat Adjustment to open.



2. Remove the front frame cover of the Feeder module by pulling it toward you.
3. Remove the stainless steel base plate by pulling it toward you.



4. Lift up the De-Double cover; this exposes the De-Double assembly.
5. Remove the outer feed tire by sliding it toward you and off of the shaft.



6. Remove the two feed tire spacers by sliding them off the shafts. Take note that the spacer on the left is larger than the spacer on the right.

7. Remove the inner and outer feed tires.



At this time, you should also [remove and clean the reverse belts](#).



## Replacing Feed Tires

After the feed tires have been removed and cleaned, they must be replaced using the following steps. Before replacing the feed tires, be sure that the reverse belts have been cleaned and replaced.

1. Place the feed tire on the idler and drive pulley; the idler should be in your left hand and the drive pulley in your right hand. The drive pulley shoulder should face you.



2. Slide the idler on the left shaft approximately a half-inch. Next, while stretching the feed tire, slide the drive pulley onto the right shaft. Work the idler and drive pulley down the shafts until you feel the drive pulley lock into place on the shaft indentation.



3. Slide the large spacer on the left shaft and the short spacer on the right shaft.
4. Install the outer feed tire in the same manner as described in Step 1. However, for the outer feed tire you should have the idler in your right hand and the drive pulley in your left hand.



5. Install the stainless steel base plate.
6. Pull down the De-Double cover.
7. Install the Feeder module front frame cover.
8. Reset the Feeder Throat Adjustment to the setting that you want.



**Note:** New/cleaned feed tires may require a different Feeder Throat Adjustment setting.

## Cleaning reverse belts

---

Reverse belts should be cleaned daily or every 8-hour shift with a stiff brush like a toothbrush. **Do not** clean reverse belts with any type of liquid. The De-Double reverse belts should be replaced when they show signs of wear or when feed quality decreases and/or double feeds increase. As a guideline, the belts should be replaced every 2,000,000 documents, or every 30-60 days.

To clean the reverse belts, you must first remove the reverse belt assembly using the following procedure. After you have removed, cleaned, and replaced the reverse belts, replace the reverse belt assembly.

## **Removing Reverse Belt Assembly**

To remove the reverse belt assembly, you must first [remove the feed tires](#). Next, complete the following steps:

1. Remove the outer reverse belt assembly by sliding it toward you.



2. Remove the reverse belt spacer located on the left shaft.



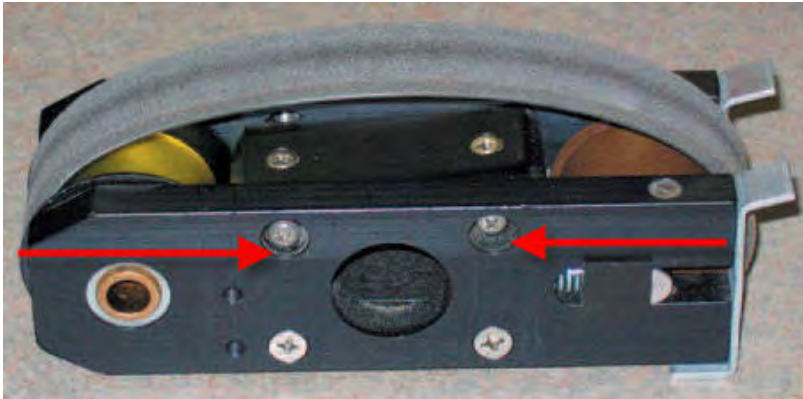
3. With the spacer removed, remove the inner reverse belt assembly. After the inner reverse belt assembly has been removed, clean out any dust, staples, paperclips, or other debris.



## Removing, Cleaning, and Replacing Reverse Belts

To clean the reverse belts, remove them from both the inner and outer reverse belt assemblies. Complete the following steps for each reverse belt assembly:

1. Press inward on the spring-loaded pulley until it locks into place.
2. After the pulley is locked in place, enough slack is created so that you can easily remove the belt.



3. Clean the belt with the dry brush provided.
4. Rotate the direction of the belt. Next, replace the belt and slide the spring-loaded pulley outward to lock the belt in place. On each assembly, grasp the ends of the spring slides and pull; this causes the belt to snap tight to its original position.



## Replacing Reverse Belt Assembly

After you have replaced the new or cleaned reverse belts, replace the reverse belt assembly by completing the following steps:

1. Install the inner reverse belt assembly by sliding the brass bushing onto the left shaft.
2. Install the reverse belt spacer on the left shaft.
3. Install the outer reverse belt assembly.

After the reverse belt assembly is in place, [replace the feed tires](#).

## Additional maintenance tasks

Perform the following maintenance tasks as needed by designated personnel:

- Gently dust across the glass surface of the Barcode Reader lens using a dry, soft cloth. Be careful not to alter the position of the reader.
- Gently dust and clean front and rear camera glass. Use Optical Lens Cleaning Wipes (ibml part #042-00125).
- Clean the MICR read heads with a small amount of alcohol and a cotton swab.
- Using a cotton TexWipe® moist with de-ionized or distilled water, wipe ink and other build-up off of the inkjet print head and electrical interconnect pads.
- Clean stainless steel track surface components with an ibml-approved stainless steel cleaner (ibml part #003-00055) and a lint-free cloth. (Do not spray cleaner directly on steel surfaces.)

## Ultrasonic De-Double maintenance

Note that extra care must be taken with ImageTrac scanners that have the Ultrasonic De-Double Detector. Nothing should ever touch the emitter or receiver units. The ultrasonic signal of the emitter has a self-cleaning effect, so no, or very little, maintenance is needed for the Ultrasonic De-Double Detector.

If cleaning is required, use a vacuum to pull any particles away from the emitter unit being careful not to touch the emitter unit with the end of the vacuum nozzle.

The LEDs on the Ultrasonic De-Double Detector indicate detection of air, a single document, or more than one document.

- Yellow = detection of air
- Green = detection of a single document
- Red = detection of two documents

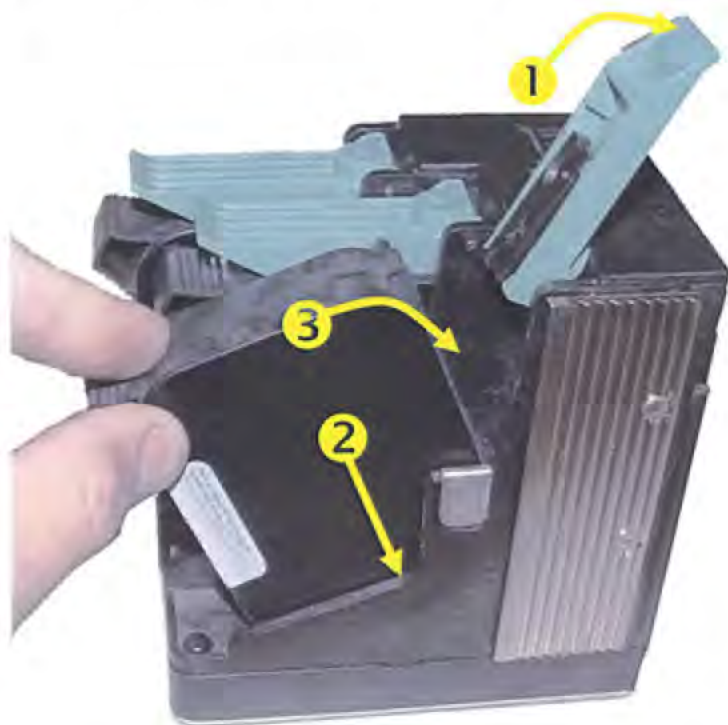
## Inkjet Maintenance

---

Read the [Move inkjet print heads](#) topic before continuing.

### Installing the inkjet cartridge

1. Open the latch, as shown.
  2. Seat the cartridge at an angle into the imager.
  3. Push the cartridge into the imager, as shown.
- Reverse the steps to remove the cartridge.



### Cleaning the inkjet cartridge

Proper print head maintenance allows the cartridge to consistently produce good print quality. Using a cotton TexWipe® and de-ionized or distilled water is one of the best ways to wipe ink and other build-up off of the print head. A TexWipe® is a 100% cotton, high-density cloth with no chemical additives.

A good choice of wipe would have the following qualities:

- Soft
- Fiberless
- No chemical additives
- Moist with de-ionized or distilled Water

A cloth should **NOT** be:

- Dry
- Made of small fibers that can be left behind on the cartridge's nozzle plate
- Abrasive

**Never** use the following to wipe the print head:

- Industrial paper towels (These cloths usually contain a high recycle content and are abrasive.)
- Toilet paper (These cloths are usually not fiberless.)
- Sponge (Particles from the sponge can be left behind on the nozzle plate.)

The direction and force of the wipe is also important to note. During wiping, harmful particles on the top of the print head can be wiped into the nozzles if you are not careful. Certain cartridges need to be wiped certain ways to obtain optimal print quality. The cartridges on the ImageTrac can be wiped individually or in the carriage from the Ink Jet Printer. It is important to wipe the cartridges in the direction of the nozzle rows (see image below) for optimal print quality. Wipe only in this direction. Do not alter direction or scrub the print head.



### Resetting a low level inkjet cartridge

If an inkjet cartridge is low, the operator receives a message that specifies which printer and cartridge is low. To view the ink levels only, see the [View inkjet cartridge levels](#) topic.



**Note:** This alert prompts the operator when the ink is at an estimated ink level of zero (0) percent. Exact levels and accuracy of ink levels is not guaranteed.

To suppress the low level message without resetting the ink levels, select the **Do not show this message again until the start screen is shown** option. The message is suppressed until you manually start a new batch.

To reset a low level inkjet cartridge:



1. From the Low Ink Level dialog box, click **Reset**.
2. The Ink Status dialog box appears, displaying the cartridge's ink levels. To replace the ink jet cartridge, see the [Move inkjet print heads](#) topic.
3. For each cartridge that you replaced, click **Reset #**.
4. From the Confirm Reset dialog box, click **Yes** to reset the ink jet count for the specified cartridge.
5. After replacing and resetting each low level print cartridge, click **OK** to close the Ink Status window.

## Keyboard shortcuts

---

The following table lists all the keyboard shortcuts that can be used within Scan Client:



**Note:** Pressing and releasing the Alt key by itself puts the ribbon bar in the key tip mode, which is indicated by letters over the tab headers. Exit the key tip mode by pressing the Esc key before activating an ibml keyboard shortcut.

[Right click menu items](#)

Keyboard Shortcut	Function
F1	Access help
Ctrl + Shift + D	Get ibml Customer Support data and save as a zip file
Ctrl + Shift + O	Change the operator
Ctrl + C	Close the batch
Ctrl + N	Create a new batch (manual autobatching)
Ctrl + Shift + T	Set the batch status
Ctrl + L	View the batch log
Ctrl + Shift + I	View or edit the batch input
Ctrl + Shift + L	Set the log levels
Ctrl + F	Show the Search dialog
Enter	Display the Document Data dialog for the selected item.
Ctrl + Y	Copy the selected items
Ctrl + V	Paste copied items
Del	Delete the selected items
F7	Flag the selected items to scan again
F8	Move from one flagged document in a tree to the next.
Ctrl + P	Print the currently selected image
Ctrl + Shift + J	Enable/Disable IJP printing
Ctrl + Shift + K	View inkjet cartridge levels
Ctrl + Shift + M	Move ink jet printer heads
Ctrl + PLUS <b>Note:</b> Use the PLUS (+) sign on the numeric keypad.	Expand all of the transactions in the tree
Ctrl + MINUS <b>Note:</b> Use the MINUS (-) sign on the numeric keypad.	Collapse all of the transactions in the tree
Ctrl + Page Down	Move to the next transaction in the tree
Ctrl + Page Up	Move to the previous transaction in the tree
Spacebar/Page Up/Page Down	Initiate/Disable autoscrolling

## Open Batch Screen

Keyboard Shortcut	Function
Ctrl + Shift + M	Edit maximum number of batches shown on Open Batch screen

## Right-click menu items

The following table lists all the menu items found when you right-click on the document tree that can be used within Scan Client:

### [Keyboard shortcuts](#)

Right-click menu item	Function
Copy (Ctrl +Y)	Copies the selected items.
Paste (Ctrl + V)	Pastes copied items.
Delete (Del)	Deletes the selected items.
Flag (F7)	Flags the selected items for scanning again.

### Edit items

Right-click menu item	Function
Edit > Document Data (Enter)	Displays the Document Data dialog for the selected item.
Edit > Rename	Renames the item selected by choosing a different document or transaction type from the list provided.
Edit > Set Batch Priority	Sets the <a href="#">batch priority</a> for the open batch.

### Insert items

Right-click menu item	Function
Insert Item > Document	Insert a document by choosing a document type from the list provided.
Insert Item > Transaction	Insert a transaction by choosing a document type from the list provided.

### Expand and Collapse items

Right-click menu item	Function
Expand All (Ctrl + PLUS) <b>Note:</b> Use the PLUS (+) sign on the numeric keypad.	Expand all of the transactions in the batch.
Collapse All (Ctrl + MINUS) <b>Note:</b> Use the MINUS (-) sign on the numeric keypad.	Collapse all of the transactions in the batch.

## Frequently Asked Questions

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Q: In Scan Client, the feed buttons have [keyboard shortcut](#), but the letter on the button that corresponds to its shortcut is not always underlined. How do I turn on the underline characters?

A: Underline characters for keyboard shortcuts are a Windows standard, meaning that underline characters are dependent on whether this option is enabled on your machine.

You can press the Alt key on your keyboard to make the underline characters appear, or you can edit the Accessibility settings in Windows to make them visible all the time.

Go to **Start > Settings > Control Panel > Display > Appearance > Effects**. Clear the **Hide underlined characters for keyboard navigation until I press the Alt key** check box if you want underline characters to always be visible. Leave this check box selected if you only want underline characters to be visible when you press the Alt key on your keyboard.

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## Feed Tires



### All Models

*Usage rates depend upon the abrasive qualities in documents being scanned, motor speed settings, amount of pressure being applied, operator, daily maintenance, and environment.*

Part Number and Description	Comments	Item Usage Rate	Price
 <p>016-00009 Feed Tire, Black</p>	<p>Items depicted are sold individually. Order in multiples of two.</p> <p>Use with gray reverse belts. Recommended for use with paper weights of 20 lb. (75 g/m<sup>2</sup>) or greater.</p>	<p>Approximately 800,000 to 1 million documents</p>	<p>\$13.00</p>
 <p>016-00037 Feed Tire, Gray</p>	<p>Items depicted are sold individually. Order in multiples of two.</p> <p>Used with yellow reverse belts. Recommended for use with TAT airline tickets, (thin documents with the red carbon backs), and other fragile types of documents.</p>	<p>Approximately 800,000 to 1 million documents</p>	<p>\$19.00</p>
 <p>016-00077 Feed Tire, Dark Tan</p>	<p>Items depicted are sold individually. Order in multiples of two.</p> <p>Feed tire has the same properties as 016-00070.</p> <p>Generally used with the gray reverse belts; only more fragile documents will require the yellow reverse belts.</p>	<p>Approximately 800,000 to 1 million documents</p>	<p>\$27.00</p>
 <p>016-00085 Feed Tire, Gray Beveled</p>	<p>Items depicted are sold individually. Order in multiples of two.</p> <p>The Gray Beveled feed tires are used with the yellow reverse belts.</p> <p>Use with documents that have properties similar to rice paper.</p> <p>This Beveled feed tire is made of the same material as the Gray feed tire, 016-00037, with the edges beveled to lessen the friction placed on the document as it is pulled through the feeder</p>	<p>Approximately 800,000 to 1 million documents</p>	<p>\$23.00</p>


 <p>016-00090 Feed Tire, Dark Tan Beveled</p>	<p>Items depicted are sold individually. Order in multiples of two.</p> <p>The Dark Tan Beveled feed tires are used with the yellow reverse belts.</p> <p>Use with fragile documents that are not as fragile as rice paper.</p> <p>This Beveled feed tire is made of the same material as the Dark Tan feed tire, 016-00077, with the edges beveled to lessen the friction placed on the document as it is pulled through the feeder.</p>	<p>Approximately 800,000 to 1 million documents</p>	<p>\$29.00</p>
--	---	---	----------------

## Reverse Belts All Models


Part Number and Description	Comments	Item Usage Rate	Price
 <p>016-00093 Reverse Belt, Gray Foam</p>	<p>Replaced 016-00032</p> <p>Items depicted are sold individually. Order in multiples of two.</p> <p>Works well with the majority of document types.</p>	<p>Approximately 500,000 to 1 million documents</p>	<p>\$32.00</p>
 <p>016-00022 Reverse Belt, Yellow Foam</p>	<p>Items depicted are sold individually. Order in multiples of two.</p> <p>Works well with fragile document types.</p>	<p>Approximately 800,000 to 1 million documents</p>	<p>\$35.00</p>
 <p>127-00067</p>	<p>This is the IBML recommended brush used to clean the Reverse Belts (only) during the Operator daily maintenance.</p>		<p>\$27.00</p>
 <p>016-00032 Reverse Belt, Gray Foam</p>	<p>Phasing out, replaced by the 016-00093</p> <p>Items depicted are sold individually. Order in multiples of two.</p> <p>Works well with the majority of document types.</p>	<p>Approximately 500,000 to 1 million documents</p>	<p>\$32.00</p>

## Lamps

### Scanner Models ImageTrac, 1.5, & ImageTrac II

Part Number and Description	Comments	Item Usage Rate	Price
 <p>030-00045 Lamp, Halogen</p>	<p>This item replaces 030-00004</p> <p>3 per camera, items depicted are sold individually</p>	<p>1000 Hours</p>	<p>\$85.00</p>





### Scanner Models ImageTrac III & IV

Part Number and Description	Comments	Item Usage Rate	Price
 <p>030-00032 Lamp, Excimer</p>	<p>2 per camera items depicted are sold individually</p>	<p>2000 Hours</p>	<p>\$ 288.00</p>

# Ink

## Scanner Models

### ImageTrac II, III, IV, 5 Series, and Series 6000 Ink Cartridges<sup>1</sup>


Part Number and Description	Comments	Item Usage Rate	Price
 <p>041-00054 HP Fast Dry, Black Cartridge</p>	<p>The shelf life for the HP cartridges is on average 14-18 months if stored at proper temperatures.</p>	<p>Approximately 2.5 million characters.<sup>1</sup></p>	<p>\$38.00</p>
 <p>041-00065 HP Red Cartridge</p>	<p>The shelf life for the HP cartridges is on average 14-18 months if stored at proper temperatures.</p>	<p>Approximately 2.5 million characters.<sup>1</sup></p>	<p>\$47.00</p>
 <p>042-00112 IBML Fluorescent Red cartridge</p>	<p>The shelf life for this cartridge is on average 14-18 months if stored at proper temperatures.</p>	<p>Approximately 2.5 million characters.<sup>1</sup></p>	<p>\$57.00</p>
 <p>041-00063 HP Versatile, Black Cartridge</p>	<p>The shelf life for the HP cartridges is on average 14-18 months if stored at proper temperatures.</p>	<p>Approximately 2.5 million characters.<sup>1</sup></p>	<p>\$38.00</p>

<sup>1</sup> Based on a typical mix of characters from the 10 point New Times Roman set. Ink usage will also vary based on the amount of ink jet homing, spitting and cartage cleaning. Printing bar codes will use more ink than the normal 10 point mixed character set. Actual usage may vary.


## Miscellaneous Items

### All Models



#### Canned Air

Part Number and Description	Comments	Item Usage Rate	Price
 003-00038 Canned Air	NOT available to our international customers – considered a hazardous material prohibited on air shipments.		\$16.00




#### Stainless Steel Cleaner

Part Number and Description	Comments	Item Usage Rate	Price
 003-00055 Stainless Steel Cleaner	NOT available to our international customers – considered a hazardous material prohibited on air shipments		\$14.00


#### Batteries

 008-00079 Batteries, AAA	Sold as one unit (one battery) <ul style="list-style-type: none"> <li>Use in wireless keyboard and mouse.</li> </ul>		\$1.15
 008-00080 Batteries, AA	Sold as one unit (one battery) <ul style="list-style-type: none"> <li>Use in wireless keyboard and mouse.</li> </ul>		\$1.25


**Lint Free Wipes**

Part Number and Description	Comments	Item Usage Rate	Price
 042-00071 Wipe Cloth Inkjet	Sold per bag of 300 • Use to clean dried ink from the ink cartridge print head.		\$51.00
 042-00001 Wipe Card, Inkjet	Sold per box of 100 • Use to clean dried ink from the ink cartridge print head.		\$112.00
 042-00125 Optical Lens Wipe	Sold per bag of 100 (Optical Lens Wipe, 100% Polyester, 9" x 9") • Use to clean ImageTrac camera optics. • <b>NOT to be used on Ink Jet</b> • <b>Use wipe dry; do NOT use any type of liquid on camera lens.</b>		\$53.00

**Cotton Swabs**

Part Number and Description	Comments	Item Usage Rate	Price
 042-00123 Cotton Swabs	Sold per bag of 100 (5 3/8" wood handle)		\$5.00

**Anti-Static Mat**


Part Number and Description	Comments	Item Usage Rate	Price
 021-00031 Anti-Static Mat	3' x 12', 3.8" thick foam, vinyl with grounding cord		\$583.00

**Document Jogger**

Part Number and Description	Comments	Item Usage Rate	Price
 <p>800-00085 1 Jogger</p>	2 Pockets, tilt rack, 115 volts, 50hz		\$1600.00
 <p>800-00086 1 Jogger</p>	2 Pockets, tilt rack, 115 volts, 60hz (USA)		\$1600.00
 <p>800-00087 1 Jogger</p>	2 Pockets, tilt rack, 230 volts, 50hz (EEC)		\$1600.00
 <p>800-00088 1 Jogger</p>	2 Pockets, tilt rack, 230 volts, 60hz		\$1872.00
 <p>800-00091 Combi Jogger</p>	Single Pocket, 230 volts, 50hz For EU only		\$1600.00



**Rubber Gloves**

Part Number and Description	Comments	Item Usage Rate	Price
 <p>042-00021 Rubber Gloves</p>	1 box (100 gloves per dispenser box by weight)		\$19.00

# Scanner Model ImageTracDS 1150

Part Number and Description	Comments	Item Usage Rate	Price
 <p>HT-3277635-1 Pick Roller</p>	<p>Items depicted are sold individually. Order in multiples of two.</p>	<p>Approximately 1 year or 1 million sheets</p>	<p>\$57.75</p>
 <p>HT-3231933-2 Separator Roller</p>	<p>Items depicted are sold individually. Order in multiples of two.</p>	<p>Approximately 1 year or 1 million sheets</p>	<p>\$57.75</p>
 <p>HT-3248603-1 Reverse roller</p>	<p>Items depicted are sold individually. Order in multiples of two.</p>	<p>Approximately 1 year or 500,000 sheets</p>	<p>\$41.25</p>
 <p>HT-3220541-7 (Black) HT-3220541-8 (Red)</p>	<p>Ribbon Cassette Items depicted are sold individually.</p>	<p>Approximately 300,000 characters</p>	<p>\$44.00</p>
 <p>HT-3270994-1 (Black) HT-3270994-2 (Red)</p>	<p>Ribbon Cassette, for Imprinting (Tank) Items depicted are sold individually.</p>	<p>Approximately 2 mil- lion characters</p>	<p>\$66.00</p>
 <p>HT-5537087-8 Fluorescent Lamp</p>	<p>Items depicted are sold individually. Order in multiples of two.</p>	<p>Approximately 900 hours</p>	<p>\$115.50</p>

# Scanner Model ImageTracDS 1085

Part Number and Description	Comments	Item Usage Rate	Price
 <p>HT-3277635-1 Pick Roller</p>	<p>Items depicted are sold individually. Order in multiples of two.</p>	<p>Approximately 1 year or 1 million sheets</p>	<p>\$57.75</p>
 <p>HT-3231933-2 Separator Roller</p>	<p>Items depicted are sold individually. Order in multiples of two.</p>	<p>Approximately 1 year or 1 million sheets</p>	<p>\$57.75</p>
 <p>HT-3277946-1 Reverse roller</p>	<p>Items depicted are sold individually. Order in multiples of two.</p>	<p>Approximately 1 year or 300,000 sheets</p>	<p>\$33.00</p>
<p>HT-3287590-A Roller Kit</p>	<p>Items are sold as a kit and includes two each of the following (total of 6 rollers): HT-3277946-1 (Reverse roller) HT-3231933-2 (Separator Roller) HT-3277635-1 (Pick Roller)</p>	<p>See above</p>	<p>\$264.00</p>
 <p>HT-5530267-1 Black Ink</p>	<p>Items depicted are sold individually.</p>	<p>Approximately 3.5 million characters or 6 months after opening</p>	<p>\$30.00</p>
 <p>HT-5530267-2 Red Ink</p>	<p>Items depicted are sold individually.</p>	<p>Approximately 3.5 million characters or 6 months after opening</p>	<p>\$30.00</p>

Prices are subject to change without prior  
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To order, please call 205-956-4071 or fax to  
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[orders@ibml.com](mailto:orders@ibml.com).

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***Consumable Parts and  
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ATF National Tracing Center			Demand Destruction Log
Document Number	Version	BOC	Owner
FOR-Demand Destruction Log	2	904030	Tracing Operations and Records Management Branch

Demand 1

Demand 2

Demand 3

# Boxes Imaged	Box ID #	Start Batch Name	End Batch Name	Date Imaged	Destruction Approved	Return to Branch Approved
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						

Demand Destruction Reviewer / Approver: \_\_\_\_\_ Date: \_\_\_\_\_

Comments:

ATF National Tracing Center Process			FESD Destruction Approval
Document Number	Version	BOC	Owner
FOR-FESD Destruction	3	904030	Tracing Operations and Records Management Branch

Date Emailed: \_\_\_\_\_ FFLC  FELC  FEIB  AFMER  NFA

# Boxes Imaged	Box ID #	Roll	Start Batch	End Batch	Date Imaged	Destruction Approved	Return to Branch Approved
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							
11							
12							
13							
14							
15							
16							
17							
18							
19							
20							

FESD Reviewer: \_\_\_\_\_ Review Date: \_\_\_\_\_

Notes: \_\_\_\_\_

ATF National Tracing Center Process		Record Destruction / Disposition Log
Document Number	Version	Owner
FOR – Record Destruction / Disposition	3	IRB – Industry Records Branch

Name: \_\_\_\_\_ Date: \_\_\_\_\_ Scanner ID/Sequence: \_\_\_\_\_

NTC/OBRC      FFLC      FELC      Imports      NFA

Start Batch	End Batch	FFL Number	FFL Name	Box ID	Box __ of __
					of
					of
					of
					of
					of
					of
					of
					of

Comments: \_\_\_\_\_

\*\*\*\*\*  
**NTC/OBRC Records Processing:** Date Destroyed: \_\_\_\_\_

Marked by (Contractor): \_\_\_\_\_  Destruction Approved (ATF/NTC): \_\_\_\_\_  Records destroyed (Contractor): \_\_\_\_\_  
 Verified by (Contractor): \_\_\_\_\_  Destruction Verified (Contractor): \_\_\_\_\_  Verified by (Contractor): \_\_\_\_\_

\*\*\*\*\*  
**FFLC / FELC Records Processing:** Date Destroyed: \_\_\_\_\_

Marked by (Contractor): \_\_\_\_\_  Destruction approved via eMail (ATF/FFLC/FELC): \_\_\_\_\_  Records destroyed (Contractor): \_\_\_\_\_  
 Verified by (Contractor): \_\_\_\_\_  Destruction Verified (Contractor): \_\_\_\_\_  Verified by (Contractor): \_\_\_\_\_

\*\*\*\*\*  
**NFA/Imports Records Processing:** Date Returned: \_\_\_\_\_

Marked by (Contractor): \_\_\_\_\_  Records returned (ATF/NFA/Imports): \_\_\_\_\_  
 Verified by (Contractor): \_\_\_\_\_  Verified by (Contractor): \_\_\_\_\_

ATF National Tracing Center			Imaging - Error Tracking
File Name	Version	BOC	Owner
FOR-Error Tracking	1	904030	Tracing Operations and Records Management Branch

Imaging/IQC Operator: \_\_\_\_\_ Date: \_\_\_\_\_

FFL#: \_\_\_\_\_ Box ID: \_\_\_\_\_ Box Sequence: \_\_\_ of \_\_\_

Error Found During:  Scanning  IQC

Prepped by: \_\_\_\_\_ Date: \_\_\_\_\_

QC'ed by: \_\_\_\_\_ Date: \_\_\_\_\_

Imaged by: \_\_\_\_\_ Date: \_\_\_\_\_

Choose from the following error types: missing; unreadable; overlap; scanner seq; batch rotation; ZCAM not cropped; Doc Prep (folded corner, batch description, incorrect FFL, other incorrect coversheet info, or attachments)

Batch #: \_\_\_\_\_ Frame #: \_\_\_\_\_ Page # in OBRIS: \_\_\_\_\_

Description of Error: \_\_\_\_\_

Batch #: \_\_\_\_\_ Frame #: \_\_\_\_\_ Page # in OBRIS: \_\_\_\_\_

Description of Error: \_\_\_\_\_

Batch #: \_\_\_\_\_ Frame #: \_\_\_\_\_ Page # in OBRIS: \_\_\_\_\_

Description of Error: \_\_\_\_\_

Batch #: \_\_\_\_\_ Frame #: \_\_\_\_\_ Page # in OBRIS: \_\_\_\_\_

Description of Error: \_\_\_\_\_

Batch #: \_\_\_\_\_ Frame #: \_\_\_\_\_ Page # in OBRIS: \_\_\_\_\_

Description of Error: \_\_\_\_\_

Batch #: \_\_\_\_\_ Frame #: \_\_\_\_\_ Page # in OBRIS: \_\_\_\_\_

Description of Error: \_\_\_\_\_

Batch #: \_\_\_\_\_ Frame #: \_\_\_\_\_ Page # in OBRIS: \_\_\_\_\_

Description of Error: \_\_\_\_\_

Batch #: \_\_\_\_\_ Frame #: \_\_\_\_\_ Page # in OBRIS: \_\_\_\_\_

Description of Error: \_\_\_\_\_

Review issues with employee. Employees and Supervisor should initial that they have discussed the issues.

Prepped By Initials: \_\_\_\_\_ Imaged By Initials: \_\_\_\_\_ Supervisor Initials: \_\_\_\_\_



ATF National Tracing Center			Electronic Media Conversion
File Name	BOC	Version	Owner
WI-Media Conversion_v11	904030	11	Tracing Operations and Records Management Branch (TORM)

## Process Overview

This document outlines the work instructions for the receipt and processing of electronic records, which are received from Federal Firearms Licensees (FFLs) that have gone out-of-business (or from active FFLs whose records are more than 20 years old). Electronic firearm records may be received from: firearms manufacturers, importers, wholesalers, and retail dealers.

The Gun Control Act of 1968 (GCA) and its regulations require Federal Firearms Licensees to submit their required records to the National Tracing Center (NTC) upon discontinuance of business. The GCA further limits the amount of time that active firearms license holders are required to maintain records to 20 years (with the exception of manufacturers and importers). Records of manufacture and importation are permanent records and are therefore required to be maintained indefinitely (or until such time that the FFL discontinues business). ATF Ruling 2013-5 authorizes federal firearms license holders to utilize 'computerized' A&D records in lieu of the requirements specified in the Code of Federal Regulations.

Media Conversion occurs when the FFL sends their computerized records to the NTC on some type of electronic media storage device such as a USB, CD, DVD, diskette, floppy disk, etc. Electronic media data is submitted to the NTC in various file formats, such as: spreadsheet, PDF, Access 2000 database, text file, as well as proprietary software formats. The information contained on the electronic media device must be extracted and loaded into a standardized file format that can be uploaded into the Out of Business Records Imaging System (OBRIS).

## Process Chart

Media Conversion Process Chart available at ISO Documentation Storage - Temporary Holding

## Terminology

- ATF POC – NTC Program Manager
- Electronic Media Data – any type of information contained in an ASCII file format such as Excel, Access, text, etc.
  - PDF files will be accepted on a case-by-case basis
  - May also include older, proprietary, or less commonly used formats.
- Electronic Media Storage Device – portable storage device such as USB, CD, DVD, diskette, floppy disk, etc.
- Imaging Administrator – ESA4 Administrator
- Media Conversion Analyst (MCA) – individual designated as first level of contact with electronic media, supports various aspects of the media conversion process
- Media Conversion Network (MCN) – stand-alone network used to access electronic media submitted by FFL holder containing firearm transaction related records

ATF National Tracing Center			Electronic Media Conversion
File Name	BOC	Version	Owner
WI-Media Conversion_v11	904030	11	Tracing Operations and Records Management Branch (TORM)

- Media Conversion Specialist – individual designated to design, process and troubleshoot conversion of electronic media
- Media Conversion Team – individuals from multiple groups involved in the media conversion process.

## Process

### 1. Receiving

- Electronic Media (Original)
  - Receiver signs receiving checklist releasing responsibility from mailroom.
  - Media is labeled with FFL number if not already done.
  - Pass receiving checklist, target sheet and electronic media storage device to receiving supervisor.
- Supervisor signs receiving checklist and passes to the Media Conversion Analyst (MCA) along with target sheet and electronic media device.
  - Supervisor will update media tracking log to reflect transfer to Media Conversion Team.

### 2. Review of Media

- Media Conversion Analyst (MCA) receives electronic media storage device in its original format.
  - Updates media tracking log.
- Attempts to verify accessibility of media storage device using a secure stand-alone network environment, Media Conversion Network (MCN):
  - Media storage device will open – review file format.
    - If media device will not open, do we have paper records that can be sorted in a traceable order and do those paper records cover the appropriate time period?
      - If not, dealer will need to be contacted by ATF POC to determine if an alternate electronic media format (Excel, PDF or text file) can be provided.
    - If media device will not open but paper records are available for the time period, communication to the FFL holder will be at the discretion of ATF.
  - Attempt to access media data files
    - Media data files are in a format that is suitable for conversion.
      - Update media tracking log.
        - Prepare media data files for conversion.
      - If media data files are not in a file format suitable for conversion, do we have paper records that can be sorted in a traceable order and do those paper records cover the appropriate time period?

ATF National Tracing Center			Electronic Media Conversion
File Name	BOC	Version	Owner
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- i) If not, dealer will need to be contacted by ATF POC to determine if an alternate electronic media format (Excel, PDF or text file) can be provided.
  - c) If media data files are not in a file format suitable for conversion but paper records are available for the time period, communication to the FFL holder will be at the discretion of ATF.
- c. Dates on media data files
  - i. MCA will examine the data provided and record the date range for which records were provided so that the OBRC process can be completed including the assignment of an OBR file number.
    - 1) Notify designated contacts
- d. Requests for dealer contact should be sent to ATF POC.
  - i. Dealer contact should not be made for paper records until such time that all electronic media has been reviewed, and vice versa, so a limited number of calls have to be made.
- e. Anytime during the media conversion process, if a trace request is received by the OBR tracing group, a request will be forwarded to the MCA for completion from original media

### 3. Conversion of Media

- a. Electronic Media Storage Device and Data Files are acceptable – device is accessible and data files are in a format that requires no special processing
  - i. If media device and data file formats **ARE** acceptable, MCA will copy original data from media source to a secure stand-alone network environment (Media Conversion Network) to facilitate the conversion process.
  - ii. Processing of File formats
    - 1) Excel (.xls) Conversion
      - a) Records are sorted based on type of licensee (manufacturer, wholesale/importer, retail, etc.).
        - i) For Manufacturer, the records are sorted by serial number.
        - ii) For Wholesale/Importer/Retail, the records are sorted by acquisition date.
      - b) Save the new Excel file to the Media Conversion Network under the licensee’s name.
      - c) MCA passes original media for conversion to Media Conversion Specialist (MCS)
        - i) Updates the media tracking log
    - 2) Text (.txt) Conversion

ATF National Tracing Center			Electronic Media Conversion
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- a) If the original file is received in text (.txt) format, it will converted into an Excel spreadsheet (file).
  - i) Open document and determine how data items are separated (commas, spaces, tabs, fixed width, etc.) to determine how to delimit the information in Excel.
  - ii) At the Excel home screen, click on data then select from text.
  - iii) Select the corresponding .txt file from the media location.
  - iv) Select “Import” and then select delimited or fixed width.
    - (1) Delimited will be used if A&D has special characters.
      - (a) Mark the boxes with the special characters that are shown on your text document.
    - v) Fixed width will be used if A&D is aligned in columns.
      - (1) Move the lines to correspond with the columns of data.
      - (1) To create a break line, click at the desired location.
      - (1) To delete a break line, double click on the line.
      - (1) To move a break line, click and drag it to the desired spot.
      - (1) Make sure all columns are marked as text; if not the leading ‘zeros’ could be eliminated from the serial numbers.
      - (1) Select finish.
    - vi) From the “Import” data box, make sure the start cell is =\$A\$1 then click ok.
  - b) Save the new Excel file to the Media Conversion Network under the licensee’s name.
  - c) MCA passes original media for conversion to MCS
    - i) Updates the media tracking log
- iii. MCS receives original media and retrieves converted file from Media Conversion Network
  - 1) Update tracking log
    - a) If media will not immediately be reviewed, it should be stored in a secured location. As well, the original media should be returned to secured location at end of shift.
  - 2) Converted media data file is retrieved from Media Conversion Network.
    - a) Data is reviewed to determine file type and/or data source application.
    - b) Various (applicable) software utilities are utilized to convert the data to the Comma Separated Variable (CSV) format.

ATF National Tracing Center			Electronic Media Conversion
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- c) Data is loaded into an isolated eMEDIA SQL Server Database in standard format using the closed local network.
- d) Perform data transformation and cleanup:
  - i) Set data to all caps.
  - ii) Remove un-printable (non-ASCII) characters.
  - iii) Convert names to OBR codes (i.e. change rifle to R).
  - iv) Verify and transform data columns and dates if necessary.
  - v) Separate address field into street address, city, state, and zip code.
- e) Determine indexing codes to use from OBR system (separate query of OBR tables) such as roll, frame, MFG, etc.
- f) Run processing program to produce files necessary for loading into OBR and IMAGING system:
  - i) weapons.csv for load into OBR table.
  - ii) batches.csv meta data file for data load.
  - iii) doc\_XXXXXXXX.ddf meta data file used to load IMAGES (one too many based on source file size).
  - iv) tiff\_XXXXXXXX.csv spreadsheets used to create TIFF image files for IMAGING load.
- g) Record number of files and number of weapons processed in eMEDIA log file.
- 3) Original media is passed to MCA for secure storage and converted file is made available on Media Conversion Network.
  - a) Updates tracking log
- b. Unacceptable Media Device / Data File Formats – requires specialized attention before conversion.
  - i. If media device and / or data file formats **ARE NOT** acceptable, MCA will pass original media to MCS who will attempt to copy original data from media device / data file to a secure stand-alone network environment (Media Conversion Network) to facilitate the conversion process.
    - 1) If media data is able to be converted from media/file format, steps for Conversion of Media – Acceptable Media will be followed.
  - ii. If media device / data file format **ARE NOT** able to be converted, contact ATF POC for further direction.
    - a) Return original media to secured location.
    - b) Update tracking log

#### 4. Quality Control of Converted Media

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- a. Media is returned from the MCS to MCA.
  - i. Quality Control is performed on the media:
    - 1) Proper Order (i.e. serial number or acquisition date order).
    - 2) Columns are removed/hide that are not necessary for tracing purposes.
  - ii. Formatting of the data is performed under Page Layout, Extend Tab, Page Tab:
    - 1) Adjust page layout to landscape as needed.
    - 2) Adjust paper size to legal or 11X17 as needed.
    - 3) Adjust scaling depending on the amount of columns (verify via print preview).
  - iii. Formatting of header/footer:
    - 1) Create header – licensee name and FFL number.
    - 2) Create footer – select drop down and select page 1 of \_\_.
      - a) Make sure scale with document and align with page margins are checked.
  - iv. Return to Page Layout, Sheet Tab, Expand Sheet Options
    - 1) Print Titles-Complete Rows to repeat at top in this format - \$1:\$1, select ok.
  - v. Once the steps noted above are complete, go to View and click on Page Break Preview.
    - 1) Double click and make the columns the appropriate width.
    - 2) Drag the ‘blue line’ to the right to ensure it covers all of the A&D records.
    - 3) Go to Data Tab and select/click on subtotal ensuring all columns are highlighted.
    - 4) At the top of page find Each Change In: Click on Doc Num. The Use Function is always Sum. Where Add Subtotal is indicated, click on Doc Num.
    - 5) Ensure the boxes for Replace Current Subtotals and Page Break Between Groups are checked and select ok.
  - vi. Verify the page breaks are in the proper location (i.e. all of the tiff 1 should be on the same page; all of the tiff 2 should be on the same page, etc.) and record the tiff names for later use (step 10).
  - vii. Hide roll, frame, tiff, and document number columns (the columns are not required for the tracing process).
  - viii. Return to Page Layout Tab, expand sheet options and click on print preview. Select the drop down box for printer, find Adobe PDF and print. Select the licensee’s folder and hit save.
  - ix. In the licensee’s folder, create a folder named tiff. Pull the PDF back up and find File at the top. Go to Save As and select the tiff folder. Where the licensee’s name comes up add .tiff at the end and save.

ATF National Tracing Center			Electronic Media Conversion
File Name	BOC	Version	Owner
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- x. Open XNVIEW and find the licensee's folder on the Media Conversion Network. Go to the tiff images and open that folder. Click on the top tiff number and hit Control A to highlight all tiffs. Go to Tools and Batch Rename.
  - 1) Name Template: Type in the EXACT tiff name that was recorded earlier in the process (see step 6 – i.e. tiff was named 189-00-1, type in 189-00-#. The # sign will change the ending numbers to run in order and the start number always need to be changed to the starting number of the tiffs.
- xi. Once all tiffs have been renamed, close XNVIEW.
  - 1) Place in folder until ready to copy to formatted media storage device for upload into OBRIS by Imaging Administrator.
  - 2) Update tracking log

## 5. **Converted Media Data / Images Delivered to OBRIS**

- a. Converted media data will be delivered to OBRIS utilizing a secure workstation setup for this purpose in the ATF Martinsburg Data Center by the Imaging Administrator.
- b. Imaging Administrator/OBRIS receives converted data/images via approved media storage device
  - i. Updates tracking log
- c. Using interim transfer method, copy output files from the media storage device to the shared data folder for processing:
  - i. Load into OBR tables/OpenText Image Repository.
- d. Converted Media Transfer
  - i. Batches of image files that serve as RBE input are copied to the media storage device labeled E: (OBRRBE Server (NTCPOBRR) and data files that serve as SQL\*Loader input are copied to the secure workstation. The general process for copying of that data is as follows:
    - ii. Connect the media storage device to the workstation in the Martinsburg computer room.
    - iii. Segregate Data Files from Image Batches
    - iv. Using Windows Explorer, browse to the media storage device and to the directory that contains all the data files which will all have a “.txt” extension.
    - v. Copy Image Batches to OBR RBE Server
    - vi. From Windows Explorer, browse on the \\NTCPOBRR server to the OBRBackfile share.
    - vii. Copy all <Batch> folders from the electronic media storage device to OBRBackfile share.
      - 1) This process may take a while, proceed to next step in the process.

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- e. Run the Batch/weapon cmd files
  - i. To load all the batch data into the OBR database, run the batch command file.
  - ii. To load all the weapon data into the OBR database, run the weapon command file.
    - 1) At the Prompt, Enter the Oracle user id and Password
    - 2) If any errors, a .BAD file will be produced, and the eMedia program will terminate.
      - a) All data files will be moved to the BADS directory to indicate they were not processed and will need to be resubmitted.
    - 3) If no errors are encountered processing these OBR\_BATCHES records, the program attempts to process each OBR\_WEAPON\_TRANSACTIONS file
    - 4) Examine Output from e-Media in the Logs Directory
- f. Correction of Errors
  - i. Examine the logs produced by SQL\*Loader, especially in the BADS directory.
    - 1) If any errors are due to unavailability of the database or due to operator error such as entering an incorrect Oracle password, consider moving the affected .txt files from the BADS directory back to the original input directory for reprocessing and rerunning e-Media when the database is available or the correct password is known.
    - 2) If errors are due to incorrect data, these errors must be corrected and resubmitted to OBR Imaging.
- g. Handling of Errors
  - i. Errors that are not data-related should be corrected immediately, if possible, so processing can continue. The handling of data-related errors depends on the table affected by the error.
  - ii. Batches.txt (OBR\_BATCHES Table) Errors
    - 1) Errors encountered in processing a Batches.txt file are likely to be data-related, and will be critical to the system.
    - 2) It is VERY IMPORTANT that no further processing of images or data be done. Any such processing is likely to generate foreign key constraint violations in the database, since both the OBR\_IMAGE\_DOCUMENTS table and OBR\_WEAPON\_TRANSACTION table contain a foreign key pointing to an expected record in OBR\_BATCHES.
    - 3) Delete all image file batches previously copied to the OBR RBE server for the affected data.
    - 4) If some of the lines in the original batches.txt file were successfully processed, eMedia should only resubmit those batches that were not processed; i.e., only



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resubmit those lines that were copied to the batches.bad file. They should also resubmit all weapon transaction data files for the affected batches, since these would not have been processed previously.

- 5) Any correction or deletion of records previously entered into the OBR\_BATCHES table may be made using the Batch Maintenance capability within the OBR Web interface.
- iii. weapon.txt (OBR\_WEAPON\_TRANSACTIONS Table) Errors
  - 1) Any data errors encountered in processing these weapon.txt data files will be non-critical. For example, if the original .txt file contains lines for 8000 weapon transactions and 5 records cause errors and are copied to the .bad file, the 7995 records will have been successfully added to the database. Only the 5 errors need be corrected and resubmitted.
  - 2) Any correction or deletion of records previously entered into the OBR\_WEAPON\_TRANSACTION table may be made using the Weapon Transaction Maintenance capability within the OBR Web interface.
- iv. Run Batches through OpenText EX Rapid Batch Entry (RBE)
- h. Convert and load TIFF images into PEPS database.
  - i. All image batch files from the electronic media storage device to NTCPOBRR is complete AND all data files have been processed successfully through Media Conversion, start to submit the image batches to RBE.
  - ii. It is critical that the batches of image files should not be processed through RBE until after the database files have been successfully copied. As noted earlier, it is very important to NOT process any batches through RBE if there were any data errors encountered in processing the corresponding batches.txt files.
  - iii. Proceed to process every submitted batch through RBE for batches for which there were no errors reported.
  - iv. Verify that data was loaded correctly into OBR and IMAGE system.

## 6. Validate Converted Media Data / Images Delivered to OBRIS

- a. Upon notification that the media data / image files have been loaded into OBRIS, the MCA will
  - i. Login to OBRIS
    - 1) Hold cursor over searches.
    - 2) Select FFL search.
    - 3) Enter FFL number.
    - 4) Primary sort.
    - 5) Select roll.

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- 6) Secondary sort.
- 7) Select frame.
- 8) Select search.
- ii. Confirm the correct licensee has been updated/delivered to OBRIS.
- iii. Confirm batches have been uploaded and check to make sure batches have a bullseye

## 7. Quality Control of Converted Media Data / Images

- a. Perform Quality Control (QC) of random serial numbers by:
  - i. Verifying correct information is displayed when serial number and FFL query is performed in OBRIS
  - ii. Checking to make sure batches open correctly when the bullseye is selected
  - iii. Spot checking images and verify the roll/batch numbers.
  - iv. Comparing count of converted source data to OBRIS data to validate delivery
    - 1) May be automated - confirms number of entries from original is the same number delivered to OBRIS
  - v. Comparing data from original media to OBRIS information to insure all data fields needed for the trace process were carried forward
  - vi. Comparing batch content to batch descriptions
- b. If quality control is less than satisfactory according to the Acceptable Quality Level (AQL), consult Media Conversion team for assistance in correcting all issues.
  - i. Media Conversion team should analyze any issues reported and send report via email of issue and potential resolution before proceeding
- c. Update Quality Control log and Media Tracking log once an acceptable QC rate is confirmed
- d. Return original media to secure location until approved for destruction

## 8. Destruction and Deletion of Original Media and Converted Data

- a. Original media and converted data files will be maintained in a secure location or on the secure stand-alone network environment (Media Conversion Network) for a period of 30 days.
  - i. Data Deletion
    - 1) Approved Quality Control has been performed and documented
    - 2) Delete data from media storage device according to ATF POC.
    - 3) Delete data from Media Conversation Network according to ATF POC
  - ii. Original Media Destruction
    - 1) Approved Quality Control has been performed and documented
    - 2) Original media will be physically destroyed according to ATF POC
  - iii. Complete Destruction of Data paperwork for Contractor POC and ATF POC.

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- b. Media Destructions logs will be sorted by destruction date and maintained in designated location until prepared for imaging and delivery to OBRIS. Reference WI-Record Destruction\_Disposition\_v5.

### Referenced Documents

File Name	Document Title	Location
FOR-Media Destruction Log	Media Conversion Destruction Log	S:\ISO Documentation Storage – Temporary Holding\904030_Tracing Operations and Records Management Branch\Document Conversion Group\Media Conversion\Forms
REF-Media Conversion Process Chart	Media Conversion Process Chart	S:\ISO Documentation Storage – Temporary Holding\904030_Tracing Operations and Records Management Branch\Document Conversion Group\Media Conversion\References

### Revision History

Version	Effective Date	Change Description	Approved By
3	6/12/2013	Added update to destruction process, Section 13.	
4	6/24/2013	Updated to include overview of new incoming and filed media as well as security and access.	
5	8/13/2013	Updated Process Overview to include Urgent and Routine trace processing	
6	4/9/2015	Revised entire process due to obsolete software	(b) (6) Branch Chief
7	12/10/2015	Process revision due to upgrade in software and knowledge for conversion	(b) (6) Branch Chief
8	2/17/2016	Changed import to copy (varying tenses) and added backup/disaster recovery suggestion	(b) (6) Branch Chief
9	3/14/2016	Final edits	(b) (6) Branch Chief
10	4/14/2016	Updated Destruction section.	(b) (6)
11	1/3/2017	Updated AQL and Record Destruction log information.	(b) (6)

ATF National Tracing Center Process		Media Conversion Destruction Log
Document Number	Version	Owner
FOR–Media Destruction Log	6	Tracing Operations and Records Management Branch (TORM)

FFL Number	FFL Name	Original Media Type	# Pieces of Original Media
<b>Total Pieces of Original Media</b>			

-----  
 The completion of this form verifies that the original media and all converted data for the above listed FFLs have been staged for destruction approval.  
 -----

**Media Destruction Processing:**

Quality Control – User Approved for Deletion (Contractor): \_\_\_\_\_ Date: \_\_\_\_\_

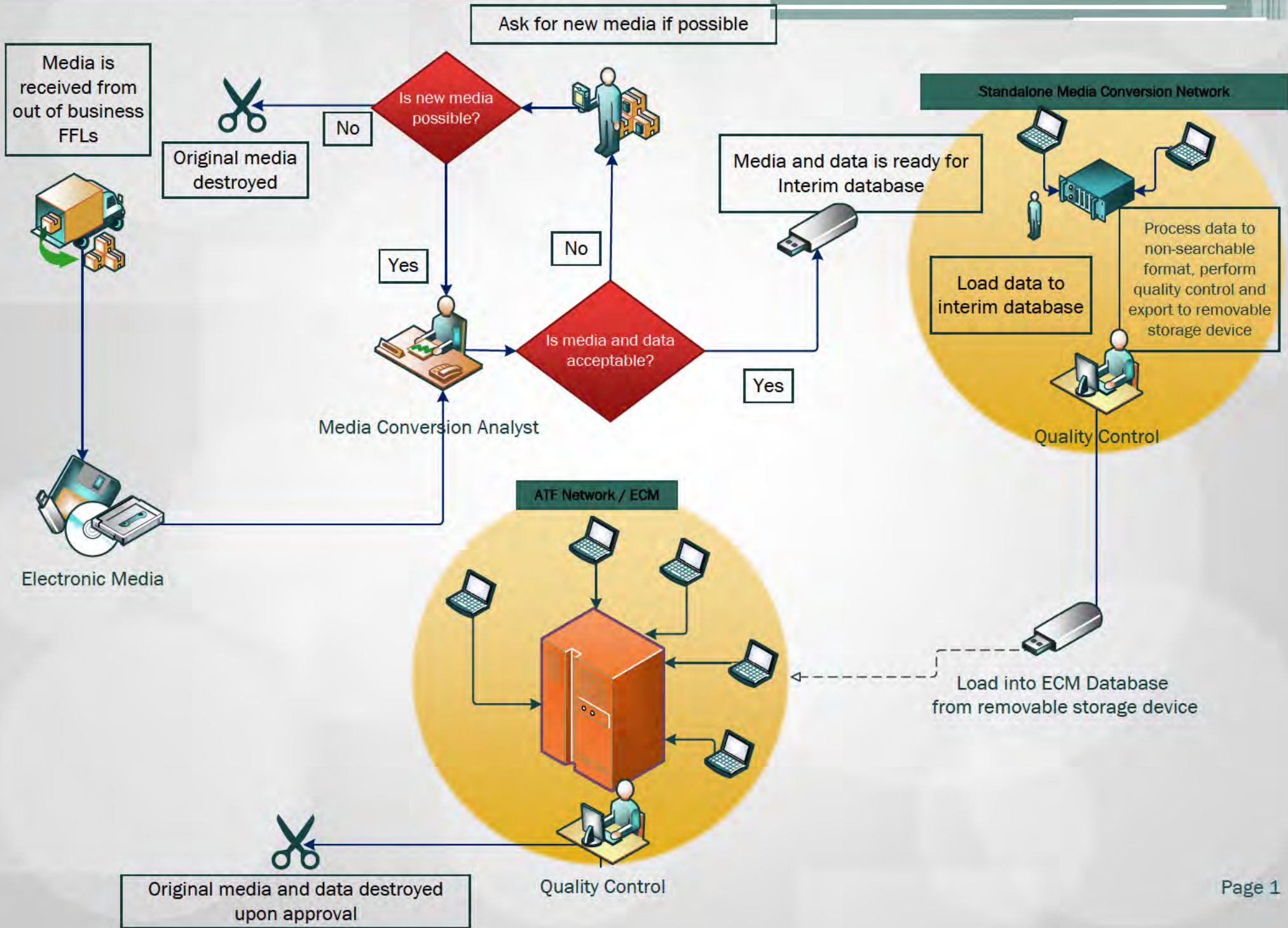
Quality Control – Supervisor Approved for Deletion (Contractor): \_\_\_\_\_ Date: \_\_\_\_\_

Media Conversion Data Approved for Deletion (ATF): \_\_\_\_\_ Date: \_\_\_\_\_

Media Conversion Data Deleted (Contractor): \_\_\_\_\_ Date: \_\_\_\_\_

Original Media Approved for Deletion/Destruction (ATF): \_\_\_\_\_ Date: \_\_\_\_\_

Original Media Destroyed/Deleted (Contractor): \_\_\_\_\_ Date: \_\_\_\_\_



U.S. DEPARTMENT OF JUSTICE  
Bureau of Alcohol, Tobacco, Firearms and Explosives

SUBJECT: FIREARMS ENFORCEMENT PROGRAM

Order

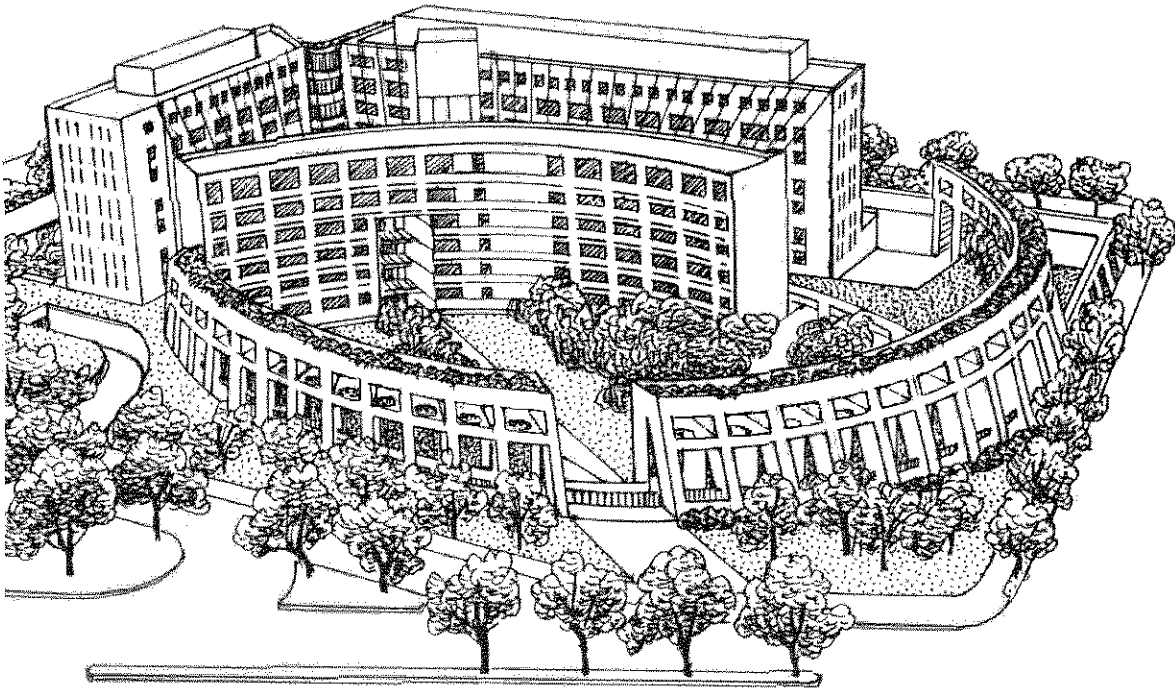
ATF O 3310.4C

DATE: 03/19/2013

OPI RECERTIFICATION

DATE: 03/19/2018

OPI: 701100



## FOREWORD

TO: All Law Enforcement Personnel

1. PURPOSE. This order provides guidelines for the implementation of the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATFs) Firearms Enforcement Program under the Gun Control Act of 1968, as amended (GCA), and the National Firearms Act, as amended (NFA).
2. CANCELLATION. ATF O 3310.4B, Firearms Enforcement Program, dated February 8, 1989, is canceled.
3. DISCUSSION. This order has been extensively revised to:
  - a. Update and consolidate the current firearms enforcement policies and strategies.
  - b. Incorporate policy from the Assistant Directors (Field Operations and Office of Strategic Intelligence and Information) April 30, 2012, Warning Notice of Straw Purchasing memorandum; the Acting Director's November 3, 2011, Firearm Transfers memorandum; Assistant Director (Field Operations) September 12, 2011, (b) (7)(E) Data and Firearms Trafficking Investigations memorandum; Assistant Director (Field Operations) June 25, 2009, National Firearms Trafficking Enforcement Implementation Plan memorandum; and Assistant Director (Field Operations) January 30, 2006, Reminder of Gun Show Policy and Practices memorandum.
  - c. Provide updated information on the resources, reports and programs available through the National Tracing Center (NTC).
4. REFERENCES.
  - a. Department of Justice Order No. 985-85, Delegation of Authority to Authorize Television Surveillance, dated August 6, 1982.
  - b. Firearms Technology Branch (FTB) Bulletin 2009-376 – NIBIN/IBIS Test Firing Safety Precautions.
  - c. ATF B 3310.10, Stolen Firearms Program.
  - d. ATF B 3315.1, Ballistic Information Submissions For NIBIN Entry.
  - e. ATF O 1100.168A, Delegation Order – Delegation of Authorities Within the Bureau of Alcohol, Tobacco, Firearms and Explosives.
  - f. ATF O 1340.5, Records Management Program.
  - g. ATF O 3210.1B, Operational Planning.

- h. ATF O 3210.7C, Investigative Priorities, Procedures, and Techniques.
  - i. ATF O 3220.1A, Searches and Examinations.
  - j. ATF O 3250.1B, Undercover Operations.
  - k. ATF O 3251.1, Expenditures of Funds for Investigative Purposes.
  - l. ATF O 3400.1C, Property Taken Into Bureau Custody.
  - m. ATF O 3700.1, Foreign Operations Guidelines.
  - n. ATF O 5000.18, Office of Enforcement Programs and Services – Mission and Organization.
  - o. ATF O 5320.1A, National Firearms Act Branch – Mission, Responsibilities and Procedures.
  - p. ATF P 3312.13, ATF Firearms Tracing Guide (March 2012).
  - q. ATF P 3317.1, ATF Firearms Trafficking Investigation Guide (November 2009).
  - r. ATF P 5300.4, Federal Firearms Regulations Reference Guide (September 2005).
  - s. ATF P 5300.15, Federal Firearms Licensee Quick Reference and Best Practices Guide (August 2010).
5. ACRONYMS. A List of Acronyms used in this order is outlined in Exhibit 7.
6. RETENTION REQUIREMENTS. Documents outlined in this order must be retained in accordance with ATF's records management program.
7. FORMS AND INFORMATION DOCUMENTS AVAILABILITY. All forms and information documents outlined in this order are available on the ATF Web Portal or (b) (7)(E)
8. QUESTIONS. Any questions regarding this order should be directed to the Chief, Firearms Operations Division at 202-648-8630.

  
Assistant Director  
(Field Operations)



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## CHAPTER A. FIREARMS ENFORCEMENT POLICY

### 1. POLICY.

- a. It is the policy of the Bureau of Alcohol, Tobacco, Firearms and Explosives to enforce the Gun Control Act of 1968, as amended and to regulate the firearms industry in a professional manner consistent with the Congressional intent stated in the preamble of the act:

"The Congress hereby declares that the purpose of this title is to provide support to Federal, State, and local law enforcement officials in their fight against crime and violence, and it is not the purpose of this title to place any undue or unnecessary Federal restrictions or burdens on law-abiding citizens with respect to the acquisition, possession, or use of firearms appropriate to the purpose of hunting, trapshooting, target shooting, personal protection, or any other lawful activity, and that this title is not intended to discourage or eliminate the private ownership or use of firearms by law-abiding citizens for lawful purposes, or provide for the imposition by Federal regulations of any procedures or requirements other than those reasonably necessary to implement and effectuate the provisions of this title."

- b. This policy is equally applicable to industry operations investigators carrying out the regulatory and compliance aspects of the legislation and to special agents enforcing the criminal statutes and supporting other Federal, State, and local law enforcement agencies.
- c. In order to ensure the effective and equitable enforcement of firearms laws and regulation of the firearms industry in a manner consistent with the aforementioned preamble, ATF has developed specific policy in the following areas:
  - (1) Regulation through licensing, inspection, and education.
  - (2) Enforcement of Federal firearms laws.
  - (3) Cooperation with and support to Federal, State, and local agencies (including firearms tracing).
  - (4) Firearms seizure policy.

### 2. REGULATORY POLICY.

- a. The purpose of regulation is to ensure that Federal firearms license (FFL) applicants meet all requirements for obtaining a license; that all licensees are aware of their privileges and responsibilities for conducting business which include maintaining the necessary records for firearms tracing and other law enforcement purposes in accordance with the GCA; and that all licensed dealers are in compliance with the record keeping and conduct of business requirements.
- b. It is therefore ATF's firearms regulatory policy that:

- (1) Onsite qualification inspections are conducted for all original applicants.
  - (2) Licenses are issued to all qualified applicants within the statutory time frame, 60 days from the receipt of an accurate and complete application.
  - (3) Applicants and licensees are advised of their privileges and responsibilities as firearms licensees to include their conduct of business and record keeping requirements.
  - (4) A program of licensee education by inspection, seminars, and distribution of printed and electronic material is administered to advise, inform, and clarify Federal firearms laws and regulations, and to reinforce the concept that compliance with the act is an integral part of the nationwide violent crime reduction effort.
  - (5) If a licensee is found to have violated Federal firearms law or regulations, ATF will work with the licensee in an effort to bring the licensee into compliance, unless the licensee has committed willful violations of the GCA sufficient to warrant license revocation, denial of a license or criminal investigation. Methods of bringing the licensee into compliance may include licensee education, compliance plans, reports of violations, warning letters, and warning conferences. For further guidance on administrative actions refer to the Federal Firearms Administrative Action Policy and Procedures ATF O 5370.1A.
  - (6) Any evidence of criminal involvement by applicants, licensees, and/or their patrons is referred for criminal investigation.
- c. It is not the policy of ATF to artificially control or otherwise limit the number of complying dealers.

3. ENFORCEMENT POLICY.

- a. ATF's authority for firearms enforcement is derived from the Federal firearms statutes. The purpose of the legislation is to prevent crime and violence, to halt illegal international and interstate trafficking of firearms, to keep firearms from the hands of criminals and prohibited persons, and to assist State and local law enforcement officials with their law enforcement efforts.
- b. It is therefore the ATF firearms enforcement policy to:
  - (1) Enforce the applicable Federal firearms statutes in a professional manner consistent with the intent of Congress as expressed in the preamble to the GCA.
  - (2) Target enforcement so as to have the greatest potential to reduce the violent criminal misuse of firearms and to disrupt illegal firearms activity, including:
    - (a) Armed members of criminal groups and gangs identified as being actively involved in violent criminal activities.
    - (b) Armed violent offenders.

- (c) Firearms traffickers who are a significant source of firearms to the criminal element.
      - (d) International Trafficking in Arms (ITAR), which includes the illicit movement of firearms into and out of the United States (U.S.).
      - (e) Illegal acquisition of firearms by prohibited persons.
    - (3) Cooperate with other Federal, State, and local enforcement agencies in firearms enforcement, provided the request for assistance is consistent with the cooperation policy outlined below.
  - c. Law enforcement activities should focus on those violations that have a negative impact on public safety and not on mere technical violations of law where there is no apparent criminal intent. Priority should be given to those enforcement activities with the greatest potential to reduce the violent criminal misuse of firearms.
- 4. FEDERAL, STATE, AND LOCAL COOPERATION POLICY. It is ATF policy on cooperation with other agencies to:
  - a. Provide technical support to all jurisdictions on a timely basis, with particular emphasis on gun tracing.
  - b. Utilize the unique ATF authority in firearms enforcement to partner with Federal, State, and local authorities, including the U.S. Attorney, in the fight against violent crime and organized crime.
  - c. Cooperate with other Federal agencies and other countries in the fight to suppress illegal international and interstate trafficking of firearms to the extent that ATF has jurisdictional authority.
  - d. Make ATF's services and capabilities available to other jurisdictions in their efforts to accomplish their assigned responsibilities where appropriate and when consistent with overall ATF policy. If requests for ATF cooperation and assistance are in conflict with ATF policy or priorities (such as the division's domain assessment) and the issue cannot be resolved at the local level, the question should be referred to ATF Headquarters.
- 5. FIREARMS SEIZURE POLICY.
  - a. In the execution of its firearms enforcement responsibilities, ATF has occasion to seize firearms as evidence and for forfeiture. Title 18 U.S.C. chapter 44 section 924(d), establishes certain conditions and elements that must be satisfied when ammunition or firearms are seized for forfeiture. These elements vary according to the offense and include firearms involved, used, or intended to be used in violations that are committed knowingly or willfully. (Refer to ATF O 3400.1C, Property Taken Into Bureau Custody, for information on seized property.)
  - b. It is therefore the ATF firearms seizure policy to:
    - (1) Handle and maintain all seized firearms in such a manner as to ensure the preservation of their original condition prior to seizure.

- (2) Seize only those firearms and/or that quantity of ammunition particularly identified as involved in or used in violation of a criminal offense. The seizure of firearms based upon an intent that they may be used in an offense shall be made only where the offense is among those specified by section 924(d)(3) and where such intent is demonstrated by clear and convincing evidence.
- (a) Licensed Firearms Dealers. Only those firearms needed as evidence that clearly can be shown to be involved in or used in any knowing or willful violation of the GCA; any stolen or contraband firearms (to include NFA firearms); or any firearms carried, used, or intended to be used to commit violent and/or drug trafficking crimes are to be seized. Industry operations shall be notified of the circumstances involved in all investigations of licensed dealers in accordance with chapter B, paragraph 30 (c).
- (b) Unlicensed Firearms Dealers. Only those firearms specifically offered for sale by the unlicensed dealers that clearly can be shown to be involved in or used in any knowing or willful violation of the GCA; any stolen or contraband firearms (to include NFA firearms); or firearms carried, used, or intended to be used to commit violent and/or drug trafficking crimes are to be seized.
- (c) Prohibited Persons. All firearms that have moved in or affected interstate or international commerce found in the possession or control of a prohibited person under the act are subject to seizure. However, in cases such as National Instant Criminal Background Check System (NICS) delayed denials, special agents are to exercise discretion in determining whether to seize a firearm. Lack of criminal intent, the nature of a previous conviction, and the length of time since the last conviction should be considered. If determined appropriate and subject to verification, individuals will be allowed to divest themselves of firearms, such as by transferring them to a non-prohibited third person or arranging for the firearms to be sold on his/her behalf by a Federally licensed firearms dealer. Under no circumstances may such firearms be transferred to a person who is employed by the prohibited person in violation of 18 U.S.C. section 922(h).

Note: Exceptions to the above seizure policy must have the prior approval of the Chief, Firearms Operations Division.

- (3) Initiate proceedings for judicial or administrative forfeiture of firearms and ammunition within the statutory timeframes set forth in ATF O 3400.1C, Property Taken Into Bureau Custody.
- (4) Adopt seizures from requesting outside agencies pursuant to 18 U.S.C. section 924(d). The seizure shall not be adopted if more than 75 days have elapsed from when the agency took the firearms into custody.



- (5) Firearms and ammunition taken into Bureau custody from individuals or dealers who are acquitted or where charges are dismissed other than upon motion of the Government are not subject to forfeiture unless there are grounds for forfeiture other than those that are the basis of the criminal charge. These firearms and ammunition must be returned to the owner/possessor or his/her delegate if the owner/possessor is a prohibited person.
- (6) Firearms and ammunition taken into Bureau custody from individuals who are prohibited solely because they are subject to a qualifying domestic violence restraining order may not be forfeited, and must be returned to the owner/possessor once the restraining order lapses or is terminated by the court.

Note: For detailed procedures relating to the declaration of forfeiture with respect to administratively advertised firearms, see ATF O 3400.1C, Property Taken Into Bureau Custody.

- c. In the execution of ATF's enforcement responsibilities with regard to 26 U.S.C. chapter 53 section 5842, ATF may seize any firearm involved in violation of the provisions of the chapter. However, in the absence of criminal intent, other available alternatives should be followed:
  - (1) Allow for the modification of the firearm to remove it from the NFA classification when such modification is done with prior approval of ATF, but at the individual's expense. Machineguns are excluded from this provision.
  - (2) Donation of the firearm to a Federal government agency, museum, or historical society for display purposes, provided the museum or historical society is an instrumentality of the Federal government. This is also done at the expense of that agency or museum.

Note: Refusal to comply with one of the options listed above results in the seizure of the firearm by ATF.

6. FIREARMS ENFORCEMENT STRATEGY. The objective of the ATF Firearms Enforcement Strategy is to reduce violent firearm crime. The strategy strikes a balance between imprisoning violent offenders and denying criminals access to firearms, as the two efforts complement each other. Intelligence gleaned from investigations and arrests of armed violent criminals will direct firearms trafficking resources, while success in firearms trafficking enforcement reduces the availability of firearms to violent criminals.
  - a. ATF's strategy is intelligence-driven, utilizing crime gun recovery and trace data in concert with other law enforcement and industry operations investigative intelligence to focus on those offenders who criminally misuse firearms during the commission of their crimes; and traffickers who supply those offenders.
  - b. Law enforcement activities under ATF's strategy are reflected in three major firearms enforcement areas:

- (1) Armed Violent Offenders (Including Criminal Groups and Gangs and Firearms Criminal Possession and Use). ATF investigates those individuals and criminal organizations that are identified as being actively engaged in the violent criminal misuse of firearms. ATF has unique statutory authority and investigative expertise under 18 U.S.C. sections 922(g), 924(c) and 924(e).
  - (2) Firearms Trafficking. Firearms trafficking investigations address the criminal diversion of firearms out of lawful commerce and into the hands of violent offenders and prohibited persons. ATF has unique statutory authority, investigative expertise, and information systems that are not duplicative of any other agency. Firearms trafficking investigations are inherently of Federal interest due to the interstate/international nature, and there is a benefit to the public that occurs when illegal sources of firearms to the criminal element are eliminated.
  - (3) International Traffic in Arms (ITAR). ITAR is an international extension of ATF's firearms trafficking enforcement efforts that addresses the illegal international movement of firearms. Special emphasis is placed on terrorists, transnational gangs, and drug trafficking organizations. Refer to ATF O 3700.1, Foreign Operations Guidelines, for policy regarding ITAR.
7. DOMAIN ASSESSMENTS. As a key component of ATF's business process model, each field division produces an annual domain assessment which involves the comprehensive collection and analysis of intelligence to identify the field divisions' unique significant violent crime environments and to develop strategies to combat the threats. This process is the means by which the division communicates to ATF Headquarters how it is going to implement the strategies described above in the execution of ATF's mission.
8. LEGAL AUTHORITY.
- a. Laws and Regulations. The Firearms Enforcement Strategy is based upon the following laws and regulations:
    - (1) Title 18 U.S.C. Chapter 44, the Gun Control Act of 1968, as amended; 27 CFR Part 478, Commerce in Firearms and Ammunition.
    - (2) Title 26 U.S.C. Chapter 53, National Firearms Act, as amended; 27 CFR Part 479, Machineguns, Destructive Devices, and Certain Other Firearms.
    - (3) Title 49 U.S.C. Chapter 1, Transportation.
    - (4) Title 22 U.S.C. Section 2778, Arms Export Control Act; 27 CFR Part 447, Importation of Firearms, Ammunition and Implements of War.
  - b. Miscellaneous Laws. The following laws are just some of the other Federal criminal statutes applicable to the Firearms Enforcement Program:

- (1) Title 18 U.S.C. Section 1001, False or Fraudulent Statements.
- (2) Title 26 U.S.C. Section 7207, Fraudulent Documents.
- (3) Title 18 U.S.C. Section 1956, Money Laundering.
- (4) Title 18 U.S.C. Section 371, Conspiracy.
- (5) Title 18 U.S.C. Section 2, Aiding and Abetting.

9. PUBLIC ADVISORY PRACTICE AND DETERMINATIONS.

- a. State and local law enforcement agencies and the general public with basic questions are to be encouraged to seek guidance at a local ATF office.
- b. Representatives of the firearms industry with policy questions are to be referred for advice and guidance to the Firearms Industry Programs Branch.
- c. Questions relating to the Firearms Enforcement Strategy are to be resolved, if possible, at the division level on the basis of the applicable laws and regulations and the established policies and procedures of the Bureau.
- d. If in some material aspect any problem presented in a given criminal case is unique or the proper application of laws, regulations, policies, or procedures is doubtful, the matter should be referred through administrative channels to the Assistant Director (Field Operations) for guidance. When such a referral is made, complete information to formulate a decision is required.
- e. A decision by the Director that reflects the position of the Bureau, with respect to a given situation that establishes the basis for administrative handling of similar matters, is usually made the subject of an ATF ruling and is duly published. Published rulings, while in force, must be considered as precedents for determining proper administrative action in all similar situations.
- f. Determinations of curios and relics under the provisions of the GCA related to firearms which derive a substantial portion of their monetary value from the fact that they are novel, rare, bizarre, or because of their association with some historical figure, period or event, are to be made by ATF, pursuant to 27 CFR section 478.26. ATF employees should refer to the current ATF delegation order (ATF O 1100.168A) to determine with whom authority currently resides.
- g. Determinations of destructive devices related to devices that are not likely to be used as a weapon are also made by ATF, pursuant to 18 U.S.C. section 921(a)(4), 26 U.S.C. 5845(f), and 27 CFR sections 478.27 and 479.24. ATF employees should refer to the current ATF delegation order to determine with whom authority currently resides.
- h. Determinations of whether an NFA firearm or device, which although originally designed as a weapon, is by reason of the date of its manufacture, value, design, and other characteristics primarily a collector's item and is not likely to be used as a weapon, are made by

ATF, pursuant to 26 U.S.C. section 5845(a) and 27 CFR section 479.25. These determinations do not affect the status of the firearm or device under the GCA. ATF employees should refer to the current ATF delegation order to determine with whom authority currently resides.

- i. Determinations of whether a firearm, a firearm barrel, or ammunition is importable for sporting purposes, testing, or experimentation or for use by an exempt entity are made by ATF. ATF employees should refer to the current ATF delegation order to determine with whom authority currently resides.
- j. Experts are available at the FTB for the identification and classification of firearms. These experts are available for consultation. Special agents can make use of these experts during criminal investigations if a satisfactory determination cannot be made at a local or division office level. Experts giving testimony on such in criminal investigations referred for prosecution MUST possess and be able to furnish the necessary credentials. All official ATF classifications are made by the FTB.

10. ATF ISSUED SERIAL NUMBERS.

- a. When any firearm frame or receiver with an altered, obliterated or removed importer's or manufacturer's serial number is brought to the attention of ATF, it will be inspected to determine if the firearm originally had a serial number, but that number has been altered, obliterated, or removed. Some firearms manufactured prior to 1968 were legally manufactured without serial numbers and are currently not required to have them. (See 26 CFR 177.50.)
- b. When evidence exists that an importer's or manufacturer's serial number has been altered, obliterated, or removed from a firearm in violation of Title 18 U.S.C. 922(k), the firearm should be submitted to an ATF laboratory or other acceptable laboratory for examination. The local ATF field office will open a criminal case in (b) (7)(E) and appropriate checks will be made (e.g. (b) (7)(E) eTrace, Treasury Enforcement Communications System (TECS), NCIC).
- c. When further investigation establishes no prosecutable violation of Federal law, the special agent shall determine if there is a State or local prohibition against possession of an unserialized firearm. If there is a prohibition, the matter shall be discussed with the proper authorities and formally referred to State or local authorities if they intend to take action.
- d. If no action is taken by State or local authorities, the special agent will investigate the acquisition and possession of the firearm by the owner to determine if the owner intended to violate any Federal firearms laws. If the investigation does not reveal any criminal intent by the owner to violate the law, the special agent shall:
  - (1) Advise the owner of any applicable State or local law.
  - (2) Advise the owner that it is a violation of 18 U.S.C. section 922(k) to knowingly transport, ship, or receive, in interstate or foreign commerce, any firearm which has had the importer's or manufacturer's serial number removed, obliterated, or altered, or

- to possess or receive any firearm which has had the serial number removed, obliterated, or altered and has, at any time, been shipped or transported in interstate or foreign commerce.
- (3) With the concurrence of the special agent's immediate supervisor, recommend that the owner have the original importer's or manufacturer's serial number, if known or determinable, re-stamped on the firearm along with an ATF serial number issued by the field division at the owner's expense.
  - (4) If the original importer's or manufacturer's serial number cannot be determined, the special agent should require that an ATF serial number be stamped on the firearm. A serial number is not required if the firearm was originally manufactured without a serial number.
  - (5) If an ATF serial number is to be assigned, the special agent will request on an ATF F 3120.2, Report of Investigation (ROI), that the special agent in charge (SAC) assign an ATF serial number to the firearm by written authorization, specifically identifying the firearm in the request. The ATF serial number should never be stamped over the original number. The ATF serial number must be stamped on the frame or receiver and must meet the size and depth requirements stipulated in 27 CFR section 478.92 and 27 CFR section 479.102.
  - (6) After the owner has completed stamping of the ATF serial number on the firearm, the special agent will verify the information by inspecting the firearm. The results of this inspection will be reported to the SAC on an ROI (ATF F 3120.2). In the case of a previously registered NFA firearm, a copy of the ROI (ATF F 3120.2) will be forwarded to the NFA Branch, ATF Headquarters.
  - (7) Advise the owner of the firearm that if he/she refuses to have a serial number stamped on the firearm, the firearm is contraband and is subject to seizure and forfeiture by the U.S. Government under 18 U.S.C. Chapter 44. If the owner continues to refuse to have a serial number stamped on the firearm, the firearm should be seized and forfeiture proceedings initiated.
- e. When the owner of the firearm with a removed, obliterated, or altered serial number remains in possession of a firearm in order to have a serial number restamped on the firearm, the SAC shall provide the owner of the firearm with written authorization to receive and possess that firearm in order to arrange for a serial number to be restamped.
- f. No serial number will be stamped on a firearm that is:
- (1) Intended for use as evidence.
  - (2) To be destroyed.
- g. Each unmarked firearm required to bear a serial number under Federal law must be stamped or restamped with a serial number when:

- (1) The firearm is retained for evidentiary use but is no longer needed for that purpose and remains in ATF custody for official use.
    - (2) The firearm is to be transferred to another agency for official use.
    - (3) The firearm is retained for official use by a seizing agency other than the ATF.
  - h. The SAC is authorized to assign ATF serial numbers. The serial number shall be composed of the organizational segment code for the issuing division office followed by a sequential number, e.g., (b) (7)(E) (b) (7)(E). A division office file containing the ATF-issued serial numbers assigned by the division to any firearm is to be securely maintained at the division office with limited access. Serial numbers assigned by ATF should immediately be entered into TECS.
  - i. There are some ATF serial numbers that were issued by the regions. Records of those serial numbers issued have been relocated to the National Tracing Center (NTC). In the event a trace of a weapon with an ATF serial number is initiated and the serial number does not correspond with a number issued as outlined above, the trace shall be referred to the NTC for a search of the regional files.
11. **TEST FIRING.** Special agents need not expel a projectile to test fire the operability of a firearm. An inertia bullet puller can be used to remove the projectile and powder and a test fire of the primer will suffice. (Note: Caution should be taken when using this technique in an office or vault setting.) When a live round is used to test fire a recovered firearm an agent should make efforts to coordinate the operability test fire with the collection of shell casings for the National Integrated Ballistic Information Network (NIBIN). Test firing for NIBIN is mandatory for all firearms taken into Bureau custody that are suitable for NIBIN entry (i.e., semi-automatic pistols and semi-automatic rifles, but not revolvers or single shot or bolt action rifles, nor weapons known to have never been fired). Test firing for NIBIN requires the firing of an unaltered, complete, live round.
- a. When criminal prosecution of a firearms violation is anticipated, the firearms involved shall be test fired to establish their capability of expelling a projectile by means of an explosive action. There are exceptions to this policy. If the case agent believes or has reason to believe that the firearm has been altered, converted, or is unsafe to fire, or that the test firing will so damage the firearm or destroy its value as evidence, the firearm shall not be test fired. In the case of a large seizure of firearms, every firearm need not be test fired. A representative or random sampling is sufficient. Firearms not test fired are to be examined to determine their capability of expelling a projectile by means of an explosive.
  - b. Special agents often seize, purchase, or otherwise acquire items alleged to be silencers. True silencers are classified as firearms. To refute possible defense contentions that they are not silencers, suspected silencers must be forwarded to the Bureau's FTB for classification. For safety reasons and to prevent the degradation or destruction of evidence, DO NOT test fire suspected silencers in the field.

- c. Special agents often seize, purchase, or otherwise acquire items alleged to be machineguns. True machineguns are classified as firearms. To refute possible defense contentions that they are not machineguns, suspected machineguns must be forwarded to the Bureau's FTB for test firing. For safety reasons and to prevent the degradation or destruction of evidence, DO NOT test fire suspected machineguns in the field.
- d. Test firing shall be accomplished with ammunition containing a known propellant. Commercially purchased or forfeited ammunition may be used for test fires, provided that it is in good condition and is not hand loaded ammunition. Individual rounds to be used in the test fire should be examined for flaws, corrosion, or damage prior to use. In the past, some (b) (7)(E) was found to be booby trapped by containing a high explosive rather than a propellant. Special agents shall be alert to the possibility that the same could be true of other ammunition.
- e. Test firing and examination shall be accomplished under controlled conditions by an individual familiar with that weapon who will be available, if required, to testify concerning the condition and capability of the firearm. Prior to test firing a firearm the weapon should be carefully inspected for barrel obstructions and evidence of damage that would preclude test fire of the firearm. Special agents should also review FTB Bulletin 2009-376 – NIBIN/IBIS Test Firing Safety Precautions.
- f. The results of the test firing and/or examination shall be included in the case report.
- g. Special agents should be aware that test firing firearms and silencers may render any later laboratory tests invalid.

12 - 20 RESERVED

CHAPTER B. THE GUN CONTROL ACT OF 1968 (AS AMENDED)

21. PURPOSES OF THE STATUTE. The main purposes of the GCA are to deny the acquisition of firearms by prohibited persons, regulate the firearms industry, to support Federal, State, and local law enforcement, and to conduct investigations into those who violate the GCA.
22. STATUTORY AUTHORITY. The GCA is codified as 18 U.S.C. Chapter 44 sections 921 through 931, and is implemented in 27 CFR part 478. Title 27 CFR sections 478.23 and 478.121(b) provide that special agents and industry operations investigators can enter the premises of licensed firearms manufacturers, importers, and dealers for the purpose of examining documents and records required to be kept by the licensee.
23. OFFENSES RELATING TO THE GUN CONTROL ACT, AS AMENDED. ATF Publication 5300.4, Federal Firearms Regulations Reference Guide (September 2005) contains Title 18 U.S.C., Chapter 44, The Gun Control Act of 1968 (as amended). The criminal offenses and penalties can be found in sections 922, 924, 929 and 930. In addition, ATF Publication 3317.1, ATF Firearms Trafficking Investigation Guide (November 2009), contains a listing of Federal statutes in section IX.
24. FEDERAL FIREARMS LICENSEES (FFLs).
  - a. In passing the GCA, Congress declared that the purpose of the act was to provide support to Federal, State, and local law enforcement officials in their fight against crime and violence while not placing undue Federal restrictions or burdens on law-abiding citizens with respect to the acquisition, possession, or use of firearms for lawful activity.
  - b. Most persons licensed to engage in the firearms business are pursuing their interests for lawful purposes. It is ATF's policy to initiate criminal investigations of licensees only when there is reason to believe that they are engaged in criminal activity such as dealing in stolen/contraband firearms or ammunition, knowingly supplying firearms to criminals, prohibited persons or violent offenders, or engaged in such willful and flagrant violations that it can be reasonably assumed that the firearms will find their way into the hands of criminals, violent offenders, or prohibited persons.
    - (1) The GCA provides misdemeanor penalties for licensees who make false statements or representations with respect to information required in their records (18 U.S.C. sections 922(m) and 924(a)(3)(A)). The successful use of misdemeanor charges enhances licensee denials or revocations. In cases of flagrant and willful violations of recordkeeping requirements that can be shown to pose a genuine threat to the public safety, the licensee should be recommended for felony prosecution for aiding and abetting false statements under 18 U.S.C. section 922(b)(5); 18 U.S.C. section 2 in furtherance of a violation of 18 U.S.C. section 924(a)(1)(A); False Statements (18 U.S.C. section 1001) and/or Conspiracy (18 U.S.C. section 371).
    - (2) When evidence supporting prosecution does not meet established prosecutorial thresholds or the violations are minor or technical in



nature, the information shall be referred, through the SAC, to the appropriate Director of Industry Operations (DIO) for administrative action.

- (3) When ATF is notified or becomes aware that an FFL who has terminated his/her business or failed to renew his/her license has not forwarded his/her records to the National Tracing Center, Out-of-Business Records Center in Martinsburg, WV, industry operations should make all reasonable attempts to acquire the records. If the FFL refuses to surrender his/her records, industry operations should notify criminal enforcement. Enforcement efforts should be made and coordinated with industry operations to obtain the FFL records and forward them to the NTC, Out-of-Business Records Center. Tact and discretion should be used in all contacts with the FFL in these situations.

- c. Most licensees cooperate with ATF in exercising lawful inspection access to their premises. When a licensee refuses voluntary inspection and requires a warrant, the special agent shall obtain a REASONABLE CAUSE WARRANT in conformance with paragraph 29 of this chapter. Special agents are precluded from using force to gain entrance under a REASONABLE CAUSE WARRANT.

25. WARRANTLESS INSPECTIONS OR EXAMINATIONS. This paragraph sets forth policy and procedures for inspecting the books and records of an FFL. The GCA places certain restrictions on ATF's ability to inspect or examine the inventory and records of a licensee, whether at the licensed premises or recognized gun shows or events. A warrant is required to conduct an inspection or examination EXCEPT under the following conditions:

- a. Inspection to ensure compliance with the recordkeeping requirement. This inspection may be conducted without prior notice, but ATF is limited to only ONE INSPECTION FOR ANY 12-MONTH PERIOD DURING BUSINESS HOURS. Special agents may not use this annual administrative inspection authority to secure evidence against the licensee in support of a pending criminal investigation. When there is an open criminal investigation against the licensee, a probable cause or reasonable cause warrant must be obtained. Nonetheless, if a special agent has information regarding a licensee that does not merit a criminal investigation, the special agent should make a referral to industry operations using ATF F 5000.21, Referral of Information.
- b. Examination during business hours in the course of a criminal investigation of a person other than the licensee. For example, an informant alleges that a convicted felon bought several handguns in the fall of last year. An examination of XYZ's records is undertaken to determine if the felon purchased a firearm there.
- c. Examination during business hours in the course of a firearms trace. For example, during a firearms trace in a sensitive investigation, a special agent decides to obtain the trace information in person.

26. TREATMENT OF ATF F 4473, FIREARMS TRANSACTION RECORD, FOR INVESTIGATIVE PURPOSES. During investigations under the GCA, the special

agent often finds that, in order to prove a prohibited person unlawfully acquired a firearm or committed other violations, the licensed firearms dealer from whom the firearm was purchased must be contacted, interviewed, and his/her records examined for the proof necessary to establish the violation. (b) (7)(E)

**(b) (7)(E)**

(b) (7)(E) This chapter outlines the procedures to be employed by the special agent for placing into custody, transmitting for examination, safeguarding, and returning such documents.

27. VOLUNTARY RELINQUISHMENT OF ATF F 4473 BY LICENSED DEALER.

- a. When the special agent encounters an ATF F 4473 that contains material evidence of a violation, the agent is to secure the document and any substantiating statements from the licensed dealer in order to prove the elements of the violation. Most licensed firearms dealers cooperate with special agents in actions of this type. Upon obtaining voluntary relinquishment of the document from the dealer, the special agent shall:
  - (1) Execute ATF F 3400.23, Receipt for Property and Other Items, and fully describe the documents. ATF F 3400.23 is to be placed in the licensed dealer's files in the sequential order of the ATF F 4473 that is being removed. Photocopies of the ATF F 4473 are to be forwarded to the dealer. These copies are to be designated as such and dated and initialed by the case agent.
  - (2) If it is deemed necessary to examine the document (b) (7)(E) **(b) (7)(E)**
  - (3) Treat the document as "seized for evidence" and follow the custodial procedure prescribed in ATF O 3400.1C, Property Taken Into Bureau Custody.
- b. If the document is needed for evidentiary purposes, it shall be submitted, as prescribed, to an appropriate laboratory for the analysis needed. A precise record of the chain of custody will be maintained.
- c. Upon the return of ATF F 4473 from the laboratory, the document shall be returned to the licensed dealer and replaced in the dealer's normal business records, pending any legal proceedings where the dealer might be required to produce the document. The document shall be photocopied prior to its return and the copy placed in the field office investigative file. However, if the special agent has reason to believe that the document would be better protected as evidence in the custody of the Bureau, the special agent is to retain custody and follow the instructions in ATF O 3400.1C, Property Taken Into Bureau Custody.
- d. At the conclusion of all legal actions and the appeal period, the special agent responsible for the retention of the document shall return ATF F 4473 to the licensed dealer from whom it was obtained by executing the ATF EF 3400.31, Release and Receipt of Property.

- e. Title 27 CFR section 478.129(b) provides that the dealer must maintain ATF F 4473s in his/her files for a period of 20 years. Therefore, it is mandatory that the special agent return ATF F 4473 to the licensed dealer when it is no longer needed for examination or evidence. The return of the document must be done in accordance with ATF O 3400.1C, Property Taken Into Bureau Custody.

28. SEIZURE OF ATF F 4473 FROM AN UNCOOPERATIVE DEALER.

- a. When a possible violation is discovered and the licensed dealer is unwilling to voluntarily relinquish ATF F 4473, the special agent shall consider obtaining a search warrant in order to seize ATF F 4473 as evidence. In such cases, the special agent shall:
  - (1) Document the refusal of the licensed dealer to relinquish the record for examination.
  - (2) Prepare the affidavit and obtain a search warrant for the document.
  - (3) Search for and seize the document and return a photocopy to the dealer. The document should be entered in (b) (7)(E)s "seized for evidence." (See ATF O 3220.1A, Searches and Examinations.)
  - (4) Maintain a record of the chain of custody.
- b. The SAC may, at his/her discretion, authorize the case agent to continue the investigation without providing copies of the seized ATF F 4473s to the dealer. In each investigation, (b) (7)(E)
- (b) (7)(E)
- c. Upon obtaining SAC authorization, the case agent shall notify the SAC, NTC, that his/her field office has retained the firearms transaction records. This notification shall be made in writing within 3 days.
- d. The seizing field office may be required to assist in the trace of firearms if the situation arises.
- e. When the document is no longer needed as evidence, the return of the document must be in accordance with ATF O 3400.1C, Property Taken Into Bureau Custody.

29. REASONABLE CAUSE WARRANT. Circumstances may be encountered in which reasonable cause exists to believe that there is evidence of violations of the GCA on the premises of a licensee. In these circumstances a REASONABLE CAUSE WARRANT may be obtained pursuant to 18 U.S.C. section 923(g)(1)(A) from a Federal judge or magistrate authorizing entry (without the use of force) into the premises of a licensee during business hours, for the purpose of inspecting or examining any records required to be kept by the licensee and any firearms or ammunition stored on the premises (to include places of storage). The REASONABLE CAUSE WARRANT is obtained when the special agent has less than probable cause, but more than mere suspicion. When probable cause does exist that the licensee is involved in criminal activity, a PROBABLE CAUSE WARRANT under Rule 41 of the Federal Rules of Criminal Procedure should be obtained.

- a. Prior to obtaining a REASONABLE CAUSE WARRANT for a licensee's premises, approval must be obtained from the SAC. A written request for authorization is to be submitted by the resident agent in charge/group supervisor (RAC/GS) to the SAC containing the following information:
  - (1) Complete identification of the licensee.
    - (a) Name and trade name.
    - (b) Address.
    - (c) Federal license number.
    - (d) Business hours.
  - (2) Facts supporting the need for the warrant.
  - (3) Judicial district where the warrant will be obtained.
  - (4) Projected time and date the warrant will be executed.
  - (5) Investigation number.
  - (6) Anticipated problems.
- b. If the SAC concurs with the request, following execution of the warrant, the special agent shall complete a Report of Investigation (ROI) (ATF F 3120.2), and place the words "LICENSEE REASONABLE CAUSE WARRANT" under the "Description of Activity" section of the report. A copy of the warrant is to accompany this report. The report shall include the following information.
  - (1) Items 1 and 3 as listed in paragraph 29a.
  - (2) Date and time warrant authorized by Assistant U.S. Attorney (AUSA) (identify the AUSA).
  - (3) Date and time of authorization by U.S. magistrate or U.S. district court judge (identify the magistrate or judge).
  - (4) Date and time of execution of warrant.
  - (5) Date and time of exit from licensed premises.
  - (6) Evidence taken into Bureau custody from licensed premises.
  - (7) Participating special agents, industry operations investigators, and other law enforcement officers.
  - (8) Licensee/employees present during execution of warrant.
  - (9) Incidents/problems encountered.
  - (10) Miscellaneous information of relevance that cannot be listed on the ROI (ATF F 3120.2) should be listed in an accompanying memorandum.
- c. Special agents are precluded from using force to gain entrance under a REASONABLE CAUSE WARRANT. When a licensee refuses ATF access to records and inventory, the special agent shall advise the licensee that willful failure to allow the lawful examination of their records

constitutes grounds for revocation of license. The special agent shall also advise the licensee of the following statutes:

- (1) Title 18 U.S.C. Section 1509, Obstruction of court orders (misdemeanor).
- (2) Title 18 U.S.C. Section 111, Obstruction of a Federal agent (felony).
- (3) Title 18 U.S.C. Sections 923(g)(1)(B) and 924(a)(1)(D), Willful failure to allow inspection and examination of records and inventory (felony).

- d. When the licensee continues to refuse admittance to the business premises, the special agent is precluded from using force to gain entrance under a reasonable cause warrant. However, the special agent may arrest the licensee based on one of the aforementioned violations, initiate contempt proceedings for failure to comply with the warrant, and/or refer the matter to industry operations for initiation of revocation of license proceedings. Each of these options should be discussed with the RAC/GS, division counsel, and the U.S. Attorney's office prior to the execution of the warrant. If the arrest of the licensee is determined to be an appropriate option, the possibility of arrest must be approved by the SAC prior to the execution of a reasonable cause warrant.
- e. In the case of a significant incident occurring during execution of the warrant, it is incumbent upon the special agent, through the RAC/GS, to verbally apprise the SAC of the incident. The special agent shall thoroughly document the incident as listed in item 9 of paragraph 29b.
- f. If information is developed indicating that the licensee is involved in criminal activity, the procedure for obtaining licensee investigation authorization shall be followed.

30. INITIATING A LICENSEE INVESTIGATION – AUTHORIZATION. An investigation of a licensee may be initiated when there is reason to suspect that the licensee is engaged in criminal activity. The purpose of the investigation is to verify such information and determine if criminal prosecution should be pursued. A written request seeking authority to pursue a licensee investigation must be submitted and approved by the SAC before any significant investigative activity occurs.

- a. A memorandum requesting authorization must be prepared and shall contain the following information:
  - (1) Complete identification of the licensee, including his/her Federal license number.
  - (2) Concise statement of the alleged violations.
  - (3) Source of the information, as well as any background information known concerning the reliability of the source.
  - (4) Any other pertinent information that may appear in TECS or in the licensee's files, such as allegations of previous violations of laws or regulations.

- (5) The words "FIREARMS LICENSEE INVESTIGATION" will be placed at the top of the requesting memorandum.
  - (6) If time does not permit a written request, a telephonic request to the SAC, followed by a written request (memorandum), is permitted.
- b. When the SAC determines that the request does not justify an investigation, the SAC shall return it to the field office for clarification.
  - c. When justified, authorization for a firearms licensee investigation shall be given by the SAC, which is evidenced by his/her endorsement at the bottom of the request. The SAC then forwards a copy of the memorandum to the DIO, as well as the Chief, Federal Firearms Licensing Center, and Chief, NTC. The transmittal of this memo to the Chief, Federal Firearms Licensing Center shall contain an advisory to enter special attention flags for "FFL Investigation" and "Do Not Contact."
  - d. Note that the NTC will continue to contact the licensee for trace information. If this will jeopardize the investigation, notify the Chief, NTC via ATF F 3312.6, NTC Do Not Contact Dealer Request. An explanation that the FFL is the subject of a criminal investigation should be noted in the comments section.
  - e. As indicated earlier, the SAC may telephonically authorize an investigation before receiving a written request.
31. LICENSEE INVESTIGATION – REPORTING.
- a. When conducting a licensee investigation, the assigned special agent shall prepare a ROI (ATF F 3120.2) within 5 days of any reportable investigative activity. The words "FIREARMS LICENSEE INVESTIGATION" will be placed at the top of the narrative section of the report of investigation. Further, if no reportable investigative activity occurs within a 30-day period, the assigned special agent shall provide input to the RAC for status notes to be placed in the management log.
  - b. Quarterly status notes are required to be placed in the management log for investigations for which an ATF F 3200.14, Recommendation for Prosecution report, has been prepared and submitted, or for investigations that have been adjudicated and are under appeal.
  - c. The SAC shall ensure timely reporting via a Significant Incident Report of any significant/sensitive enforcement activity (e.g., making arrests, executing warrants) or any significant judicial activity.
32. LICENSEE INVESTIGATION – CLOSING.
- a. The assigned special agent may recommend closing an investigation any time a determination is made that the allegations against the licensee cannot be substantiated. As with any investigation, the RAC/GS is the approving official for the closing of the investigation.
  - b. When violations of law by the licensee are substantiated, the assigned special agent may recommend:

- (1) Misdemeanor or felony prosecution, via criminal case report requiring approval by the RAC or SAC if signing authority has not been delegated.
  - (2) Referral for administrative action to industry operations via ATF F 5000.21, Referral of Information, which requires approval of the SAC and recommendation to the DIO.
- c. Upon learning of the FFL's final conviction or the closing of the investigation, the SAC will notify the Chief, Federal Firearms Licensing Center, and the Chief, NTC via email advising that the FFL has been convicted and/or the investigation has been closed. In addition to the name of the FFL and case number, the email will also include the licensee's FFL number.
  - d. The SAC shall also ensure that the DIO is aware of the closed status of the licensee investigation.
33. INTERSTATE NEXUS. An interstate movement or nexus of firearms is a necessary element of proof of a violation under most portions of the GCA.
- a. Prosecutions in GCA cases have successfully proven the commerce element through the use of out-of-business records of Federal firearms licensees maintained by ATF in conformance with legal requirements (27 CFR section 478.127). The cases of United States v. Johnson, 722 F2d 407 (8th Cir. 1983) and United States v. Veytia-Bravo, 603 F2d 1187 (5th Cir. 1979) found that the out-of-business records were admissible as evidence.
  - b. The business records of a licensed manufacturer, importer, or dealer that are authenticated by the testimony of a records custodian or other qualified witness can be used to prove the commerce element. (b) (7)(E)
- (b) (7)(E)
- c. A firearms trace result is not sufficient to prove interstate nexus.
  - d. The testimony of an expert from the FTB or a special agent qualified as an expert on where firearms are manufactured (interstate nexus expert) can also be used to prove this element.
  - e. In certain situations the defendant's transportation of a firearm across State lines may satisfy the interstate nexus requirement.
34. CHARGES FOR UNLAWFUL POSSESSION OR TRANSFER OF MACHINEGUNS MADE AFTER MAY 19, 1986. The Department of Justice (DOJ) has notified ATF that all cases involving the unlawful possession or transfer of a machinegun made after May 19, 1986. (b) (7)(E)
- (b) (7)(E)
- 35 - 40 RESERVED

CHAPTER C. NATIONAL FIREARMS ACT (NFA)

41. NATIONAL FIREARMS ACT AND RELATED STATUTES. The purpose of the NFA is to provide strict controls over so-called "gangster-type" weapons. Those weapons are defined under 26 U.S.C. sections 5845(a), (b), (c), (d), (e), and (f). It is based on the Federal taxing power. The NFA levies a special occupational tax (SOT) on all persons engaged in business as an importer, dealer, or manufacturer of these weapons. It also imposes a tax on the "making" and "transferring" of such firearms. These controls are implemented by the registration requirements for these firearms:
- a. Statutory Authority. Title 26 U.S.C. Chapter 53 and 27 CFR part 479. Prosecutorial discretion is delegated by 26 U.S.C. section 5557(a) which authorizes special agents to investigate violations and recommend prosecution when it appears warranted.
  - b. Investigative Priorities. In order to implement and carry out the intent of the law, priority for investigation of alleged violations involving NFA firearms shall be assigned as specified in ATF O 3210.7C, Investigative Priorities, Procedures and Techniques.
  - c. Seizure of Firearms. A firearm involved in any violation of the NFA or the regulations issued thereunder is subject to seizure and forfeiture under 26 U.S.C. section 5872 and 18 U.S.C. section 924(d). (See chapter A, Firearms Enforcement Policy.)
  - d. Seizure of Vehicles. Any vessel, vehicle, or aircraft used to transport, carry, convey, conceal, or possess any firearm that is in violation of any NFA provision, or the regulations issued thereunder is subject to seizure and forfeiture under 49 U.S.C. section 781(a).
42. REGISTRATION OF NATIONAL FIREARMS ACT FIREARMS. Information related to NFA registration requirements, amnesty and post-amnesty registration of NFA weapons, disposition of unregistered firearms as well as requests for modification of NFA weapons can be found in ATF O 5320.1A, National Firearms Act Branch – Mission, Duties and Procedures.
- a. Occasionally, a special agent can determine through an investigation that the acquisition or possession of a firearm bears no prosecutorial merit. <sup>(b) (7)(E)</sup>  
**(b) (7)(E)**  
**(b) (7)(E)** The special agent is to note the attorney's name and the date he/she obtained the declination and make an entry in the management log.
  - b. Occasionally, cases that lack prosecutorial appeal involve a firearm proven to be of historical significance or suitable for official use.
    - (1) The person in possession of the firearm may request permission from ATF to donate the firearm to a Government- owned museum or historical society. Such firearms may be registered to government entities in accordance with 27 CFR section 479.104.
    - (2) ATF recognizes ONLY those historical societies and museums that are an instrument of a Federal, State, or political subdivision.



A NON-GOVERNMENTAL museum or historical society does not fall within this classification.

- (3) Procedures and required documentation relating to the donation of firearms to a Federal, State, or political subdivision thereof, such as a Federal, State, or county museum or an official police organization, are found in ATF O 5320.1A, National Firearms Act Branch – Mission, Duties and Procedures.

43. REMOVAL OF A WEAPON FROM THE "FIREARMS" NFA CATEGORY.

- a. Under 26 U.S.C. section 5845(a), the Director is authorized to remove certain firearms from the NFA that are found to be primarily collector's items and are not likely to be used as weapons. (b) (7)(E)

(b) (7)(E)

Note: Neither a machinegun nor a silencer can be modified to be removed from the NFA. The receiver of the machinegun must be destroyed. Since all the components of a silencer meet the definition of a silencer, all the parts must be destroyed. Destruction information for machineguns can be found in ATF Rulings 2003-1 through 2003-4.

- b. When a person desires to modify an NFA weapon, he/she shall be instructed to submit the request and describe in detail the proposed modification and the reason why to the Chief, FTB. The Chief, FTB will contact the SAC having jurisdiction who is to follow the below procedures.
- c. Unregistered firearms to be modified and removed from the purview of the NFA are to be "seized for evidence" in conformance with ATF O 3400.1C, Property Taken Into Bureau Custody. The firearms are not to be left in the custody of the possessor in the interim period, nor are they to be returned to the owner until after modification procedures are approved and modification has been completed. All arrangements and payment for the modification of the firearms are the sole responsibility of the owner. These arrangements shall be made within a reasonable period of time. The designated licensee with whom the owner arranged the modification procedure must obtain the firearm from ATF and, after the modification is completed, the firearm shall be returned to ATF for inspection by the ATF special agent charged with the custody of the firearm. If the modification is completed to the satisfaction of the ATF special agent, the firearm may be returned to the owner and a receipt obtained.
- d. Complete and accurate documentation justifying removal of such firearms in the case of non-willful violations, must be obtained. Care and discretion shall be used in selecting those non-willful cases in which removal authorization may be warranted.
- e. When the facts and circumstances warrant, a firearm may be removed from the "firearms" classification under the NFA. The Firearms Technology Branch and/or the NFA Branch should be contacted by the

case agent for proper procedures/requirements. Division counsel should also be consulted prior to any actions being taken.

44. EVIDENCE OF REGISTRATION.

- a. A person who possesses an NFA firearm that is registered as required MUST be able to produce evidence of the registration upon request by a special agent or to an industry operations investigator during a compliance inspection.
- b. When a possessor of an NFA firearm claims it is registered to him/her but cannot produce official registration, the firearm shall be retained and a request for a record search made to determine the status of the involved firearm.
- c. A registered NFA firearm with an incorrect serial number or description must be brought to the attention of the NFA Branch for research and resolution.

45. NATIONAL FIREARMS REGISTRATION AND TRANSFER RECORD.

- a. The statute authorizes and requires that a central record be set up and maintained for registrations of firearms not in the possession or control of the United States. This central record is located in and maintained by the NFA Branch, Firearms and Explosives Services Division, Office of Enforcement Programs and Services.
- b. The record contains the official data regarding lawful registrations and transfers of NFA firearms to persons or entities. An official certification from this record or an official certification in the absence of a record is admissible in the U.S. courts for evidentiary purposes under Fed. R. Crim. P. 27 and Fed. R. Civ. P. 44. The introduction into evidence of such certification does not require the personal appearance of a custodian of the NFA Registration and Transfer Record. For certifications of non-registration of NFA firearms, see ATF O 5320.1A, National Firearms Act Branch – Mission, Responsibilities and Procedures.
- c. The record is set up with the capability of determining if a described firearm is registered or if any firearm is registered to a specifically named party. A complete, accurate description of the firearm and/or the correct spelling of the name of the party is critical to an accurate determination of registration status.

46. NATIONAL FIREARMS REGISTRATION AND TRANSFER RECORD SEARCHES AND NFA CERTIFICATION REQUESTS.

- a. General.
  - (1) Upon request, NFA personnel will search records for ATF field personnel, who must provide, at a minimum, the name and/or trade name of the individual or company that holds the registration or serial number of the firearm.
  - (2) To initiate record searches, field personnel may call the NFA Branch, 304-616-4490, or send a request to the NFA Branch, 244 Needy Road, Martinsburg, WV 25405. Requestors must also

provide a completed ATF F 5320.22, NFA Records Search, which can be sent by mail to the above address, emailed to the NFA Lookup Mailbox, or by fax to 304-616-4499.

- (3) Field personnel must indicate if their request should be expedited.
- (4) The NFA Branch will provide each requestor with a verbal response, along with a completed copy of ATF F 5320.22, NFA Records Search, containing the results of the search.
- (5) The copy of the records search is sufficient for a case report.

(For registration status certification for use before a Federal court, see paragraph 47.)

b. NFA Records Searches. Detailed instructions regarding searches of the NFA database, National Firearms Registration and Transfer Record (NFRTR) read only access, and other queries to the system can be found in paragraph 14 of ATF O 5320.1A, National Firearms Act Branch – Mission, Responsibilities and Procedures.

c. Record Searches Outside Duty Hours.

- (1) Routine Priority. The NFA Branch maintains a telephone recording system that enables authorized searchers to make routine record search requests after normal duty hours. Employees can call 304-616-4490, and leave voice mail requests and the necessary information. NFA Branch personnel will conduct the search and provide the results during the next business day.
- (2) Immediate Response. If employees need an immediate response, they must contact the ATF Joint Support Operations Center (JSOC), 202-648-7777. JSOC personnel have access to the NFA database and can perform inquiries 24 hours, 7 days a week.

47. CERTIFICATIONS. As the custodian of the NFRTR, the NFA Branch provides certifications pertaining to the registration status of a person or an NFA firearm for use in Federal court. At least two weeks prior to a court date, employees should request a certification from the NFA Branch. Prior to issuing the certification, the NFA Branch will provide preliminary results of the search via the ATF F 5320.22 (NFA Records Search). Additional information can be found in paragraph 15 of ATF O 5320.1A, National Firearms Act Branch – Mission, Responsibilities and Procedures.

48. DISCLOSURE OF INFORMATION.

- a. The provisions of 26 U.S.C. section 6103 severely restrict the disclosure of NFRTR information because NFA registration information is classified as tax return information.
- b. Disclosure of NFRTR information may be made under limited circumstances. Guidance for the release under these circumstances is found in ATF O 1100.168A, Delegation Order – Delegation of Authorities Within the Bureau of Alcohol, Tobacco, Firearms and Explosives.

Coordination with the Office of Chief Counsel should be undertaken whenever there is any doubt whatsoever about the propriety of a potential disclosure of tax information.

49. REFERRAL OF NFA CASES TO STATE/LOCAL AGENCIES.

- a. NFA cases may be referred to State and local authorities for prosecution (b) (7)(E)

(b) (7)(E)

- b. In those States where registration of the firearm with ATF is an affirmative defense to a possession violation under State law, special agents should confer with division counsel at the outset of the investigation for legal guidance in navigating this issue.

- c. (b) (7)(E)

- d. The Internal Revenue Code (IRC), 26 U.S.C. section 6103 prohibits Federal employees from disclosing taxpayer return information except in very limited circumstances. An (b) (7)(E)

(b) (7)(E)

50. NATIONAL FIREARMS ACT INVESTIGATIONS REPORTING REQUIREMENTS. If a person or firm targeted in an NFA investigation is suspected by the case agent of attempting to transfer or dispose of weapons (b) (7)(E)

(b) (7)(E)

- a. The GS/RAC will notify the SAC. The SAC shall notify the NFA Branch (b) (7)(E)

(b) (7)(E)

- b. The notification shall be addressed to the Chief, Firearms and Explosives Services Division, ATTN: Chief, NFA Branch.
- c. The notification will provide enough identifying and background data that the NFA Branch can determine the identity and license status of each person or firm involved.
- d. The GS/RAC shall notify the NFA Branch when there is no longer a need to

(b) (7)(E)

51. EXCEPTIONS. The National Firearms Act is generally inapplicable to Puerto Rico. This is based upon 48 U.S.C. section 734, which provides that the statutory laws of the United States have the same force and effect in Puerto Rico as in the United States,

except for the Internal Revenue Laws and 26 U.S.C. section 7701(a)(9), which includes only the States and the District of Columbia in the term "United States." However, 26 U.S.C. section 5844, which limits the importation of weapons into the United States or territories thereof, and section 5853, which concerns transfer taxes and exemptions, does apply in Puerto Rico.

52. POLICY CONCERNING REGISTERED NFA FIREARMS WHICH ARE NOT PROPERLY IDENTIFIED. ATF has encountered situations in which a registered NFA weapon in a person's possession does not match the description in the firearm's registration document.
- a. Special agents who encounter an NFA firearm that does not match the description on the registration document, as contained in the NFRTR, should seize the firearm and the documents relating to the firearm under provisions of 26 U.S.C. section 5872 and institute forfeiture procedures as prescribed in ATF O 3400.1C, Property Taken Into Bureau Custody.
  - b. However, the special agent must conduct a thorough investigation of the circumstances surrounding the individual's acquisition or possession of the firearm. The investigation should include a review of all prior NFA transfers of the firearm and, where appropriate, consultation with the FTB and counsel. (b) (7)(E)
  - c. Industry operations investigators who encounter NFA firearms that do not match the description contained on the registration documents should photograph the firearm if practical, immediately refer the information to law enforcement via telephone, and follow up this action by completing ATF F 5000.21, Referral of Information.
  - d. When special agents or industry operations investigators encounter NFA firearms with such a discrepancy, they should also contact the Chief, NFA Branch, to report the discrepancy. This notification will enable the NFA Branch to timely suspend the processing of any pending transfer applications for the firearms in question until the matter has been resolved.

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CHAPTER D. ARMED VIOLENT OFFENDERS (INCLUDING CRIMINAL GROUPS AND GANGS, AND FIREARMS CRIMINAL POSSESSION AND USE)

61. OBJECTIVES. The objectives of this strategy are to reduce armed violent crime and utilize the criminal intelligence generated through the arrests of numerous armed criminals and prohibited persons by identifying, investigating, and recommending for prosecution in Federal or State courts those individuals who unlawfully use or carry firearms. Priority is given to armed individuals actively involved in violent criminal activity and/or drug trafficking (18 U.S.C. section 924(c)), armed career criminals (18 U.S.C. section 924(e)) and prohibited persons in possession of firearms (18 U.S.C. section 922(g)).

62. TITLE 18 U.S.C. SECTION 924(c) INVESTIGATIONS.

- a. Overall Guidelines for 18 U.S.C. section 924(c). ATF's primary interest is the identification, investigation, and prosecution of criminally active organizations or violent individuals who use/carry firearms during and in relation to crimes of violence or drug trafficking crimes. It is important that every investigation into violations of 18 U.S.C. section 924(c) has a clear nexus to firearms from the outset of the case. Jurisdiction for the drug trafficking crime or drug trafficking conspiracy rests with the appropriate Federal agency (e.g., Drug Enforcement Administration (DEA) or Homeland Security Investigations HSI)). As part of this effort, special agents should:
- (1) Develop a coordinated effort with Federal, State, or local law enforcement agencies for the purpose of identifying suspect individuals or organizations and developing informants.
  - (2) Identify the source of supply for the firearms recovered during investigations of criminal organizations and violent offenders.
  - (3) Investigate and recommend for prosecution those individuals found to be illegally trafficking firearms to drug traffickers and/or violent criminals.
  - (4) Refer all narcotics trafficking information received or developed where no firearms are involved to DEA, HSI, or State or local law enforcement agencies, as appropriate. Refer to ATF O 3210.7C, Investigative Priorities, Procedures, and Techniques, for specific informational reporting requirements.
- b. Definitions for purposes of 18 U.S.C. section 924(c).
- (1) Firearm - Any weapon (including a starter gun) which will or is designed to or may readily be converted to expel a projectile by the action of an explosive, the frame or receiver of any such weapon, any firearm muffler or firearm silencer, or any destructive device. Such term does not include an antique firearm.
  - (2) Drug Trafficking Crime - Any distribution, manufacture, or importation of any controlled substance that constitutes a felony violation under the Controlled Substances Act (21 U.S.C. 801 et. seq.), the Controlled Substances Import and Export Act (21 U.S.C. 951 et. seq.), or the Maritime Drug Law Enforcement Act (46 U.S.C. App. 1901 et. seq. and 18 U.S.C. section 924(c)(2)).

- (3) Distribute - Delivering, other than by administering or dispensing a controlled substance, as defined in 21 U.S.C. section 802(11).
  - (4) Manufacture - (21 U.S.C. section 802) The production, preparation, propagation, compounding, or processing of a drug or other substance either directly or indirectly by extracting from substances of natural origin, by independent means of chemical synthesis, or by a combination of extraction and chemical synthesis, and includes any packaging or repackaging of the substance or labeling or relabeling of its container. This term does not include the preparation, compounding, packaging, or labeling of a drug or other substance in conformity with applicable State or local law by a practitioner as incident to his/her administration, or dispensing of such drug or substance in the course of his/her professional practice. The term "manufacturer" means a person who manufactures a drug or other substance (21 U.S.C. section 802(15)).
  - (5) Importation - With respect to any article, any bringing in or introduction of such article into any area, whether or not such bringing in or introduction constitutes an importation within the meaning of the tariff laws of the United States, as defined in 21 U.S.C. section 951(a)(1).
  - (6) Controlled Substance - A drug or other substance or immediate precursor that is included in schedules I, II, III, IV, and V of 21 U.S.C. section 802.
  - (7) Schedules of Controlled Substances - Refer to 21 CFR 1308.11 et. seq. for list of controlled substances.
  - (8) Violent Crime - Any Federal crime of violence.
  - (9) Statutes relating to Federal Drug Trafficking Violations.
    - (a) Title 21 U.S.C. Sections 841 et. seq., Unlawful manufacture and distribution of controlled substances.
    - (b) Title 21 U.S.C. Sections 951 et. seq., Unlawful importation and shipment of controlled substances.
- c. Title 18 U.S.C. Section 924(c) Investigations Relating to Drug Trafficking Crimes.
- (1) Drug Trafficking Crimes. For the purpose of this section of law, "drug trafficking crimes" means any felony violation that is prosecutable in a Federal court involving the distribution, manufacture, or importation of any controlled substances. Possession of drugs with the intent to illegally distribute, manufacture, or import and attempts or conspiracies to illicitly distribute, manufacture, or import drugs are also included. ATF's enforcement efforts are most frequently directed to the DISTRIBUTION or possession with the intent to DISTRIBUTE controlled substances as defined in 21 U.S.C. section 802. (See Schedule of Controlled Substances, 21 CFR section 31308.11 et. seq.)

(2) Investigation Targets. Where appropriate special agents shall identify and investigate narcotics dealers or organizations using or carrying firearms. (b) (7)(E)

(b) (7)(E)

(3) Special Agent Procedures. Special agents and their supervisors shall keep abreast of all significant case law that may affect the methods used to prove violations of 18 U.S.C. section 924(c) in their judicial districts and nationwide. Upon receipt of information that meets current case law standards and the criteria set forth herein, (b) (7)(E)

(b) (7)(E)

(a) (b) (7)(E)

(b) (b) (7)(E)

(c) (b) (7)(E)

(d) (b) (7)(E)

(e) (b) (7)(E)

(f) (b) (7)(E)

(4) Supervisor/Management Control at Field Level.

(a) The supervisor is responsible for the special agent's adherence to the standard criteria. Special emphasis shall be placed (b) (7)(E) (b) (7)(E) in addition, when the investigation is of a single defendant rather than



multiple defendants of an armed drug trafficking organization or gang, the supervisor shall ensure that the suspect merits Federal attention and this is an appropriate use of ATF's resources.

- (b) The RAC/GS is responsible for ensuring that resources, investigative policies, procedures, and techniques are applied correctly and appropriately.
- (5) Authorizations for the use of ATF funds to purchase narcotics in an investigation are as follows:
- (a) For an (b) (7)(E) purchase of a substance alleged to be narcotics, the approval of the RAC/GS is required when ATF funds are to be expended. All funds shall be expended in accordance with ATF O 3251.1, Expenditure of Funds for Investigative Purposes.
  - (b) The SAC can authorize narcotics purchases in any amount (b) (7)(E)
  - (c) In an investigation with multiple suspects, the SAC can authorize agent cashier expenditures (b) (7)(E) (b) (7)(E)
  - (d) Narcotics purchases, single or cumulative, (b) (7)(E) (b) (7)(E) require the approval of the appropriate Deputy Assistant Director (DAD), Field Operations (FO).
  - (e) Requests to exceed (b) (7)(E) cumulative agent cashier funds in a firearms/narcotics investigation require the approval of the appropriate DAD (FO).

d. Narcotics Evidence. For proper handling/processing and storage procedures/requirements of narcotics evidence refer to ATF O 3400.1C, Property Taken Into Bureau Custody, chapter W.

(1) Special Agent Procedures for the Purchase or Retention of Narcotics.

- (a) The case agent is responsible for ensuring the (b) (7)(E) vehicle, if applicable, are searched for contraband prior to the informant's purchase of physical evidence or gathering of recorded evidence.
- (b) (b) (7)(E) (b) (7)(E) and the information shall be placed permanently in the field office investigative file.
- (c) Surveillance shall be maintained when a special agent or informant is making contact with a suspected narcotics trafficker (b) (7)(E) (b) (7)(E)

(b) (7)(E)

RAC/GS approval is required if (b) (7)(E)

(b) (7)(E)

addition, the RAC/GS shall notify the ASAC (b) (7)(E)

(b) (7)(E)

(d) The case agent is responsible for ensuring (b) (7)(E)

(b) (7)(E)

(b) (7)(E) The evidence shall be turned over to the control agent who shall maintain custody of the evidence until it is processed and stored (b) (7)(E)

(b) (7)(E)

(e) Subsequent to completion of an undercover purchase or execution of a search warrant that results in the retention of narcotics, the evidence shall be returned to the field office, where it shall be field tested and processed as soon as possible. Transmittal to a laboratory for analysis and identification should be accomplished if warranted.

(f) The case agent is responsible for ensuring the security of the narcotics is constantly maintained. Narcotics evidence shall not be left unattended for any period of time while in the custody and control of the special agent.

(2) Disposal of Narcotics Evidence.

(a) Emphasis must be placed on the disposing of narcotics as soon as they are no longer needed as evidence. The determination to dispose of narcotics evidence may be made administratively when evidence has been purchased. The prosecutor may determine that the evidence may be disposed of by concluding that the case is not prosecutable or that adjudication is complete and the time for filing an appeal has elapsed.

(b) In those cases in which an appeal has been filed, the case agent will contact the prosecutor every 90 days to ascertain whether the appellate court has ruled on the case. The circumstances of the contact should be noted on the case management log in (b) (7)(E)

(c) Upon final adjudication, approval to destroy purchased narcotics will be requested from the RAC. After approval has been received, controlled substances shall be destroyed by burning in a suitable incinerator, complying with State and local environmental requirements. Certain drug processing chemicals and byproduct chemicals require special disposal methods. Contact should be made with the local DEA or Environmental Protection Agency

(EPA) office to determine proper disposal methods. The destruction of all narcotics evidence should be witnessed by two special agents. (Refer to ATF O 3400.1C, Property Taken Into Bureau Custody, for additional information pertaining to the release and disposition of property.)

e. Coordination of Narcotics Information Referrals.

- (1) Arrests made pursuant to violations of 18 U.S.C. section 924(c) inevitably produce information regarding drug sources. Receipt of information concerning ONLY narcotics violations shall be referred to DEA, HSI, Federal Bureau of Investigations (FBI), or State/local agencies. Information received concerning a source of narcotics supply that utilizes firearms necessitates ATF establishing close coordination with these agencies. This coordination allows the agency with 21 U.S.C. authority to determine the entire scope of an illegal drug trafficking organization.
- (2) Upon receipt of information concerning narcotics violations, the special agent will inform the RAC/GS. The special agent shall notify DEA or the appropriate agency in accordance with ATF O 3270.10C paragraphs 21, 22, and 23, and document the referral in the management log.
- (3) If the information being referred was derived from a (b) (7)(E) (b) (7)(E) the agency may request use of that individual. If the decision is made to allow the (b) (7)(F) (b) (7)(E) (b) (7)(E) coordination is to be established to ensure ATF involvement if firearms violations are subsequently identified during the other department's narcotics investigation.
- (4) Upon receipt of information involving the "drug connection" of an ATF suspect alleged to use/carry firearms, the special agent shall notify DEA or the appropriate agency and allow for the establishment of a joint investigation.

f. Title 18 U.S.C. Section 924(c) Investigations Related to Crimes of Violence.

- (1) For purposes of this section of law, a crime of violence is any felony violation of Federal law that has as an element, the use, attempted use, or threatened use of physical force against the person or property of another, or that involves a substantial risk that physical force against the person or property of another may be used in the course of committing the offense.
- (2) Coordination must be established with other agencies that are also responsible for enforcement efforts relating to Federal crimes of violence. This will ensure the proper notification to ATF whenever a firearm is used during or in relation to a crime of violence when a violation of 18 U.S.C. section 924(c) and/or other firearms or explosives violations can be charged.

- (3) Examples of Federal Crimes of Violence.
- (a) Title 18 U.S.C. Section 111, Assaulting, resisting, or impeding certain officers or employees.
  - (b) Title 18 U.S.C. Section 112, Protection of foreign officials.
  - (c) Title 18 U.S.C. Section 844(f), Arson.
  - (d) Title 18 U.S.C. Section 1201, Kidnapping.
  - (e) Title 18 U.S.C. Section 1203(a), Hostage taking.
  - (f) Title 18 U.S.C. Section 1951, Hobbs Act.
  - (g) Title 18 U.S.C. Section 2112, Robbery of personal property of the United States.
  - (h) Title 18 U.S.C. Section 2113, Bank robbery and incidental crimes.
  - (i) Title 18 U.S.C. Section 2115, Post office break in.
  - (j) Title 18 U.S.C. Section 2117, Breaking or entering carrier facilities. (May be useful in investigating interstate theft cases.)
  - (k) Title 18 U.S.C. Section 2118, Robberies and burglaries involving controlled substances.
  - (l) Title 18 U.S.C. Section 2119, Carjacking.

**(b) (7)(E)**

- (4) Investigative Targets. Title 18 U.S.C. section 924(c) investigations relating to crimes of violence should primarily focus on violent criminals who commit armed robberies, home invasions, and other armed violent crime when there is a federal interest, where the offenses have taken place in multiple jurisdictions or where no applicable state law exists.

63. TITLE 18 U.S.C. SECTION 924(e) INVESTIGATIONS.

- a. A defendant with three prior convictions for violent felonies, (e.g., burglary, arson, extortion, or crimes involving conduct that presents a serious potential risk of physical injury to another), and/or serious drug trafficking offense, or both, who receives or possesses a firearm is eligible for enhanced sentencing under this section. The predicate offenses must be committed on separate occasions. See 18 U.S.C. section 924(e) for elements of the offense and the definitions of qualifying convictions.
- b. A person must be convicted under 18 U.S.C. section 922(g)(1) in order for the enhanced sentencing provisions of 924(e) to be applicable.

**(b) (7)(E)**

**(b) (7)(E)**

64. DUAL PROSECUTION. On some occasions defendants may have been prosecuted under a State or local jurisdiction for the same set of facts or similar violations prior to any Federal indictment. Often there is greater impact to pursue a Federal prosecution as well. The DOJ has a dual prosecution (or "*petite*") policy requiring the U.S. Attorney's office to apply for a petit waiver under such circumstances. The case agent should advise and coordinate with the U.S. Attorney's office and make them aware of the potential need for such waiver as soon as possible.

65. ACCEPTANCE OF ADOPTED CASES (FEDERAL-STATE ASSISTANCE CASES).

a. For purposes of this chapter, there are three types of investigation:

- (1) Proactive – Any case opened by ATF, or jointly with any other agency, where the investigation focuses in whole or in part on active and ongoing violations of law.
- (2) Reactive – Any case opened by ATF or any other agency where the incident or suspected violation being investigated has already occurred.

NOTE: A reactive case may be re-designated as a proactive case if the investigation is developed to focus on new or additional violations or where new criminal activity by the suspect becomes part of the focus of the investigation.

- (3) Adoptive – Any case where an arrest by a State or local agency has already occurred and ATF accepts that case for processing into the Federal system and presentation to the US Attorney's Office. Adoptive cases involve no more than collecting police reports and court documents, interviewing defendants, tracing and test-firing firearms; and determining interstate nexus.
  - (a) An adoptive case may be re-designated as a reactive case if the case agent develops additional defendants, new witnesses, and new evidence; identifies new violations; or employs additional investigative techniques such as search warrants, investigative grand jury, agent cashier, electronic surveillance, undercover, evidence purchases, third party interviews, and re-examination of the actual crime scene or arrest location.
  - (b) Any agent can work on a proactive or reactive investigation; however, there are limitations on who can work an adoptive case. This policy is not a prohibition on adoptive cases but rather a process to ensure that adoptive cases are properly managed as part of a larger office strategy.

**(b) (7)(E)**

(b) (7)(E)

1

(b) (7)(E)

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4 The local agency is requesting assistance due to lack of applicable felony laws at the State level (e.g., no State laws regarding sawed-off shotguns or machineguns, no State laws about various categories of prohibited persons) and the case will be accepted by the U.S. Attorney's Office.

b. Procedural Guidelines for the Acceptance of an Adopted Case by a Special Agent.

- (1) Special agents are not to consider the acceptance of a criminal case when they have knowledge or reason to believe that the defendant's constitutional rights have been violated by the Federal, State, or local officers in their procurement of the evidence involved.
- (2) Upon receiving a request to accept a firearms case from a State or local agency, special agents are to obtain complete information relative to the facts and circumstances involved but are not to make any commitment of formal acceptance until the preliminary findings reported by the local officers are evaluated and verified. In addition, the special agent must be assured that the case being referred does, in fact, involve a Federal violation and that evidence to prove each element of the violation is available.
- (3) Any vehicle or other property seizures related to adopted cases should be seized in accordance with ATF O 3400.1C, Property Taken Into Bureau Custody. Special agents are reminded that there are specific time frames that apply to the initiation of the administrative forfeiture of firearms and ammunition. (Refer to ATF O 3400.1C, Property Taken Into Bureau Custody, for information on seized property.)
- (4) In accepting cases, special agents are not to seize any firearms for Federal forfeiture that the seizing agency desires to keep for official use. In such cases the investigating special agent will coordinate with the U.S. Attorney's office for concurrence and will confirm that the seizing agency is forfeiting the firearm pursuant to their authority.
- (5) When evidence in a referred case is retained by an outside agency and that evidence may be needed in Federal court, the

special agent must notify that agency in writing to hold the evidence. Upon completion of all judicial proceedings, the special agent will notify that agency in writing that they may dispose of the evidence. Exhibit 1 is an example of a Notice to Maintain Custody of Property for a Pending ATF Investigation; Exhibit 2 is an example of a Notice to Maintain Custody of Property for a Pending State Prosecution; Exhibit 3 is an example of a Notice to Dispose of Property in Accordance with Agency Policy.

- (6) Ensure firearms from all adopted cases are traced and are test fired and that the shell casings and projectiles are subjected to NIBIN evidence handling procedures found in ATF O 3400.1C, Property Taken Into Bureau Custody and ATF B 3315.1 Ballistic Information Submissions For NIBIN Entry. Special agents should also review FTB Bulletin 2009-376 – NIBIN/IBIS Test Firing Safety Precautions.
- (7) All defendants should be fully debriefed when legally possible. Emphasis should be placed on the source of the defendant's firearms and illegal firearms trafficking sources in the community.

66 - 70 RESERVED

## CHAPTER E. FIREARMS TRAFFICKING

71. BACKGROUND. Firearms-related violence is one of this Nation's primary concerns. ATF, in response to this problem and because illegal firearms trafficking investigations often exceed the jurisdictional boundaries, expertise, and resources of other State, local, and Federal agencies, employs a comprehensive national firearms trafficking effort. This effort is designed to reduce the violent criminal misuse of firearms by reducing the illegal supply of firearms available to violent criminals, gang offenders, and juveniles. It complements ATF's long standing efforts to reduce armed violent crime through direct investigation and prosecution of armed violent criminals. Striking a balance between the two approaches will best serve both efforts. Analyzing patterns in the trace results of firearms recovered during the arrests of armed violent criminals and criminal organizations will identify the illegal firearms trafficking channels that would otherwise continue to supply firearms to criminals.
72. OBJECTIVES. The objectives of the firearms trafficking strategy are to reduce armed violent crime rates by identifying, investigating, and prosecuting those illegal firearms traffickers who make firearms available to violent offenders and prohibited persons and by interdiction efforts to prevent illegal firearms transfers. This is accomplished through the use of the Bureau's unique assets (e.g., eTrace, the NTC, firearms licensing, NIBiN, firearms import information, inspection information, and the National Firearms Registration and Transfer Record) to focus efforts and limited resources in areas where the maximum impact can be achieved. This order defines policy parameters. For information on interdiction techniques as well as a wide array of investigative techniques that can be employed in firearms trafficking investigations consult section III of ATF Publication 3317.1, ATF Firearms Trafficking Investigation Guide (November 2009).
73. DEFINITIONS.
- a. The term "firearms trafficking" does not appear in the Gun Control Act of 1968 (as amended). For the purpose of enforcement policy implementation ATF has defined firearms trafficking as the criminal diversion of firearms out of lawful commerce and into the hands of prohibited persons and violent offenders, for the primary purpose of profit, prestige (within the criminal community), or power.
  - b. The term "source" refers to the place where the trafficker diverted the firearm(s) from legitimate commerce/activity for criminal purposes.
  - c. The term "market" refers to the intended destination of illegally trafficked firearms for delivery to criminals or others for use in illegal activity.
  - d. The term "intrastate" refers to illicit trafficking in which the source (diversion by traffickers) and market (actual or intended possessors) are within the same State.
  - e. The term "interstate" refers to illicit trafficking in which the source and market are in different States.
  - f. The term "international" refers to illicit trafficking in which the source and market are in different countries.



Note: A thorough vocabulary of terms and definitions relating to firearms trafficking can be found in ATF Publication 3317.1, ATF Firearms Trafficking Investigation Guide (November 2009).

74. JURISDICTION.

- a. The GCA is the Federal legislation directed toward firearms-related violence and illegal firearms trafficking. In the preamble of the GCA, Congress clearly states that this Nation's policy is "to provide support to Federal, State, and local law enforcement officials in their fight against crime and violence." ATF derives its jurisdiction for the investigation of illegal firearms trafficking from the GCA and its various statutory enhancements and amendments that have been enacted through the passage of a number of crime bills, such as the Violent Crime Control and Law Enforcement Act of 1994. Statutes particularly useful in the investigation of illegal firearms trafficking violations include, but are not limited to, 18 U.S.C. sections 922 and 924. Additionally, 18 U.S.C. section 2 (aiding and abetting), 371 (conspiracy), 1715 (unlicensed person shipping concealable firearms through the U.S. mail), 1001 (false statements and entries, e.g., false entries in dealer records or false statements to special agents or industry operations investigators), and 2117 (breaking and entering at a carrier facility) are also useful in illegal firearms trafficking investigations. For a detailed description of the various statutes and their elements of proof, see section IX of ATF Publication 3317.1, ATF Firearms Trafficking Investigation Guide (November 2009).
- b. The National Firearms Act, 26 U.S.C. Chapter 53, also provides several statutes that are useful in illegal firearms trafficking cases involving the unlawful transfer/trafficking of NFA weapons.
- c. Many State and local bodies of government have enacted ordinances and statutes with civil and criminal provisions designed to limit access to firearms by juveniles, prohibited persons, and potential illegal firearms traffickers. Frequently, however, the presence of strong State or local ordinances and statutes will result in creating an illegal secondary market fed by illegal firearms traffickers who will unlawfully bring firearms to that area from a market area for unlawful resale/transfer.

75. GENERAL INVESTIGATIVE PROCEDURES, DUTIES, AND RESPONSIBILITIES.

- a. Special Agent In Charge (SAC) Responsibilities.
  - (1) Each SAC should, at his/her discretion, meet with his/her respective U.S. Attorneys and reaffirm the importance of ATF's illegal firearms trafficking efforts, ensure their support and participation, and keep them apprised of new developments regarding trafficking trends and patterns within the field division. (This duty may be delegated to an assistant special agent in charge (ASAC), RAC, or G/S.) SACs are encouraged to bring a representative from their division counsel to this meeting. All SACs should encourage their respective U.S. Attorneys to require that before a defendant is allowed to enter a guilty plea in any firearms violation case, the defendant must be debriefed by an

ATF special agent for illegal firearms trafficking intelligence. AUSAs who are unfamiliar with the prosecution of illegal firearms trafficking cases should be encouraged to contact division counsel for more insight into proving these cases in court. Should the U.S. Attorney's office request training on illegal firearms trafficking, inquiries as to available training or training materials should be directed to the Firearms Trafficking and Interdiction Branch, ATF Headquarters.

- (2) Each SAC should, at his/her discretion, meet with his/her law enforcement counterparts at the State/local level to coordinate illegal firearms trafficking efforts. (b) (7)(E)

(b) (7)(E)

(b) (7)(E) Should any law enforcement officials request training on illegal firearms trafficking, inquiries for assistance should be directed to the Firearms Trafficking and Interdiction Branch at ATF Headquarters or the Law Enforcement Assistance Branch at the NTC.

- (3) Each SAC shall ensure that all firearms are submitted for tracing by ATF or the recovering agency. (b) (7)(E)

(b) (7)(E)

While exceptions to the mandatory tracing policy apply during certain investigations, no investigation involving recovered firearms should be closed without all recovered firearms having been traced. Each SAC should ensure that all law enforcement agencies within their field division are aware of eTrace and work to increase the number of agencies with eTrace accounts. This responsibility may be delegated to ASACs or GS/RACs where appropriate. Should any law enforcement officials request assistance in establishing a system to more efficiently trace firearms or training related to firearms identification, inquiries for assistance should be directed to the Firearms Trafficking and Interdiction Branch at ATF Headquarters or the Law Enforcement Assistance Branch at the NTC.

- (4) Each SAC shall ensure that evidentiary firearms, test fires, or fired ammunition components related to ATF investigations that are suitable for NIBIN entry are submitted to the ATF Laboratory or ATF NIBIN partner, thus enhancing the NIBIN database and increasing the likelihood of ballistic matches. Firearms submitted to NIBIN should be test fired by laboratory personnel, and the submission of the firearm should be in accordance with evidence handling procedures found in ATF O 3400.1C, Property Taken Into Bureau Custody. For further information see ATF B 3315.1, Ballistic Information Submission for NIBIN Entry.
- (5) Each SAC will designate one ASAC in his/her field division to be the firearms trafficking coordinator (FTC). Upon any change in designation of the FTC, the SAC shall provide the new FTC

designation information to the Chief, Firearms Operations Division via memorandum.

b. ASAC/FTC Duties And Responsibilities Are As Follows:

- (1) The FTC should continuously assess illegal firearms trafficking trends within his/her field division utilizing (b) (7)(E) (b) (7)(E) Violent Crime Analysis Branch studies and products, State/local police department intelligence, and Field Intelligence Group (FIG) intelligence and continually reassess the proper course of action to address the problem (b) (7)(E)

(b) (7)(E)

- (2) Because of the inherently interstate/interdivisional nature of firearms trafficking it is imperative that FTCs in corresponding source and market areas maintain an open dialogue regarding the best venue for firearms trafficking cases impacting their division. Their discussions should include applicable Federal charges, U.S. Attorney's office prosecutorial thresholds, the number of firearms purchased in the source area, the number of potential co-conspirators in the source area, prior intelligence gathered on co-conspirators identified in the source area, prior intelligence gathered on the possessor(s), and the existence of recoveries in other field divisions. If the FTCs in the respective source and market field divisions determine that the best venue for prosecution is the source field division, the market area FIG should forward the lead via a general case number to the source area FIG for assignment to the appropriate field office in the source area.

- (3) The FTC should serve as the primary liaison to other State, local and Federal law enforcement agencies that participate in (b) (7)(E) (b) (7)(E) This responsibility may be re-delegated to RACs of outlying field offices and GSs of local offices with a dedicated firearms trafficking mission; however, the ASAC must remain engaged and ensure proper coordination.

- (4) The FTC should coordinate the dissemination and follow up on all outgoing and incoming collateral requests or leads regarding illegal firearms trafficking from other field divisions, industry operations, or the NTC. This responsibility will be through the use of the FIG and may be re-delegated to the FIG supervisor; however, the ASAC must remain engaged and ensure appropriate attention is given to collateral requests and referrals. Because collateral requests and leads in firearms trafficking investigations relate to the ongoing means by which violent criminals acquire firearms, these requests should be prioritized and pursued with a sense of urgency. Should problems regarding collateral response time on illegal firearms trafficking leads develop between field

divisions, the involved FTCs should make contact and resolve the situation.

- (5) The FTC should ensure that (b) (7)(E) (b) (7)(E) by one or more first line supervisors responsible (b) (7)(E) (b) (7)(E) RACs in outlying offices should review (b) (7)(E) (b) (7)(E) In field division cities with multiple groups, the FIG may (b) (7)(E) (b) (7)(E) Referrals can be made through N-Force with respect (b) (7)(E) (b) (7)(E) it is highly recommended that first line supervisors with a firearms trafficking mission (b) (7)(E) (b) (7)(E) (b) (7)(E) Review of this data by GSs will likely (b) (7)(E) (b) (7)(E) (b) (7)(E) The SAC may authorize only those group supervisors without a firearms enforcement mission, e.g., an arson/explosives group to (b) (7)(E) email from the NTC.

(6) (b) (7)(E) (b) (7)(E) (b) (7)(E)

- (7) The FTC should collaborate on firearms enforcement efforts with the DIO within the field division (e.g. (b) (7)(E) (b) (7)(E) (b) (7)(E) Continuous coordination between law enforcement and industry operations is an important part of ATF's national firearms enforcement strategy. All information referred to industry operations should be forwarded

via an ATF F 5000.21, Referral of Information. (Note: The requirement to document the referral does not preclude passing the information to industry operations through other forms of communication for the sake of timeliness.)

c. RAC/GS Duties And Responsibilities:

- (1) The RAC/GS should ensure that all special agents under his/her supervision understand that in firearms trafficking investigations public safety and officer safety are their primary overriding priorities. In addition, the RAC/GS will ensure that they are aware of and adhere to their responsibilities for the proper coordination of illegal firearms trafficking intelligence and investigations, the proper reporting and coding procedures in (b) (7)(E) the importance of firearms tracing, and appropriate use of Suspect Gun and Suspect Name Databases at the NTC.
- (2) The RAC/GS should review the (b) (7)(E) (b) (7)(E) chapter.
- (3) The RAC/GS should ensure that all illegal firearms trafficking information developed through the course of any firearms investigation is appropriately disseminated and/or followed up.
- (4) The RAC/GS will ensure that proper deconfliction procedures are being followed during all phases of a firearms trafficking investigation.

d. Special Agent Duties And Responsibilities:

- (1) Deconfliction: The case agent, upon identifying an individual suspected of illegal firearms trafficking or an address associated with illegal firearms trafficking activity, is to conduct a records check on the individual or address in both (b) (7)(E) to determine if an open investigation already exists. Special agents should also utilize deconfliction systems that are routine to their areas of operation or appropriate for the type of investigation, such as (b) (7)(E)

(b) (7)(E)

- (a) Should (b) (7)(E) checks reveal no open investigations on the individual or address in question and the special agent intends to open an investigation, (b) (7)(E)

(b) (7)(E)

- (b) Should (b) (7)(E) checks reveal an open investigation exists relative to the suspect individual or address, the special agent is to contact the case agent and

coordinate investigative efforts. Coordination of efforts and sharing of intelligence are essential to special agent safety, effective investigations, and the efficient use of resources.

- (c) When recovered firearms trace data is being developed for potential trafficking leads in a market area and are from a source area within another field division, the special agent has an obligation to fully deconflict between source and market areas as part of the initiation of the investigation. This necessarily requires that investigations in source areas that identify members of suspected trafficking organizations make full and complete use of (b) (7)(E)

(b) (7)(E)

- (2) The case agent is responsible for properly coding investigations in (b) (7)(E) so that the proper tracking of interstate, intrastate, and international firearms trafficking cases. (b) (7)(E)

(b) (7)(E)

- (3) Special agents should attempt to debrief, when legally possible, all arrested defendants regarding their knowledge of illegal firearms trafficking activities. (b) (7)(E)

(b) (7)(E)

- (4) Special agents should use all resources available to determine if firearms suspected of being illegally trafficked have been recovered in crimes. (b) (7)(E)

(b) (7)(E)

- (5) Special agents who are unfamiliar with all of the investigative techniques that may be employed during various types of firearms trafficking investigations should refer to ATF P 3317.1, Firearms Trafficking Investigation Guide (November 2009).

76. (b) (7)(E) OF PISTOLS AND REVOLVERS. (b) (7)(E)

(b) (7)(E)

**(b) (7)(E)**

a. **(b) (7)(E)**

b. Use of **(b) (7)(E)**  
**(b) (7)(E)**  
**(b) (7)(E)** should be reviewed by the respective field office and/or intelligence group to determine whether the **(b) (7)(E)** warrant further investigation. Consideration should be given to **(b) (7)(E)** and any other information important to the reviewer's geographic area or responsibility.

c. Filing And Retention Procedures.

- (1) Any **(b) (7)(E)** forms received directly from an FFL by field divisions and field offices (other than forms retained as documentary evidence in a criminal investigation) MUST be faxed, emailed, or mailed to the NTC no later than the close of business on the day the form is received. (Refer to ATF F 3310.4 for proper mailing address and fax number). **(b) (7)(E)**

**(b) (7)(E)**

- (2) Copies of those **(b) (7)(E)** forms that have been forwarded to the NTC should not be kept at the field office or field division level unless they relate to a specific criminal investigation. In this event, the following filing and retention procedures outlined in paragraph 76c(3) should be followed.
- (3) Any **(b) (7)(E)** forms (whether original or copies) retained in relation to a specific criminal investigation, should be documented in the appropriate investigative case file and managed in the same manner as other criminal investigation evidence and records.
- (a) Original ATF F 3310.4, Report of **(b) (7)(E)** or Other Dispositions of Pistols and Revolvers (and similar forms) retained from an FFL in relation to a specific criminal investigation should be recorded, maintained and disposed of as documentary evidence, in accordance with ATF O 3400.1C, Property Taken Into Bureau Custody.

- (b) Copies of ATF F 3310.4, Report of (b) (7)(E) or Other Dispositions of Pistols and Revolvers (and similar forms) obtained from an FFL in relation to a specific criminal investigation should be recorded, maintained in the investigative file, and disposed of in accordance with ATF O 1340.5, Records Management Program.
  - (c) Any (b) (7)(E) forms being purged must be shredded on ATF equipment approved for the destruction of law enforcement sensitive documents or by an approved, on-site document destruction contractor.
- d. Investigative Activity Reporting. When opening a formal investigation as a result of (b) (7)(E) information, or when (b) (7)(E) information is used during a formal investigation, the special agent shall fully document the use of (b) (7)(E) information within (b) (7)(E) using applicable procedures.
- e. Coordination With Regulatory Enforcement.
- (1) If a licensee mistakenly forwards any ATF F 3310.4, Report of (b) (7)(E) or Other Dispositions of Pistols and Revolvers (or similar forms) to any field office, the office shall immediately forward the form(s) to the NTC. The industry operations field office responsible for the area in which the reporting licensee is located shall be notified, and that office shall contact the FFL to advise him/her that ATF F 3310.4, Report of (b) (7)(E) or Other Dispositions of Pistols and Revolvers (or similar forms), should be transmitted to the NTC in accordance with the instructions on the form.
  - (2) If during the review of any (b) (7)(E) forms by ATF law enforcement personnel it is determined that a licensee may be committing noncriminal errors, omissions, or violations, this information should be referred to the appropriate industry operations area supervisor.
  - (3) Referrals between law enforcement and industry operations shall be made on an ATF F 5000.21, Referral of Information. Any pertinent information that cannot be placed on the referral form may be attached to the referral form.

77. FIREARM TRANSFERS. A firearm transfer occurs when one person disposes of a firearm to another. Most often, a firearm transfer represents legitimate activity. Certain transfers, however, are prohibited by law or may be connected to illegal activity. (b) (7)(E)

(b) (7)(E)

- a. Uncontrolled Firearms Transfers.
- (1) An uncontrolled firearm transfer occurs when an agent becomes aware of a suspicious firearm transaction, but does not actively



participate in the transfer, and none of the firearms involved are owned or provided by the Government. ATF agents may become aware of a suspicious firearm transaction prior to the transfer taking place or after the transfer has concluded.

- (2) Should a Federal firearms licensee contact an agent or industry operations investigator with concerns regarding a suspicious person or transaction prior to consummating a firearm transfer, the FFL should be directed by the agent or industry operations investigator to follow applicable law. FFLs should also be advised that they are under no obligation to sell, pawn, or otherwise transfer firearms under circumstances they feel are suspicious, and that they should always use their best judgment in determining whether or not to transfer a firearm. Except as expressly provided below, ATF personnel should never affirmatively advise an FFL to sell or transfer a firearm. The decision of whether or not to sell/transfer should be made by the FFL in the exercise of his or her own best judgment, after he or she has taken into account the relevant law and the facts and circumstances presented.
- (3) If during the course of an inspection an industry operations investigator witnesses a suspected straw purchase or other illegal transfer, the industry operations investigator will verbally refer the information to the local criminal enforcement office and his or her area supervisor as expeditiously as possible, and follow up with a written referral.
- (4) Even when a transfer of a firearm appears suspicious, the transfer may not be illegal and cannot be prevented by arrest or seizure unless a legal basis exists to do so. In cases where a legal basis for arrest or seizure does not exist at the outset, the investigating agent must continually assess whether additional information being gathered changes the analysis. As part of that process, the investigating agent should discuss emerging fact patterns and developments with his or her RAC or GS and division counsel and seek additional analysis from the FIG. Every effort must be made to expeditiously confirm the legality or illegality of suspicious transfers, and to respond appropriately with public safety as the priority.
- (5) If a legal basis to make an arrest or seize the firearm does not exist, the agent should not interfere with the transfer. However, if there is reasonable suspicion to believe that a violation of Federal law has occurred, the agent may stop the purchaser/transferee to question him or her regarding the nature of the transaction, and/or take other appropriate actions to gather additional evidence. In determining whether there exists a sufficient legal basis to make an arrest or seize the firearm, agents must rely on their training, knowledge, and experience to balance the interests of public safety with the rights of persons who may be acquiring firearms for lawful purposes.

- (6) When an agent has a legal basis to make an arrest or seize the firearm, the agent, considering primarily public and officer safety, must take all reasonable steps to prevent the firearm's criminal misuse by: (1) (b) (7)(E)

(b) (7)(E)

(b) (7)(E)

If continuous on-site

physical surveillance is used, such surveillance may not cease until enforcement action is taken.

- (7) As a reminder, interdiction or other forms of early intervention may be necessary in order to prevent the criminal acquisition, trafficking, and misuse of firearms. Perfecting a criminal prosecution must never be more important than protecting public safety.

b. Government-Controlled Firearm Transfers.

- (1) A Government-controlled firearm transfer (also known as a "controlled delivery") occurs where the Government actively participates in the transfer of a firearm to a person believed to be unlawfully acquiring or possessing the firearm. While a (b) (7)(E) (b) (7)(E) is an appropriate law enforcement technique used in criminal investigations of many types, all ATF agents utilizing this technique must develop a viable plan to control and continuously monitor all transferred firearms in order to recover them and prevent their criminal misuse.

- (2) The firearm(s) involved in a controlled delivery may or may not be owned by the government (for example, a controlled delivery might involve an FFL-owned firearm that the government modifies with a tracking device). Should an FFL assisting ATF in a firearms trafficking investigation request some form of immunity or indemnification related to participation in the specific Government-controlled firearms transfer, the FFL's request must be referred to the U.S. Attorney's office. The request and referral must be coordinated with field division management, division counsel and the AUSA, and documented in the ATF management log. (b) (7)(E)

(b) (7)(E)

(b) (7)(E)

including

the requirement that agents first obtain approval of the SAC.

- (3) Every Government-controlled firearm transfer (b) (7)(E)

(b) (7)(E) must be documented on (b) (7)(E)

(b) (7)(E)

(b) (7)(E)

their potential criminal misuse. At

no time may a firearm involved in a government-controlled firearm transfer leave ATF's "control." (b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (7)(E) ATF is required for a firearm to be considered within ATF's control. Any exceptions to this policy must be approved in writing and in advance of the operation by the Director. In the event that a firearm used in a controlled delivery is not recovered as planned, the SAC must immediately call the DAD and explain the circumstances and follow up with a memorandum within 24 hours of the event to the DAD.

- (4) ATF bears the dual responsibilities of protecting the public from violent crime while ensuring that lawful firearm ownership and commerce are not unnecessarily impeded. The issues are complex; balancing these competing priorities may be difficult. Accordingly, questions about how to proceed in a particular situation should be carefully vetted with the RAC/GS and, when necessary, division management, division counsel, and the U.S. Attorney's office to ensure that sound investigative choices are made and approved at the appropriate level.

78.

(b) (7)(E) INVESTIGATIONS - AUTHORIZATIONS AND REPORTING. (b) (7)(E)

(b) (7)(E)

- a. Upon obtaining verbal authorization from their RAC/GS, special agents may attend (b) (7)(E) for the purpose of observing and detecting potential violations of the Federal firearms laws that merit further investigation. When seeking this authorization, the special agent shall advise the G/S or RAC of the name and location of the (b) (7)(E) or (b) (7)(E) as well as the date the special agent plans to attend.
  - (1) It is not required that an investigation be opened to attend a (b) (7)(E) (b) (7)(E) for the purpose of detecting potential violations; however, once a determination has been made that a potential violation exists, an investigation shall be opened in (b) (7)(E) (b) (7)(E).
  - (2) If authorization is granted and attendance at a (b) (7)(E) or (b) (7)(E) (b) (7)(E) leads to the determination that an investigation of a subject known to be a licensed firearms dealer is warranted, SAC authorization to conduct a licensee investigation must be obtained. See 54 B, paragraph 30 of this order for authorization procedures.
  - (3) If authorization is granted and attendance at a (b) (7)(E) or (b) (7)(E) (b) (7)(E) leads to the determination that an investigation of a subject who is not a licensed firearms dealer is warranted, an

investigation shall be opened in (b) (7)(E) within 5 days of attendance of the event.

- b. The SAC is the approving official for all significant/sensitive enforcement activities such as issuing notices, summonses, or subpoenas, making arrests, or executing warrants on the (b) (7)(E) or (b) (7)(E) premises or their adjacent parking lots. If exigent situations require immediate action and SAC approval has not been obtained, such actions should be taken only when there is a potential threat to public safety, when subsequent action is impractical (e.g., an armed, violent felon). If immediate arrest or seizure is necessary to preserve evidence or protect public safety, every consideration should be given to taking such action in areas of minimal attendance (e.g., parking lots or outside of exhibit halls) to reduce the potential for injury to civilians. The SAC shall be notified as soon as possible of any such enforcement action with a follow-up notification to the affected DAD (FO).
- c. When appropriate and if doing so would not jeopardize the operational security of any investigation, the special agent should consider advising the (b) (7)(E) and premises owner of the presence of law enforcement personnel.
- d. (b) (7)(E) the special agent should consult with division counsel regarding (b) (7)(E)
- (b) (7)(E)
- e. Pre-briefing activities are an important means to provide thorough instruction and direction to all participants. It is particularly important when working in conjunction with personnel for another State, local, or Federal agency who might not be familiar with ATF practices and policy.
- (b) (7)(E)
- f. If it is deemed appropriate to use a command center it should be established in a location near the event premises. If it is deemed necessary to establish the command center on the same premises as the event, the permission of the premises' owner must be obtained in advance.
- g. Federal law prohibits consolidating or centralizing records of FFLs and prohibits establishment of a system of registration of firearms or firearms owners. The Privacy Act also prohibits establishing a new system of records retrievable by the name of an individual without prior notification to Congress and publication of the system in the Federal Register. These restrictions affect the manner in which ATF can collect and maintain records on persons investigated in the course of a gun show. Therefore, it is strongly suggested that if these and any related records retention issues arise, Chief Counsel's Disclosure and Forfeiture Division should be consulted in a timely fashion.

- h. The aforementioned restrictions may also impact the use of (b) (7)(E) (b) (7)(E) (b) (7)(E) (b) (7)(E) The use of (b) (7)(E) (b) (7)(E) with gun shows should not be done indiscriminately and should be weighed against all factors, including public perception. Special agents should consult with division counsel prior to (b) (7)(E) (b) (7)(E) SAC authorization is required for the ATF (b) (7)(E) (b) (7)(E)
- i. It is not ATF policy to conduct residence checks without reasonable suspicion that criminal violations may exist.

79. WARNING NOTICE OF UNLICENSED FIREARMS DEALING IN VIOLATION OF FEDERAL LAW.

- a. The names of all suspected unlicensed dealers are to be checked in (b) (7)(E) (b) (7)(E) N-Spect, eTrace (b) (7)(E) records, TECS, FLS, and other appropriate databases.
- b. Due to the willful aspect of dealing in firearms without a license, after a careful review of the facts the SAC may authorize the issuance of a Warning Notice of Unlicensed Firearms Dealing In Violation of Federal Law (Exhibit 4) under circumstances in which:
- (1) Persons are clearly ignorant of the law and lack criminal association, intent, or history.
  - (2) During the course of a criminal investigation the special agent deems it an appropriate option to be used to establish the willful and knowing elements of proof in 18 U.S.C. section 922(a)(6), dealing in firearms without a license.
  - (3) The U.S. Attorney's office declines a case for prosecution.
- c. Exhibit 4 is a Warning Notice of Unlicensed Firearms Dealing in Violation of Federal Law. Exhibit 5, ATF F 7, Application for Federal Firearms License, is to be served as an attachment to the notice. The SAC shall sign the original or may delegate authority to sign such notice to the ASAC or RAC/GS as appropriate. The original shall be served by an assigned special agent who shall use the utmost tact and discretion, mindful that the subject may not have any criminal intent. The special agent shall obtain the signature of the unlicensed dealer on a retained copy of the notice acknowledging receipt. When a subject declines to sign, the special agent shall so indicate on the copy. The original shall be left with the subject and a copy attached to the Report of Investigation (ATF F 3120.2) for inclusion in the field office investigative file.
- d. All of those served shall be fully identified for entry into TECS. All vehicles known to be used by the subject are to be included. The narrative of the TECS entry is to summarize the unlicensed dealing allegation and contain the caption as shown in Figure 1.

Figure 1. Caption for TECS Entry

SUBJECT SERVED WITH NOTICE OF UNLICENSED FIREARMS DEALING VIOLATION ON _____ (date) _____ BY SPECIAL AGENT _____ (name) _____ AT _____ (location) _____.
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- e. Within 5 days of the service, the special agent will write an ROI (ATF F 3120.2) documenting the service and interview. The copy of the notice will be listed as an attachment to the ROI (ATF F 3120.2) and placed in the case file. The service may be documented in a general case investigation. A copy of the notice should also be scanned as a source document in (b) (7)(E). All appropriate (b) (7)(E) codes shall be selected, including "warning letter service" under the Investigative Techniques tab.
- f. Every effort, including recommendation for prosecution, needs to be expended on those persons who continue to deal without a license once notice is given.

80. WARNING NOTICE OF STRAW PURCHASING.

- a. The purpose of the Warning Notice of Straw Purchasing (Exhibit 6) is two-fold: (1) to serve as a deterrent against future straw purchases by the same individual; and (2) to build evidence of the individual's knowledge and willful violation of the law in order to support future criminal prosecution should the individual engage in subsequent straw purchases. The Warning Notice of Straw Purchasing may be served on non-licensees when there is reasonable suspicion to believe the individual has engaged in the straw purchase of one or more firearms but there is: (a) insufficient evidence to conduct enforcement action, including seizure of the firearms(s), or (b) criminal prosecution of the individual is declined or otherwise not anticipated. The issuance and service of the Warning Notice of Straw Purchasing does not act as a bar to future prosecution by the U.S. or any State or municipality with respect to the subject firearm transactions should circumstances warrant the filing of criminal charges. The Warning Notice of Straw Purchasing should not be served on FFLs.
- b. A Warning Notice of Straw Purchasing may be served if reasonable suspicion exists that the subject individual has engaged in one or more straw purchases in violation of 18 U.S.C. section 922(a)(6) and/or section 924(a)(1)(A). The issuance of a Warning Notice of Straw Purchasing must be approved at the RAC/GS level or above.
- c. The Warning Notice of Straw Purchasing shall be personally served on the subject individual by an agent and witnessed by a second law enforcement officer. A duplicate original will be retained by the agent. Reasonable attempts should be made to obtain the individual's written acknowledgment of the service of the Warning Notice of Straw Purchase on the duplicate original. However, if the individual refuses to sign the

acknowledgment, the special agent should write in the recipient's name and the date in the acknowledgment section and enter the word "Refused" on the signature line.

- d. The special agent shall open a criminal investigation file with respect to the individual. The completed duplicate original Warning Notice of Straw Purchase shall be maintained in the criminal file. Appropriate followup investigation shall be conducted in each time a Warning Notice of Straw Purchase has been served. When a referral for criminal prosecution does not result following the issuance of the Warning Notice of Straw Purchase, the case agent shall enter the code "CLOSED Interdiction/ Deterrence Actions" in (b) (7)(E) when closing the file and note any other relevant facts regarding the reason for closing the investigation.

- 81. OTHER TECHNIQUES TO COMBAT FIREARMS TRAFFICKING. The stated objective of ATF's illegal firearms trafficking program is to deny violent criminals, violent offenders, and prohibited persons access to firearms by reducing the availability of criminally diverted firearms. This objective is more effectively attained through a multifaceted approach combining investigative, interdiction, inspection, and education efforts. (b) (7)(E)

(b) (7)(E)

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CHAPTER F. PROCEDURES FOR TRACING FIREARMS

91. PURPOSE. This chapter establishes procedures for all ATF personnel to follow in order to trace a firearm. The objective of this chapter is to ensure the uniform use of the NTC.
92. BACKGROUND.
- a. A firearm trace is the systematic tracking of a firearm through the chain of distribution to identify an unlicensed purchaser.
  - b. The purpose of a firearms trace is to: (1) link a suspect to a crime in a criminal investigation; (2) identify additional witnesses in a criminal investigation; (3) identify firearms traffickers; and, when sufficiently comprehensive tracing is undertaken, (4) identify trends and patterns related to crime guns.
  - c. ATF is only authorized to trace firearms that are defined as crime guns. A crime gun is defined as any firearm that is illegally possessed, involved in a crime, or suspected to have been involved in a crime.
  - d. ATF is only authorized to trace crime guns for law enforcement purposes or national security interests.
  - e. Firearms trace results are subject to disclosure restrictions via annual appropriations laws. The disclosure restrictions can change each fiscal year. ATF personnel should contact counsel regarding annual appropriations restrictions related to firearms trace data disclosure to determine the current parameters for release of trace data.
  - f. ATF's policy for the release of firearms trace data is subject to disclosure restrictions as defined above. Regardless of the particular restrictions defined by the current appropriations, (b) (7)(E)  
**(b) (7)(E)**
  - g. All firearms trace requests shall be performed by the National Tracing Center Division and shall not be independently undertaken by other elements of ATF without coordination with the NTC. The NTC is the central repository for a variety of firearms records necessary for accurate firearms tracing, including Reports of (b) (7)(E) or Handguns as well as Out of Business records for FFLs who have discontinued their business.
  - h. All firearms taken into ATF custody will be traced.
  - i. Firearms not taken into custody can be traced provided that they meet the definition of a crime gun.
  - j. ATF's system for the acquisition and dissemination of trace information is eTrace. This system is the key point for making trace requests, receiving trace results, and accessing other associated data to include related trace results and firearms data like Reports of (b) (7)(E) or Handguns.
  - k. ATF's policy is to encourage comprehensive crime gun tracing by all law enforcement agencies. ATF is dependent upon firearms tracing to allow for the detection of firearms traffickers and to define a particular crime



gun problem within a given community. All law enforcement agencies should be encouraged to obtain access to eTrace and to use it.

- I. See also ATF Publication 3312.13, ATF Firearms Tracing Guide (March 2012).

93. PROCEDURES. ATF firearms trace requests are to be made in the following manner.

- a. ATF Routine Trace Request via (b) (7)(E) ATF personnel taking firearms into custody are required to enter each firearm into the (b) (7)(E) case management system as recovered property. These entries are automatically traced as Routine Traces, unless the user prevents it by indicating as such within the system. After a trace request is successfully transmitted to the NTC through (b) (7)(E) the corresponding (b) (7)(E) property record is updated to reflect the unique FTS Trace ID number that was assigned to each firearm. The NTC does not generate a hardcopy trace results report upon the completion of a trace request that was initiated through (b) (7)(E). Generation of a hardcopy trace result can be obtained by using eTrace.

- (1) ATF Trace Requests (Urgent and Routine) via eTrace: ATF personnel have the ability to initiate firearms trace requests utilizing the eTrace application. eTrace can be used to submit firearm trace requests (either Urgent or Routine), monitor the progress of traces, retrieve completed trace results, and query firearm trace related data in a real-time environment.
- (2) ATF Urgent Trace Request: In emergency situations where it is inefficient or unreasonable to access eTrace to submit an Urgent firearms trace request, contact the NTC by telephone between 6:00 am and 11:30 am, Monday through Friday. Contact the JSOC after hours or on weekends. The NTC can and will initiate Urgent Trace Requests whenever necessary.

- b. ATF making a trace request on behalf of another law enforcement agency.

- (1) ATF eTrace users may make a trace request on behalf of another law enforcement agency via eTrace. eTrace has parameters to accomplish this and attribute the trace request to the particular agency.
- (2) Ensure that any trace request made on behalf of another agency is for a crime gun and is being traced for law enforcement purposes.

- (3) Under emergency conditions for an Urgent Trace Request when access to eTrace is not readily possible, follow the same parameters for an ATF Urgent Trace Request as defined above. Simply note when making contact with the NTC that you are assisting another law enforcement agency.

c. Non-ATF trace requests.

- (1) Law enforcement agencies should be encouraged to gain access and use the eTrace system to make firearms trace requests and obtain those results.

(2) **(b) (7)(E)**

- (3) **(b) (7)(E)**
- (4) To assist an agency in enrolling into eTrace, contact the NTC eTrace customer service group at 800-788-7133 (extension 01540) or direct email correspondence to [etraceadmin@atf.gov](mailto:etraceadmin@atf.gov).

94. TRACE RESULTS REPORTS, ACCESS TO FIREARMS TRACE DATA AND ASSOCIATED FIREARMS DATA BY ATF.

- a. eTrace is ATF's system for the acquisition and dissemination of trace information. **(b) (7)(E)**

**(b) (7)(E)**

- b. **(b) (7)(E)**

- c. Trace results are provided within eTrace. **(b) (7)(E)**

**(b) (7)(E)**

- d. Urgent trace results are provided via the medium through which they are received (usually telephone), and are also available within eTrace.

e. **(b) (7)(E)**

**(b) (7)(E)**

- f. Note also that eTrace has the ability to transmit trace results reports along with attached copies of associated Out-of-Business records, including ATF F 4473s, Firearms Transaction Record Over the Counter, and Acquisition & Disposition Book pages.
- g. eTrace has both an English language (ATF F 4473) and Spanish language (ATF F 4473-S) mode of operation.
- h. eTrace provides access to:

- (1) **(b) (7)(E)**
- (2) **(b) (7)(E)**
- (3) **(b) (7)(E)**
- (4) **(b) (7)(E)**
- (5) **(b) (7)(E)**
- (6) **(b) (7)(E)**

i. **(b) (7)(E)**

- (1) **(b) (7)(E)**
- (2) **(b) (7)(E)**
- (3) **(b) (7)(E)**
- (4) **(b) (7)(E)**
- (5) **(b) (7)(E)**
- (6) **(b) (7)(E)**
- (7) **(b) (7)(E)**
- (8) **(b) (7)(E)**
- (9) **(b) (7)(E)**

j. (b) (7)(E)  
k.

(1) (b) (7)(E)

(2)

(3)

(4)

(5)

(6)

(7)

(8)

(9)

(10)

(11) (b) (7)(E)  
(12)  
(13)  
(14)  
(15)

i. (b) (7)(E)

95. SPECIAL PROGRAMS AVAILABLE SUPPORTING FIREARMS TRACING.

a. (b) (7)(E)  
(1) (b) (7)(E)  
(2)

(3)

(b) (7) (E)

- b. Obliterated Serial Number Program: (See ATF O 5000.18, Office of Enforcement Programs and Services – Mission, Chapter M, Law Enforcement Support Branch (LESB).

c.

(b) (7) (E)

d.

96. RETENTION OF FIREARMS PURCHASER DATA AT THE NTC. The NTC maintains the following information, which enables ATF to provide leads to further criminal investigations:

- a. Firearms Tracing System (FTS). The FTS contains crime gun trace information, reports of theft or loss of firearms by FFL or interstate carriers, (b) (7)(E) data from licensees issued demand letters, and reports of (b) (7)(E) these records, which are contained in a data base, enable the NTC to complete firearms trace requests from Federal, State, local and international law enforcement agencies. The data are also used to identify individuals who may be involved in illegal firearms trafficking schemes.
- b. Out-of-Business Records. The NTC collects and maintains firearms transaction records for those FFLs who have discontinued business. These records are used to complete firearms trace requests where a dealer within the chain of distribution has gone out-of-business. Out-of-business records are maintained on microfilm or stored as digital photographs within the Out-of-Business Records Imaging System (OBRIS). No records are retrievable by name. Microfilm or digital photographs are visually inspected to determine disposition data to complete firearms trace requests.

97. DISPOSITION OF RECORDS.

- a. Firearms trace data is maintained indefinitely.
- b. Reports of theft or loss of firearms by FFL or interstate carriers is maintained indefinitely.
- c. (b) (7)(E) are reviewed annually and deactivated as investigations are closed per the requestor.
- d. Records of purchaser names from (b) (7)(E) will be maintained for 2 years unless the records have been linked to a

criminal investigation via a firearms trace result. In such instances, records of purchaser names will be maintained indefinitely as part of the firearms trace data.

- e. Out-of-business firearms licensee records will be maintained indefinitely.
- f. Demand letter information which does not contain purchaser names will be maintained indefinitely.
- g. A copy of the FTS will be submitted to the National Archives every 2 years in accordance with the established records retention schedule.

98 – 100 RESERVED



U.S. Department of Justice

Exhibit 1

Bureau of Alcohol, Tobacco,  
Firearms and Explosives

*Field Office*

---

*Office Address*

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

(insert date)

ATF# (insert case number ), ATF Defendant(s): (insert all adjudicated defendant names)

YOUR # (insert local agency report number)

SUBJECT: Continuation of Custody of Evidence

Dear (insert local agency name) Custodian,

The property currently being held by your agency regarding the above listed ATF investigation continues to be considered evidence. We request that you MAINTAIN your custody of this property according to your agency's guidelines, as it relates to an ongoing ATF investigation.

Please acknowledge receipt of this letter on the attached duplicate and return it in the enclosed self-addressed envelope. If there are any questions in this matter, please feel free to contact our office at (xxx) xxx-xxxx.

Sincerely Yours,

Special Agent in Charge





U.S. Department of Justice

Exhibit 2

Bureau of Alcohol, Tobacco,  
Firearms and Explosives

*Your Field Division*

---

*Your address*

*City, State Zip*

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

DATE: \_\_\_\_\_

ATF# \_\_\_\_\_ DEFENDANT(s): \_\_\_\_\_

YOUR # \_\_\_\_\_

**SUBJECT: Notification of Pending State Prosecution**

Dear \_\_\_\_\_ Police Department Evidence Custodian,

The property currently being held by your agency regarding the above listed ATF investigation number is no longer required by our agency, however, a state case is pending regarding this defendant. **While ATF has closed the federal investigation, the evidence may still be required for state prosecution.**

Please acknowledge receipt of this letter on the attached duplicate and return it in the enclosed self-addressed envelope. If there are any questions in this matter, please contact me at (xxx) xxx-xxxx.

Sincerely Yours,

Special Agent in Charge



U.S. Department of Justice

Exhibit 3

Bureau of Alcohol, Tobacco,  
Firearms and Explosives

*Field Office*

---

*Your address*

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

(insert date)

ATF# (insert case number) Defendant(s): (insert all adjudicated defendant names)

YOUR # (insert local agency case number)

SUBJECT: Discontinue Custody of Evidence

Dear (insert local agency name) Evidence Custodian,

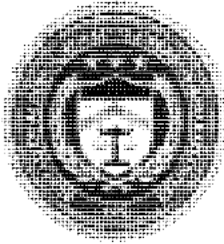
The property currently being held by your agency regarding the above listed ATF investigation number is no longer required. We request that you discontinue your custody of this property and dispose of it according to your agency's policy, as the ATF investigation is closed and adjudication is complete.

Please acknowledge receipt of this letter on the attached duplicate and return it in the enclosed self-addressed envelope. If there are any questions in this matter, please feel free to contact our office at (xxx) xxx-xxxx.

Sincerely Yours,

Special Agent in Charge

Exhibit 4



**U.S. Department of Justice**

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

---

Date:

TO:

**WARNING NOTICE OF UNLICENSED FIREARMS DEALING IN VIOLATION OF FEDERAL LAW**

Recently, your participation in the purchase, sale and/or other transfer of firearms has come to the attention of the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF). ATF is responsible for the enforcement of Federal firearm laws and, as part of that duty, ATF licenses those persons lawfully dealing in firearms and prevents unlicensed dealing in violation of Federal law. We seek the cooperative efforts of the general public in fulfilling this mandate and that is why we are contacting you on this matter.

Your firearms activity appears to bring you within the definition of a dealer in firearms as that term is defined by the Gun Control Act. A dealer in firearms is defined as "a person who devotes time, attention, and labor to dealing in firearms as a regular course of trade or business with the principal objective of livelihood and profit through the repetitive purchase and resale of firearms[.]" See 18 U.S.C. § 921(a)(21)(C). A person convicted of unlawfully engaging in the business of dealing in firearms without a license in violation of 18 U.S.C. § 922(a)(1)(A) is subject to imprisonment for not more than 5 years and/or a fine of up to \$250,000.

This letter serves to officially warn you to cease and desist engaging in the business of dealing in firearms until you have sought and obtained a Federal firearms license. A Federal firearms license would authorize the purchase and resale of firearms from a licensed business premises.

Continued activity without the required license could result in a recommendation for criminal prosecution.

Exhibit 4

**WARNING NOTICE OF UNLICENSED FIREARMS DEALING IN VIOLATION OF FEDERAL LAW**

**PAGE 2**

Provided with this Warning Notice is an ATF F 7, Application for Firearms License, for your use. Please feel free to contact the telephone numbers on the attached form or the nearest ATF office should you require further assistance.

Sincerely yours,

Resident Agent in Charge

Bureau of Alcohol, Tobacco, Firearms and Explosives

Phoenix Field Division

**Warning Notice Served by:**

Special Agent, ATF: \_\_\_\_\_

Date: \_\_\_\_\_

Location: \_\_\_\_\_

\_\_\_\_\_

**I acknowledge receipt of this Warning Notice:**

Recipient's Name (Printed): \_\_\_\_\_

Recipient's Signature: \_\_\_\_\_

Date Signed by Recipient: \_\_\_\_\_

**Witnessed by:**

Special Agent, ATF: \_\_\_\_\_

Date: \_\_\_\_\_

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

OMB No. 1143-0018

**Application for Federal Firearms License**

**For ATF Use Only**

1. Name of Owner or Corporation (If partnership, include name of each partner)

---

2. Trade or Business Name, if any

3. Employer Identification Number (EIN#) or Social Security Number (SSN is Voluntary)

4. Name of County in Which Business is Located

---

5. Business Address (RFD or street number, city, State, and ZIP code) (NOTE: The business address CANNOT be a P.O. Box.)

6. Mailing Address (if different from address in item #5)

7. Contact Numbers (Include Area Code)

Business Phone \_\_\_\_\_ Fax Number \_\_\_\_\_

Cell Phone \_\_\_\_\_ 24 Hour Emergency # (if different) \_\_\_\_\_

8. Applicant's Business is (Select one)

Individually Owned     A Partnership     A Corporation     Other (Specify) \_\_\_\_\_

9. Describe Specific Activity Applicant is Engaged in, or Intends to Engage in, Which Requires a Federal Firearms License. (Sale of ammunition alone does not require a license.)

10. Do You Intend to Engage in Business as a Pawnbroker?

Yes     No

11. Application is Made For a License Under 18 U.S.C. Chapter 44 as a: (Place an "X" in the appropriate box. Submit the fee noted next to the box with the application. Licenses are issued for a 3-year period. See instruction #13 for payment information.)

Type	Description of License Type	Fee
01/02	Dealer (01), Including Pawnbroker (02), in Firearms Other Than Destructive Devices (Includes: Rifles, Shotguns, Pistols, Revolvers, Gunsmith activities and National Firearms Act (NFA) Weapons)	\$200 <input type="checkbox"/>
06	Manufacturer of Ammunition for Firearms Other Than Ammunition for Destructive Devices or Armor Piercing Ammunition	\$30 <input type="checkbox"/>
07	Manufacturer of Firearms Other Than Destructive Devices	\$150 <input type="checkbox"/>
08	Importer of Firearms Other Than Destructive Devices or Ammunition for Firearms Other Than Destructive Devices, or Ammunition Other Than Armor Piercing Ammunition (NOTE: Importer of handguns and rifles, see instruction #6.)	\$150 <input type="checkbox"/>
09	Dealer in Destructive Devices	\$3000 <input type="checkbox"/>
10	Manufacturer of Destructive Devices, Ammunition for Destructive Devices or Armor Piercing Ammunition	\$3000 <input type="checkbox"/>
11	Importer of Destructive Devices, Ammunition for Destructive Devices or Armor Piercing Ammunition (See instruction #6)	\$3000 <input type="checkbox"/>
		Total Fees \$ _____

12. Method of Payment (Check one)

Check (Enclosed)     Cashier's Check or Money Order (Enclosed)     Visa     Mastercard     American Express     Discover     Diners Club

Credit/Debit Card Number (No dashes) \_\_\_\_\_ Name as Printed on Your Credit/Debit Card \_\_\_\_\_ Expiration Date (Month & year) \_\_\_\_\_

Credit/Debit Card Address: \_\_\_\_\_

Billing Address: City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Please Complete to Ensure Payment is Credited to the Correct Application.

I am Paying the Application Fee for the Following Person, Corporation, or Partnership: \_\_\_\_\_ Total Application Fees: \$ \_\_\_\_\_

I Authorize ATF to Charge my Credit/Debit Card the Above Amount.

Signature of Cardholder \_\_\_\_\_ Date \_\_\_\_\_

Your credit/debit card will be charged the above stated amount upon receipt of your application. The charge will be reflected on your credit/debit card statement. In the event a license/permit is NOT issued, the above amount will be credited to the credit/debit card noted above.

ATF Form 7 (5310.12)  
Revised May 2005

13. Hours of Operation of Applicant's Business (Must be completed)								14. Is Applicant Presently Engaged in a Business Requiring a Federal Firearms License? (If "Yes," answer 14a.)	
Time	Sun	Mon	Tues	Wed	Thu	Fri	Sat	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Open									
Close								14a. Present Federal Firearms License Number	
15. If You Have Served in the Armed Forces, Provide the Service Serial Number and Military Branch.						Service Serial Number		Military Branch	
16. Applicant's Business Premises Are						17. Indicate Type of Business Premises			
<input type="checkbox"/> Owned <input type="checkbox"/> Leased/Rented <input type="checkbox"/> Military						Zoned Commercial:		Zoned Residential:	
IF RENTED OR LEASED, PLEASE PROVIDE THE NAME, ADDRESS, AND TELEPHONE NUMBER OF THE PROPERTY OWNER.						<input type="checkbox"/> Store Front		<input type="checkbox"/> Single Family Dwelling	
Name and Address of Property Owner (If applicable)						<input type="checkbox"/> Office		<input type="checkbox"/> Condominium/Apartment	
Telephone Number of Property Owner (If applicable)						<input type="checkbox"/> Rod & Gun Club		<input type="checkbox"/> Hotel/Motel	
						<input type="checkbox"/> Military Base		<input type="checkbox"/> Public Housing	
						<input type="checkbox"/> Other (Specify)			
18. Do You Intend To Make a Profit from Your Business?						IF THE PREMISES ARE LOCATED ON A MILITARY INSTALLATION, ATTACH A COPY OF WRITTEN AUTHORIZATION FROM THE BASE COMMANDER TO CONDUCT A FIREARMS BUSINESS ON THE MILITARY INSTALLATION.			
<input type="checkbox"/> Yes <input type="checkbox"/> No (If no, do not submit application)									
18a. Do You Intend To Sell Firearms Only at Gun Shows?						19. Do You Intend to Use Your License Only to Acquire Personal Firearms?			
<input type="checkbox"/> Yes (If yes, do not submit application) <input type="checkbox"/> No						<input type="checkbox"/> Yes (If yes, do not submit application.) <input type="checkbox"/> No			
If Business was Obtained From Someone Else, Provide the Following Information.									
20. Name of Previous Business						21. Federal Firearms License Number			

22. Provide the information required for each individual owner, partner, and other responsible persons in the business. See instruction #10 for Responsible Person Definition. If a female, list any given, married, and maiden names, e.g., "Mary Alice (Smith) Jones," not "Mrs. John Jones." (If additional space is needed, use a separate sheet.) Each Responsible Person Must Complete All Information in this Section.

Full Name	Position and Social Security Number (Social Security Number is Voluntary)	Home Address (Please provide every address you have had in the last 5 years.)	Country of Citizenship (List more than one, if applicable. Nonimmigrant visas must complete all information in item #23.)	Place of Birth (City, State, or Foreign Country)	Date of Birth	Race and Ethnicity (Please check one or more boxes)	Sex	Residence Telephone No.
						<input type="checkbox"/> American Indian or Alaska Native <input type="checkbox"/> Asian <input type="checkbox"/> Black or African American <input type="checkbox"/> Hispanic or Latin <input type="checkbox"/> Native Hawaiian or Other Pacific Islander <input type="checkbox"/> White		
						<input type="checkbox"/> American Indian or Alaska Native <input type="checkbox"/> Asian <input type="checkbox"/> Black or African American <input type="checkbox"/> Hispanic or Latin <input type="checkbox"/> Native Hawaiian or Other Pacific Islander <input type="checkbox"/> White		

Full Name	Position and Social Security Number (Social Security Number is Voluntary)	Home Address <i>Please provide every address you have had in the last 5 years.</i>	Country of Citizenship <i>List more than one, if applicable. Nonimmigrant aliens must complete all information in Item #23.</i>	Place of Birth (City, State, or Foreign Country)	Date of Birth	Race and Ethnicity (Please check one or more boxes)	Sex	Residence Telephone No.
						<input type="checkbox"/> American Indian or Alaska Native <input type="checkbox"/> Asian <input type="checkbox"/> Black or African American <input type="checkbox"/> Hispanic or Latino <input type="checkbox"/> Native Hawaiian or Other Pacific Islander <input type="checkbox"/> White		
						<input type="checkbox"/> American Indian or Alaska Native <input type="checkbox"/> Asian <input type="checkbox"/> Black or African American <input type="checkbox"/> Hispanic or Latino <input type="checkbox"/> Native Hawaiian or Other Pacific Islander <input type="checkbox"/> White		

23. Nonimmigrant Alien Certification of Compliance With 18 U.S.C. 922(g)(5)(B). If additional space is needed, use a separate sheet.

18 U.S.C. 922(g)(5)(B) generally makes it unlawful for any nonimmigrant alien to ship or transport in interstate or foreign commerce, or possess in or affecting commerce, any firearms or ammunition; or to receive any firearms or ammunition which have been shipped or transported in interstate or foreign commerce. All nonimmigrant aliens listed in item 22 must complete the following information certifying compliance with 18 U.S.C. 922(g)(5)(B).

A. Name of Person Certifying Compliance Last: \_\_\_\_\_ First: \_\_\_\_\_ Middle Initial: \_\_\_\_\_

B. Immigration and Customs Enforcement (ICE) Issued Alien Number or Admission Number (Previously (INS Number): \_\_\_\_\_

C. Are you in possession of a valid hunting license or permit lawfully issued in the United States?  Yes  No

1. If you answered "NO," you likely cannot lawfully possess a firearm and therefore cannot be a Federal firearms licensee.
2. If you answered "YES," complete the following information, and attach a copy of the license or permit to the application.

Hunting License or Permit Number, if any \_\_\_\_\_ State of Issuance \_\_\_\_\_ Expiration Date, if any \_\_\_\_\_

Give Full Details on a Separate Sheet for All "Yes" Answers in Items 24 and 25.		Yes	No
24. Has Applicant or any Person Referred to in Item 22 Above:	A. Held a Federal Firearms License?		
	B. Been Denied a Federal Firearms License?		
	C. Been an Officer in a Corporation Holding a Federal Firearms License?		
	D. Been an Employee of a Federal Firearms Licensee?		
	E. Had a Federal Firearms License Revoked?		
25. Is Applicant or any Person Named in Item 22 Above:	A. Charged by Information or Under Indictment in any Court for a Felony, or any Other Crime for Which the Judge Could Imprison You for More Than One Year?		
	B. A Fugitive from Justice?		
	C. An Alien Who is Illegally or Unlawfully in the United States?		
	D. Under 21 Years of Age?		
	E. An Unlawful User of, or Addicted to, Marijuana, or any Depressant, Stimulant or Narcotic Drug, or any other Controlled Substance?		
	F. Subject to a Court Order Restraining Him/Her from Harassing, Stalking, or Threatening his/her child or an Intimate Partner or Child of Such Partner?		

Give Full Details on a Separate Sheet for All "Yes" Answers in Item 26.		Yes	No
26. Has Applicant or any Person Named in Item 22 Ever:	A. Been Convicted in any 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? <sup>1</sup>		
	B. Been Discharged from the Armed Forces Under Dishonorable Conditions?		
	C. Been Adjudicated as a Mental Defective, Which Includes Having Been Adjudicated Incompetent to Manage Your Own Affairs, or Been Committed to any Mental Institution?		
	D. Renounced United States Citizenship?		
	E. Been Convicted in any Court of a Misdemeanor Crime of Domestic Violence? (See definition #3)		

<sup>1</sup> "Information" is a formal accusation of crime made by a prosecuting attorney, as distinguished from an indictment presented by a grand jury.  
<sup>2</sup> You may answer NO if (a) you have been pardoned for the crime or (b) the conviction has been expunged or set aside or (c) your civil rights have been restored AND you are not prohibited from possessing or receiving any firearms under the law where the conviction occurred.

27. Applicant Certification (Please read and initial each box)

- The business to be conducted under the Federal Firearms License is not prohibited by State or local law at the premises shown in item 5. This includes compliance with zoning ordinances.
- Within 30 days after the application is approved, the business will comply with the requirements of State and local law applicable to the conduct of business.
- Business will not be conducted under the license until the requirements of State and local law applicable to the business have been met.
- A completed copy of this form has been sent (mailed or delivered) to the Chief Law Enforcement Officer of the locality in which the premises is located. (See Instruction #5.)
- As required by 18 U.S.C. 923 (d)(1)(G), I certify that secure gun storage or safety devices will be available at any place in which firearms are sold under this Federal Firearms License to persons who are not licensees.

Name of Chief Law Enforcement Officer (CLEO)

CLEO's Address (include no., street, city, county, State, and ZIP Code)

28. Certification: Under the penalty imposed by 18 U.S.C. 924, I declare that I have examined this application and the documents submitted in support thereof, and to the best of my knowledge and belief, they are true, correct and complete. This signature, when presented by a duly authorized representative of the Department of Justice, will constitute consent and authority for the appropriate Department of Justice representative to examine and obtain copies and abstracts of records and to receive statements and information regarding the background of all responsible persons. Specifically, I hereby authorize the release of the following data or records to ATF: Military information/records, medical information/ records, police and criminal records.

Attach  
2 X 2  
Photograph(s)  
Here  
  
(See Instruction #10)

Sign

Here

Title

Date

For ATF Use Only

29. Application is

- Approved  Denied

Reasons for Denial of Application

Signature of Licensing Official

Date

Information for the Chief Law Enforcement Officer

This form provides notification of a person's intent to apply for a Federal firearms license. It requires no action on your part. However, should you have information that may disqualify the person from obtaining a Federal firearms license, please contact the Federal Firearms Licensing Center at (404) 417-2750. A "Yes" answer to items #24, #25, and #26 could disqualify a person for a license. Also, ATF may not issue a license if the business would be in violation of State or local law.



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

OMB No. 1140-0018

**Application for Federal Firearms License**

**For ATF Use Only**

1. Name of Owner or Corporation (If partnership, include name of each partner)

2. Trade or Business Name, if any

3. Employer Identification Number (EIN#) or Social Security Number (SSN is Voluntary)

4. Name of County in Which Business is Located

5. Business Address (RFD or street number, city, State, and ZIP code) (NOTE: The business address CANNOT be a P.O. Box.)

6. Mailing Address (if different from address in item #5)

7. Contact Numbers (Include Area Code)

Business Phone \_\_\_\_\_ Fax Number \_\_\_\_\_

Cell Phone \_\_\_\_\_ 24 Hour Emergency # (if different) \_\_\_\_\_

8. Applicant's Business is (Select one)

Individually Owned     A Partnership     A Corporation     Other (Specify) \_\_\_\_\_

9. Describe Specific Activity Applicant is Engaged in, or Intends to Engage in, Which Requires a Federal Firearms License. (Sale of ammunition alone does not require a license.)

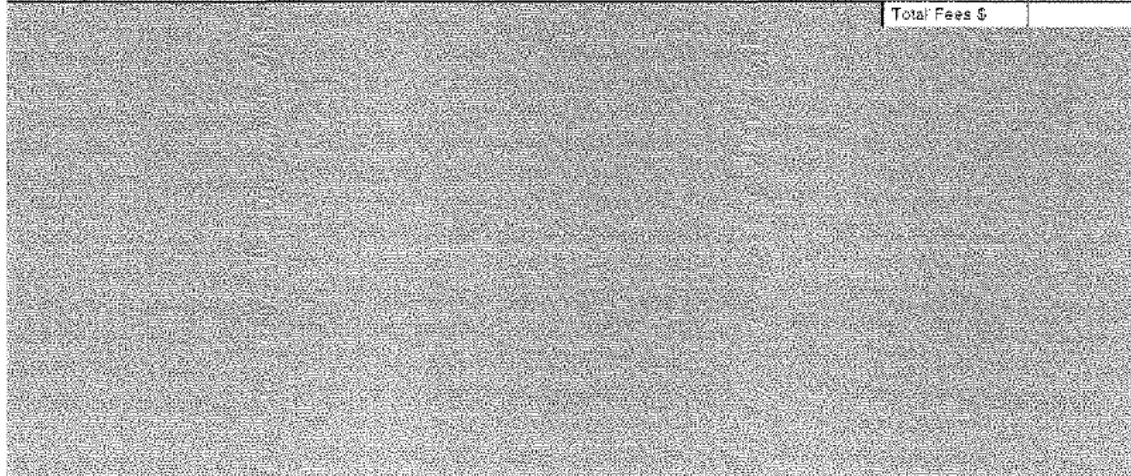
10. Do You Intend to Engage in Business as a Pawnbroker?

Yes     No

11. Application is Made For a License Under 18 U.S.C. Chapter 44 as a: (Place an "X" in the appropriate box. Submit the fee noted next to the box with the application. Licenses are issued for a 3-year period. See instruction #10 for payment information.)

Type	Description of License Type	Fee
01/02	Dealer (01), including Pawnbroker (02), in Firearms Other Than Destructive Devices (includes: Rifles, Shotguns, Pistols, Revolvers, Gunsmith activities and National Firearms Act (NFA) Weapons)	\$200 <input type="checkbox"/>
06	Manufacturer of Ammunition for Firearms Other Than Ammunition for Destructive Devices or Armor Piercing Ammunition	\$30 <input type="checkbox"/>
07	Manufacturer of Firearms Other Than Destructive Devices	\$150 <input type="checkbox"/>
08	Importer of Firearms Other Than Destructive Devices or Ammunition for Firearms Other Than Destructive Devices, or Ammunition Other Than Armor Piercing Ammunition (NOTE: Importer of handguns and rifles, see instruction #8.)	\$150 <input type="checkbox"/>
09	Dealer in Destructive Devices	\$3000 <input type="checkbox"/>
10	Manufacturer of Destructive Devices, Ammunition for Destructive Devices or Armor Piercing Ammunition	\$3000 <input type="checkbox"/>
11	Importer of Destructive Devices, Ammunition for Destructive Devices or Armor Piercing Ammunition (See instruction #8)	\$3000 <input type="checkbox"/>

Total Fees \$



ATF Form 7 (3/19/13)  
Revised May 2005

Copy 2 - ATF Copy

13. Hours of Operation of Applicant's Business (Must be completed)								14. Is Applicant Presently Engaged in a Business Requiring a Federal Firearms License? (# "Yes," answer 14a.)	
Time	Sun	Mon	Tues	Wed	Thu	Fri	Sat	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Open									
Close								14a. Present Federal Firearms License Number	
15. If You Have Served in the Armed Forces, Provide the Service Serial Number and Military Branch.						Service Serial Number		Military Branch	
16. Applicant's Business Premises Are <input type="checkbox"/> Owned <input type="checkbox"/> Leased/Rented <input type="checkbox"/> Military IF RENTED OR LEASED, PLEASE PROVIDE THE NAME, ADDRESS, AND TELEPHONE NUMBER OF THE PROPERTY OWNER. Name and Address of Property Owner (If applicable)  Telephone Number of Property Owner (If applicable)						17. Indicate Type of Business Premises Zoned Commercial: <input type="checkbox"/> Store Front <input type="checkbox"/> Office <input type="checkbox"/> Rod & Gun Club <input type="checkbox"/> Military Base <input type="checkbox"/> Other (Specify) Zoned Residential: <input type="checkbox"/> Single Family Dwelling <input type="checkbox"/> Condominium/Apartment <input type="checkbox"/> Hotel/Motel <input type="checkbox"/> Public Housing			
18. Do You Intend To Make a Profit from Your Business? <input type="checkbox"/> Yes <input type="checkbox"/> No (If no, do not submit application)						IF THE PREMISES ARE LOCATED ON A MILITARY INSTALLATION, ATTACH A COPY OF WRITTEN AUTHORIZATION FROM THE BASE COMMANDER TO CONDUCT A FIREARMS BUSINESS ON THE MILITARY INSTALLATION.			
18a. Do You Intend To Sell Firearms Only at Gun Shows? <input type="checkbox"/> Yes (If yes, do not submit application) <input type="checkbox"/> No						19. Do You Intend to Use Your License Only to Acquire Personal Firearms? <input type="checkbox"/> Yes (If yes, do not submit application.) <input type="checkbox"/> No			
If Business was Obtained From Someone Else, Provide the Following Information.									
20. Name of Previous Business						21. Federal Firearms License Number			
22. Provide the Information Required for Each Individual Owner, Partner, and Other Responsible Persons in the Business. See Instruction #10 for Responsible Person Definition. If a Female, List Any Given, Married, and Maiden Names, e.g., "Mary Alice (Smith) Jones," Not "Mrs. John Jones." (If additional space is needed, use a separate sheet.) Each Responsible Person Must Complete All Information in this Section.									
Full Name	Position and Social Security Number (Social Security Number is Voluntary)	Home Address (Please provide every address you have had in the last 5 years.)	Country of Citizenship (List more than one, if applicable. Nonimmigrant aliens must complete all information in item #22.)	Place of Birth (City, State, or Foreign Country)	Date of Birth	Race and Ethnicity (Please check one or more boxes)	Sex	Residence Telephone No.	
						<input type="checkbox"/> American Indian or Alaska Native <input type="checkbox"/> Asian <input type="checkbox"/> Black or African American <input type="checkbox"/> Hispanic or Latino <input type="checkbox"/> Native Hawaiian or Other Pacific Islander <input type="checkbox"/> White			
						<input type="checkbox"/> American Indian or Alaska Native <input type="checkbox"/> Asian <input type="checkbox"/> Black or African American <input type="checkbox"/> Hispanic or Latino <input type="checkbox"/> Native Hawaiian or Other Pacific Islander <input type="checkbox"/> White			

Full Name	Position and Social Security Number (Social Security Number is Voluntary)	Home Address <i>Please provide every address you have had in the last 5 years.</i>	Country of Citizenship <i>List more than one, if applicable. Nonimmigrant aliens must complete all information in item #23.</i>	Place of Birth (City, State, or Foreign Country)	Date of Birth	Race and Ethnicity (Please check one or more boxes)	Sex	Residence Telephone No.
						<input type="checkbox"/> American Indian or Alaska Native <input type="checkbox"/> Asian <input type="checkbox"/> Black or African American <input type="checkbox"/> Hispanic or Latino <input type="checkbox"/> Native Hawaiian or Other Pacific Islander <input type="checkbox"/> White		
						<input type="checkbox"/> American Indian or Alaska Native <input type="checkbox"/> Asian <input type="checkbox"/> Black or African American <input type="checkbox"/> Hispanic or Latino <input type="checkbox"/> Native Hawaiian or Other Pacific Islander <input type="checkbox"/> White		

23. Nonimmigrant Alien Certification of Compliance With 18 U.S.C. 922(g)(5)(B). If additional space is needed, use a separate sheet.

18 U.S.C. 922(g)(5)(B) generally makes it unlawful for any nonimmigrant alien to ship or transport in interstate or foreign commerce, or possess in or affecting commerce, any firearms or ammunition; or to receive any firearms or ammunition which have been shipped or transported in interstate or foreign commerce. All nonimmigrant aliens listed in item 22 must complete the following information certifying compliance with 18 U.S.C. 922(g)(5)(B).

A. Name of Person Certifying Compliance Last: \_\_\_\_\_ First: \_\_\_\_\_ Middle Initial: \_\_\_\_\_

B. Immigration and Customs Enforcement (ICE) Issued Alien Number or Admission Number (Previous/INS Number): \_\_\_\_\_

C. Are you in possession of a valid hunting license or permit lawfully issued in the United States?  Yes  No

- If you answered "NO," you likely cannot lawfully possess a firearm and therefore cannot be a Federal firearms licensee.
- If you answered "YES," complete the following information, and attach a copy of the license or permit to this application.

Hunting License or Permit Number, if any \_\_\_\_\_ State of Issuance \_\_\_\_\_ Expiration Date, if any \_\_\_\_\_

Give Full Details on a Separate Sheet for All "Yes" Answers in Items 24 and 25. Yes No

24. Has Applicant or any Person Referred to in Item 22 Above:	A. Held a Federal Firearms License?		
	B. Been Denied a Federal Firearms License?		
	C. Been an Officer in a Corporation Holding a Federal Firearms License?		
	D. Been an Employee of a Federal Firearms Licensee?		
	E. Had a Federal Firearms License Revoked?		
25. Is Applicant or any Person Named in Item 22 Above:	A. Charged by Information or Under Indictment in any Court for a Felony, or any Other Crime for Which the Judge Could Imprison You for More Than One Year?		
	B. A Fugitive from Justice?		
	C. An Alien Who is Illegally or Unlawfully in the United States?		
	D. Under 21 Years of Age?		
	E. An Unlawful User of, or Addicted to, Marijuana, or any Depressant, Stimulant or Narcotic Drug; or any other Controlled Substance?		
	F. Subject to a Court Order Restraining Him/Her from Harassing, Stalking, or Threatening his/her child or an Intimate Partner or Child or Such Partner?		

**Give Full Details on a Separate Sheet for All "Yes" Answers in Item 26.**

	Yes	No
26. Has Applicant or any Person Named in Item 22 Ever:		
A. Been Convicted in any 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?		
B. Been Discharged from the Armed Forces Under Dishonorable Conditions?		
C. Been Adjudicated as a Mental Defective, Which Includes Having Been Adjudicated Incompetent to Manage Your Own Affairs, or Been Committed to any Mental Institution?		
D. Renounced United States Citizenship?		
E. Been Convicted in any Court of a Misdemeanor Crime of Domestic Violence? (See definition #3)		

<sup>1</sup> "Information" is a formal accusation of crime made by a prosecuting attorney, as distinguished from an indictment presented by a grand jury.  
<sup>2</sup> You may answer NO if (a) you have been pardoned for the crime or (b) the conviction has been expunged or set aside, or (c) your civil rights have been restored AND you are not prohibited from possessing or receiving any firearms under the law where the conviction occurred.

**27. Applicant Certification (Please read and initial each box)**

The business to be conducted under the Federal Firearms License is not prohibited by State or local law at the premises shown in item 5. This includes compliance with zoning ordinances.

Within 30 days after the application is approved, the business will comply with the requirements of State and local law applicable to the conduct of business.

Business will not be conducted under the license until the requirements of State and local law applicable to the business have been met.

A completed copy of this form has been sent (mailed or delivered) to the Chief Law Enforcement Officer of the locality in which the premises is located. (See instruction #5.)

As required by 18 U.S.C. 923 (d)(1)(G), I certify that secure gun storage or safety devices will be available at any place in which firearms are sold under this Federal Firearms License to persons who are not licensees.

Name of Chief Law Enforcement Officer (CLEO): \_\_\_\_\_

CLEO's Address (include no., street, city, county, State, and ZIP Code) \_\_\_\_\_

28. Certification: Under the penalties imposed by 18 U.S.C. 924, I declare that I have examined this application and the documents submitted in support thereof, and to the best of my knowledge and belief, they are true, correct and complete. This signature, when presented by a duly authorized representative of the Department of Justice, will constitute consent and authority for the appropriate Department of Justice representative to examine and obtain copies and abstracts of records and to receive statements and information regarding the background of all responsible persons. Specifically, I hereby authorize the release of the following data or records to ATF: Military information/records, medical information/records, police and criminal records.

\_\_\_\_\_  
Sign Here

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

Attach  
2 X 2  
Photograph(s)  
Here

(See instruction #10)

**For ATF Use Only**

29. Application is <input type="checkbox"/> Approved <input type="checkbox"/> Denied	Reasons for Denial of Application
---	-----------------------------------

Signature of Licensing Official \_\_\_\_\_ Date \_\_\_\_\_

**Information for the Chief Law Enforcement Officer**

This form provides notification of a person's intent to apply for a Federal firearms license. It requires no action on your part. However, should you have information that may disqualify the person from obtaining a Federal firearms license, please contact the Federal Firearms Licensing Center at (404) 417-2750. A "Yes" answer to items #24, #25, and #26 could disqualify a person for a license. Also, ATF may not issue a license if the business would be in violation of State or local law.

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

OMB No. 1149-0018

**Application for Federal Firearms License**

**For ATF Use Only**

1. Name of Owner or Corporation (if partnership, include name of each partner)

2. Trade or Business Name, if any  
3. Employer Identification Number (EIN#) or Social Security Number (SSN is Voluntary)  
4. Name of County in Which Business is Located

5. Business Address (RFD or street number, city, State, and ZIP code) (NOTE: The business address CANNOT be a P.O. Box.)  
6. Mailing Address (if different from address in item #5)

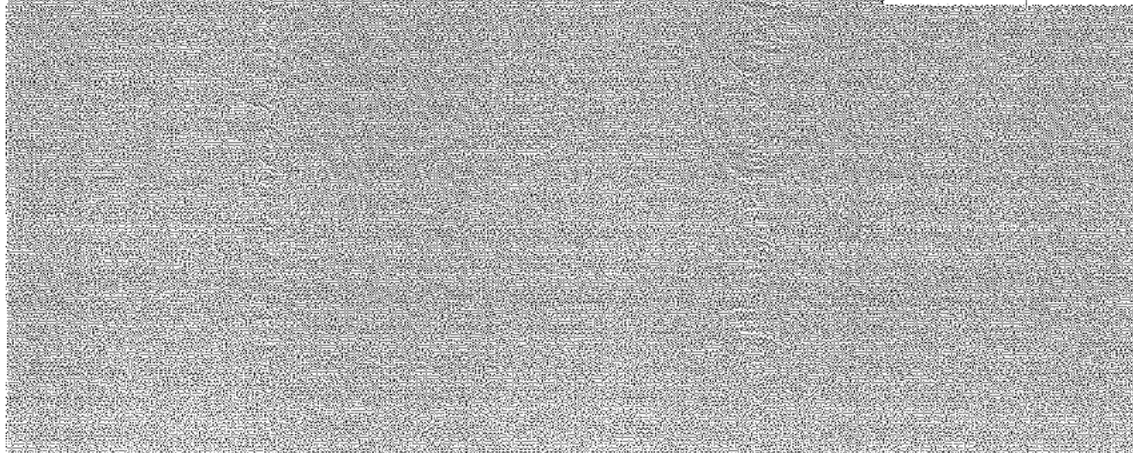
7. Contact Numbers (include Area Code)  
Business Phone \_\_\_\_\_ Fax Number \_\_\_\_\_  
Cell Phone \_\_\_\_\_ 24 Hour Emergency # (if different) \_\_\_\_\_

8. Applicant's Business is (Select one)  
 Individually Owned  A Partnership  A Corporation  Other (Specify) \_\_\_\_\_

9. Describe Specific Activity Applicant is Engaged in, or Intends to Engage in, Which Requires a Federal Firearms License. (Sale of ammunition alone does not require a license.)  
10. Do You Intend to Engage in Business as a Pawnbroker?  
 Yes  No

11. Application is Made For a License Under 18 U.S.C. Chapter 44 as a: (Place an "X" in the appropriate box. Submit the fee noted next to the box with the application. Licenses are issued for a 5-year period. See instruction #13 for payment information.)

Type	Description of License Type	Fee
01/02	Dealer (01), including Pawnbroker (02), in Firearms Other Than Destructive Devices (Includes: Rifles, Shotguns, Pistols, Revolvers, Gunsmith activities and National Firearms Act (NFA) Weapons)	\$200 <input type="checkbox"/>
03	Manufacturer of Ammunition for Firearms Other Than Ammunition for Destructive Devices or Armor Piercing Ammunition	\$30 <input type="checkbox"/>
07	Manufacturer of Firearms Other Than Destructive Devices	\$150 <input type="checkbox"/>
08	Importer of Firearms Other Than Destructive Devices or Ammunition for Firearms Other Than Destructive Devices, or Ammunition Other Than Armor Piercing Ammunition (NOTE: Importer of handguns and rifles, see instruction #8.)	\$150 <input type="checkbox"/>
09	Dealer in Destructive Devices	\$3000 <input type="checkbox"/>
10	Manufacturer of Destructive Devices, Ammunition for Destructive Devices or Armor Piercing Ammunition	\$3000 <input type="checkbox"/>
11	Importer of Destructive Devices, Ammunition for Destructive Devices or Armor Piercing Ammunition (See instruction #9)	\$3000 <input type="checkbox"/>
<b>Total Fees \$</b>		



ATF Form 2 (5310-12)  
Revised May 2005

Copy 2 - ATF Copy

13. Hours of Operation of Applicant's Business (Must be completed)								14. Is Applicant Presently Engaged in a Business Requiring a Federal Firearms License? (If "Yes," answer 14a.)	
Time	Sun	Mon	Tues	Wed	Thu	Fri	Sat	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Open									
Close								14a. Present Federal Firearms License Number	
15. If You Have Served in the Armed Forces, Provide the Service Serial Number and Military Branch.						Service Serial Number		Military Branch	
16. Applicant's Business Premises Are <input type="checkbox"/> Owned <input type="checkbox"/> Leased/Rented <input type="checkbox"/> Military IF RENTED OR LEASED, PLEASE PROVIDE THE NAME, ADDRESS, AND TELEPHONE NUMBER OF THE PROPERTY OWNER. Name and Address of Property Owner (if applicable)  Telephone Number of Property Owner (if applicable)						17. Indicate Type of Business Premises Zoned Commercial: <input type="checkbox"/> Store Front <input type="checkbox"/> Office <input type="checkbox"/> Rod & Gun Club <input type="checkbox"/> Military Base <input type="checkbox"/> Other (Specify) Zoned Residential: <input type="checkbox"/> Single Family Dwelling <input type="checkbox"/> Condominium/Apartment <input type="checkbox"/> Hotel/Motel <input type="checkbox"/> Public Housing			
18. Do You Intend To Make a Profit from Your Business? <input type="checkbox"/> Yes <input type="checkbox"/> No (If no, do not submit application)						IF THE PREMISES ARE LOCATED ON A MILITARY INSTALLATION, ATTACH A COPY OF WRITTEN AUTHORIZATION FROM THE BASE COMMANDER TO CONDUCT A FIREARMS BUSINESS ON THE MILITARY INSTALLATION.			
18a. Do You Intend To Sell Firearms Only at Gun Shows? <input type="checkbox"/> Yes (If yes, do not submit application) <input type="checkbox"/> No						19. Do You Intend to Use Your License Only to Acquire Personal Firearms? <input type="checkbox"/> Yes (If yes, do not submit application.) <input type="checkbox"/> No			
If Business Was Obtained From Someone Else, Provide the Following Information									
20. Name of Previous Business						21. Federal Firearms License Number			
22. Provide the information required for each individual owner, partner, and other responsible persons in the business. See instruction #10 for Responsible Person Definition. If a female, list any given, married, and maiden names, e.g., "Mary Alice (Smith) Jones," Not "Mrs. John Jones." (If additional space is needed, use a separate sheet.) Each Responsible Person Must Complete All Information in this Section.									
Full Name	Position and Social Security Number (Social Security Number is Voluntary)	Home Address (Please provide every address you have had in the last 5 years.)	Country of Citizenship (List more than one, if applicable. Nonimmigrant aliens must complete all information in item #22.)	Place of Birth (City, State, or Foreign Country)	Date of Birth	Race and Ethnicity (Please check one or more boxes)	Sex	Residence Telephone No.	
						<input type="checkbox"/> American Indian or Alaska Native <input type="checkbox"/> Asian <input type="checkbox"/> Black or African American <input type="checkbox"/> Hispanic or Latino <input type="checkbox"/> Native Hawaiian or Other Pacific Islander <input type="checkbox"/> White			
						<input type="checkbox"/> American Indian or Alaska Native <input type="checkbox"/> Asian <input type="checkbox"/> Black or African American <input type="checkbox"/> Hispanic or Latino <input type="checkbox"/> Native Hawaiian or Other Pacific Islander <input type="checkbox"/> White			

Full Name	Position and Social Security Number (Social Security Number is Voluntary)	Home Address <i>Please provide every address you have had in the last 5 years.</i>	Country of Citizenship <i>List more than one, if applicable. Nonimmigrant aliens must complete all information in item #23.</i>	Place of Birth <i>(City, State, or Foreign Country)</i>	Date of Birth	Race and Ethnicity <i>(Please check one or more boxes)</i>	Sex	Residence Telephone No.
						<input type="checkbox"/> American Indian or Alaska Native <input type="checkbox"/> Asian <input type="checkbox"/> Black or African American <input type="checkbox"/> Hispanic or Latino <input type="checkbox"/> Native Hawaiian or Other Pacific Islander <input type="checkbox"/> White		
						<input type="checkbox"/> American Indian or Alaska Native <input type="checkbox"/> Asian <input type="checkbox"/> Black or African American <input type="checkbox"/> Hispanic or Latino <input type="checkbox"/> Native Hawaiian or Other Pacific Islander <input type="checkbox"/> White		

23. Nonimmigrant Alien Certification of Compliance With 18 U.S.C. §22(g)(5)(B). If additional space is needed, use a separate sheet.

18 U.S.C. §22(g)(5)(B) generally makes it unlawful for any nonimmigrant alien to ship or transport in interstate or foreign commerce, or possess in or affecting commerce, any firearms or ammunition; or to receive any firearms or ammunition which have been shipped or transported in interstate or foreign commerce. All nonimmigrant aliens listed in item 22 must complete the following information certifying compliance with 18 U.S.C. §22(g)(5)(B).

A. Name of Person Certifying Compliance Last: \_\_\_\_\_ First: \_\_\_\_\_ Middle Initial: \_\_\_\_\_

B. Immigration and Customs Enforcement (ICE) Issued Alien Number or Admission Number (Previously INS Number): \_\_\_\_\_

C. Are you in possession of a valid hunting license or permit lawfully issued in the United States?  Yes  No

1. If you answered "NO," you likely cannot lawfully possess a firearm and therefore cannot be a Federal firearms licensee.
2. If you answered "YES," complete the following information, and attach a copy of the license or permit to the application.

Hunting License or Permit Number, if any \_\_\_\_\_ State of issuance \_\_\_\_\_ Expiration Date, if any \_\_\_\_\_

Give Full Details on a Separate Sheet for All "Yes" Answers in Items 24 and 25.		Yes	No
24. Has Applicant or any Person Referred to in Item 22 Above:	A. Held a Federal Firearms License?		
	B. Been Denied a Federal Firearms License?		
	C. Been an Officer in a Corporation Holding a Federal Firearms License?		
	D. Been an Employee of a Federal Firearms Licensee?		
	E. Had a Federal Firearms License Revoked?		
25. Is Applicant or any Person Named in Item 22 Above:	A. Charged by information or under indictment in any Court for a Felony, or any other Crime for which the Judge could imprison you for more than one year?		
	B. A Fugitive from Justice?		
	C. An Alien who is illegally or unlawfully in the United States?		
	D. Under 21 Years of Age?		
	E. An Unlawful User of, or Addicted to, Marijuana, or any Depressant, Stimulant or Narcotic Drug, or any other Controlled Substance?		
	F. Subject to a Court Order Restraining Him/Her from Harassing, Stalking, or Threatening his/her child or an intimate Partner or Child of Such Partner?		

Give Full Details on a Separate Sheet for All "Yes" Answers in Item #6.

		Yes	No
26. Has Applicant or any Person Named in Item 22 Ever:	A. Been Convicted in any 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??		
	B. Been Discharged from the Armed Forces Under Dishonorable Conditions?		
	C. Been Adjudicated as a Mental Defective Which Includes Having Been Adjudicated Incompetent to Manage Your Own Affairs, or Been Committed to any Mental Institution?		
	D. Renounced United States Citizenship?		
	E. Been Convicted in any Court of a Misdemeanor Crime of Domestic Violence? (See definition #3)		

\* Information is a formal accusation of crime made by a prosecuting attorney, as distinguished from an indictment presented by a grand jury.  
 \* You may answer NO if (a) you have been pardoned for the crime or (b) the conviction has been expunged or set aside or (c) your civil rights have been restored AND you are not prohibited from possessing or receiving any firearms under the law where the conviction occurred.

27. Applicant Certification (Please read and initial each box)
- The business to be conducted under the Federal Firearms License is not prohibited by State or local law at the premises shown in Item 5. This includes compliance with zoning ordinances.
  - Within 30 days after the application is approved, the business will comply with the requirements of State and local law applicable to the conduct of business.
  - Business will not be conducted under the license until the requirements of State and local law applicable to the business have been met.
  - A completed copy of this form has been sent (mailed or delivered) to the Chief Law Enforcement Officer of the locality in which the premises is located. (See instruction #5.)
  - As required by 18 U.S.C. 923 (d)(1)(G), I certify that secure gun storage or safety devices will be available at any place in which firearms are sold under this Federal Firearms License to persons who are not licensees.

Name of Chief Law Enforcement Officer (CLEO)

CLEO's Address (Include no., street, city, county, State, and ZIP Code)

28. Certification: Under the penalties imposed by 18 U.S.C. 924, I declare that I have examined this application and the documents submitted in support thereof, and to the best of my knowledge and belief, they are true, correct and complete. This signature, when presented by a duly authorized representative of the Department of Justice, will constitute consent and authority for the appropriate Department of Justice representative to examine and obtain copies and abstracts of records and to receive statements and information regarding the background of all responsible persons. Specifically, I hereby authorize the release of the following data or records to ATF: Military information/records, medical information/ records, police and criminal records.

Sign Here \_\_\_\_\_  
 Title \_\_\_\_\_  
 Date \_\_\_\_\_

Attach  
2 X 2  
Photograph(s)  
Here  
  
(See instruction #10)

For ATF Use Only

29: Application is <input type="checkbox"/> Approved <input type="checkbox"/> Denied	Reasons for Denial of Application
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Signature of Licensing Official \_\_\_\_\_ Date \_\_\_\_\_

Information for the Chief Law Enforcement Officer

This form provides notification of a person's intent to apply for a Federal firearms license. It requires no action on your part. However, should you have information that may disqualify the person from obtaining a Federal firearms license, please contact the Federal Firearms Licensing Center at (404) 417-2750. A "Yes" answer to items #24, #25, and #26 could disqualify a person for a license. Also, ATF may not issue a license if the business would be in violation of State or local law.



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

OMB No. 1140-0048

Application for Federal Firearms License

For ATF Use Only

1. Name of Owner or Corporation (If partnership, include name of each partner)

2. Trade or Business Name, if any

3. Employer Identification Number (EIN#) or Social Security Number (SSN is Voluntary)

4. Name of County in Which Business is Located

5. Business Address (RFD or street number, city, State, and ZIP code) (NOTE: This business address CANNOT be a P.O. Box.)

6. Mailing Address (If different from address in Item #5)

7. Contact Numbers (Include Area Code)

Business Phone \_\_\_\_\_ Fax Number \_\_\_\_\_  
Cell Phone \_\_\_\_\_ 24 Hour Emergency # (If different) \_\_\_\_\_

8. Applicant's Business is (Select one)

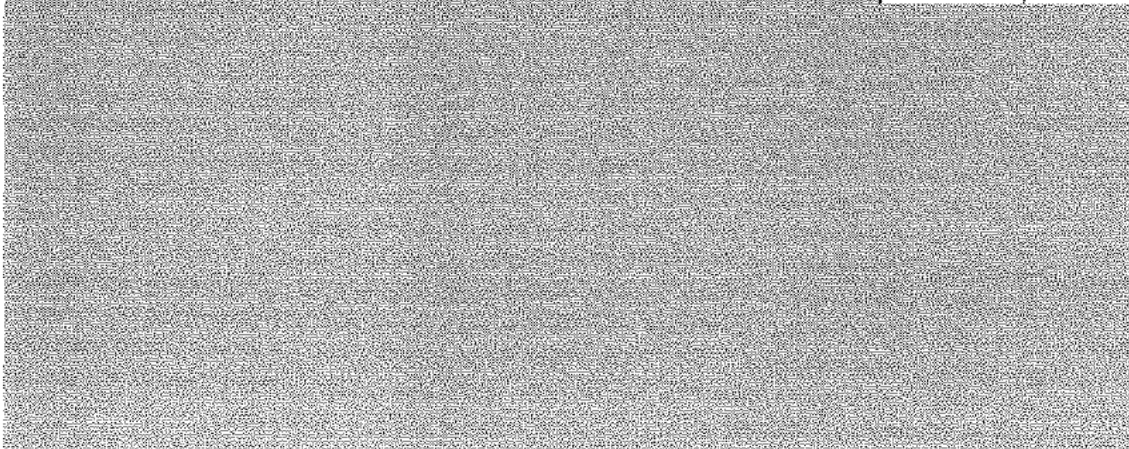
Individually Owned  A Partnership  A Corporation  Other (Specify) \_\_\_\_\_

9. Describe Specific Activity Applicant is Engaged in, or Intends to Engage in, Which Requires a Federal Firearms License. (Sale of ammunition alone does not require a license.)

10. Do You Intend to Engage in Business as a Pawnbroker?  
 Yes  No

11. Application is Made For a License Under 18 U.S.C. Chapter 44 as a: (Place an "X" in the appropriate box. Submit the fee noted next to the box with the application. Licenses are issued for a 5-year period. See instruction #15 for payment information.)

Type	Description of License Type	Fee
01/02	Dealer (01), including Pawnbroker (02), in Firearms Other Than Destructive Devices (includes: Rifles, Shotguns, Pistols, Revolvers, Gunsmith activities and National Firearms Act (NFA) Weapons)	\$200 <input type="checkbox"/>
06	Manufacturer of Ammunition for Firearms Other Than Ammunition for Destructive Devices or Armor Piercing Ammunition	\$30 <input type="checkbox"/>
07	Manufacturer of Firearms Other Than Destructive Devices	\$150 <input type="checkbox"/>
08	Importer of Firearms Other Than Destructive Devices or Ammunition for Firearms Other Than Destructive Devices, or Ammunition Other Than Armor Piercing Ammunition (NOTE: Importer of handguns and rifles, see instruction #8.)	\$150 <input type="checkbox"/>
09	Dealer in Destructive Devices	\$3000 <input type="checkbox"/>
10	Manufacturer of Destructive Devices, Ammunition for Destructive Devices or Armor Piercing Ammunition	\$3000 <input type="checkbox"/>
11	Importer of Destructive Devices, Ammunition for Destructive Devices or Armor Piercing Ammunition (See instruction #8.)	\$3000 <input type="checkbox"/>
Total Fees \$		



ATF Form 7 (3310.4C)  
Revised May 2005

Copy 2 - ATF Copy

13. Hours of Operation of Applicant's Business (Must be completed)							14. Is Applicant Presently Engaged in a Business Requiring a Federal Firearms License? (# "Yes," answer 14a.)	
Time	Sun	Mon	Tues	Wed	Thu	Fri	Sat	<input type="checkbox"/> Yes <input type="checkbox"/> No
Open								
Close								14a. Present Federal Firearms License Number
15. If You Have Served in the Armed Forces, Provide the Service Serial Number and Military Branch.					Service Serial Number		Military Branch	
16. Applicant's Business Premises Are <input type="checkbox"/> Owned <input type="checkbox"/> Leased/Rented <input type="checkbox"/> Military IF RENTED OR LEASED, PLEASE PROVIDE THE NAME, ADDRESS, AND TELEPHONE NUMBER OF THE PROPERTY OWNER. Name and Address of Property Owner (if applicable)  Telephone Number of Property Owner (if applicable)					17. Indicate Type of Business Premises Zoned Commercial: <input type="checkbox"/> Store Front <input type="checkbox"/> Office <input type="checkbox"/> Rod & Gun Club <input type="checkbox"/> Military Base <input type="checkbox"/> Other (Specify) Zoned Residential: <input type="checkbox"/> Single Family Dwelling <input type="checkbox"/> Condominium/Apartment <input type="checkbox"/> Hotel/Motel <input type="checkbox"/> Public Housing			
18. Do You Intend To Make a Profit from Your Business? <input type="checkbox"/> Yes <input type="checkbox"/> No (if no, do not submit application)					IF THE PREMISES ARE LOCATED ON A MILITARY INSTALLATION, ATTACH A COPY OF WRITTEN AUTHORIZATION FROM THE BASE COMMANDER TO CONDUCT A FIREARMS BUSINESS ON THE MILITARY INSTALLATION.			
19a. Do You Intend To Sell Firearms Only at Gun Shows? <input type="checkbox"/> Yes (if yes, do not submit application) <input type="checkbox"/> No					19. Do You Intend to Use Your License Only to Acquire Personal Firearms? <input type="checkbox"/> Yes (if yes, do not submit application.) <input type="checkbox"/> No			

If Business was Obtained From Someone Else, Provide the Following Information.

20. Name of Previous Business	21. Federal Firearms License Number
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22. Provide the information required for each individual owner, partner, and other responsible persons in the business. See instruction #10 for Responsible Person Definition. If a Female, List Any Given, Married, and Maiden Names, e.g., "Mary Alice (Smith) Jones," Not "Mrs. John Jones." (If additional space is needed, use a separate sheet.) Each Responsible Person Must Complete All Information in this Section.

Full Name	Position and Social Security Number (Social Security Number is Voluntary)	Home Address (Please provide every address you have had in the last 5 years.)	Country of Citizenship (List more than one, if applicable. Nonimmigrant aliens must complete all information in item #23)	Place of Birth (City, State, or Foreign Country)	Date of Birth	Race and Ethnicity (Please check one or more boxes)	Sex	Residence Telephone No.
						<input type="checkbox"/> American Indian or Alaska Native <input type="checkbox"/> Asian <input type="checkbox"/> Black or African American <input type="checkbox"/> Hispanic or Latino <input type="checkbox"/> Native Hawaiian or Other Pacific Islander <input type="checkbox"/> White		
						<input type="checkbox"/> American Indian or Alaska Native <input type="checkbox"/> Asian <input type="checkbox"/> Black or African American <input type="checkbox"/> Hispanic or Latino <input type="checkbox"/> Native Hawaiian or Other Pacific Islander <input type="checkbox"/> White		

Full Name	Position and Social Security Number (Social Security Number is Voluntary)	Home Address <i>Please provide every address you have had in the last 5 years.</i>	Country of Citizenship <i>List more than one, if applicable. Nonimmigrant please must complete all information in item #23.</i>	Place of Birth (City, State, or Foreign Country)	Date of Birth	Race and Ethnicity (Please check one or more boxes)	Sex	Residence Telephone No.
						<input type="checkbox"/> American Indian or Alaska Native <input type="checkbox"/> Asian <input type="checkbox"/> Black or African American <input type="checkbox"/> Hispanic or Latino <input type="checkbox"/> Native Hawaiian or Other Pacific Islander <input type="checkbox"/> White		
						<input type="checkbox"/> American Indian or Alaska Native <input type="checkbox"/> Asian <input type="checkbox"/> Black or African American <input type="checkbox"/> Hispanic or Latino <input type="checkbox"/> Native Hawaiian or Other Pacific Islander <input type="checkbox"/> White		

23. Nonimmigrant Alien Certification of Compliance With 18 U.S.C. 922(g)(5)(B). If additional space is needed, use a separate sheet.

18 U.S.C. 922(g)(5)(B) generally makes it unlawful for any nonimmigrant alien to ship or transport in interstate or foreign commerce, or possess in or affecting commerce, any firearms or ammunition; or to receive any firearms or ammunition which have been shipped or transported in interstate or foreign commerce. All nonimmigrant aliens listed in item 22 must complete the following information certifying compliance with 18 U.S.C. 922(g)(5)(B).

A. Name of Person Certifying Compliance Last: \_\_\_\_\_ First: \_\_\_\_\_ Middle Initial: \_\_\_\_\_

B. Immigration and Customs Enforcement (ICE) Issued Alien Number or Admissibility Number (Previously INS Number): \_\_\_\_\_

C. Are you in possession of a valid hunting license or permit lawfully issued in the United States?  Yes  No

- If you answered "NO," you likely cannot lawfully possess a firearm and therefore cannot be a Federal firearms licensee.
- If you answered "YES," complete the following information, and attach a copy of the license or permit to the application.

Hunting License or Permit Number, if any \_\_\_\_\_

State of Issuance \_\_\_\_\_

Expiration Date, if any \_\_\_\_\_

Give Full Details on a Separate Sheet for All "Yes" Answers in Items 24 and 25.		Yes	No
24. Has Applicant or any Person Referred to in Item 22 Above:	A. Held a Federal Firearms License?		
	B. Been Denied a Federal Firearms License?		
	C. Been an Officer in a Corporation Holding a Federal Firearms License?		
	D. Been an Employee of a Federal Firearms Licensee?		
	E. Had a Federal Firearms License Revoked?		
25. Is Applicant or any Person Named in Item 22 Above:	A. Charged by Information or Under Indictment in any Court for a Felony, or any Other Crime for Which the Judge Could Imprison You for More Than One Year?		
	B. A Fugitive from Justice?		
	C. An Alien Who is Illegally or Unlawfully in the United States?		
	D. Under 21 Years of Age?		
	E. An Unlawful User of or Addicted to, Marijuana, or any Depressant, Stimulant or Narcotic Drug, or any other Controlled Substance?		
	F. Subject to a Court Order Restraining Him/Her from Harassing, Stalking, or Threatening his/her child or an Intimate Partner or Child or Such Partner?		

Give Full Details on a Separate Sheet for All "Yes" Answers in Item 26.		Yes	No
26. Has Applicant or any Person Named in Item 22 Ever:	A. Been Convicted in any 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??		
	B. Been Discharged from the Armed Forces Under Dishonorable Conditions?		
	C. Been Adjudicated as a Mental Defective, Which Includes Having Been Adjudicated Incompetent to Manage Your Own Affairs, or Been Committed to any Mental Institution?		
	D. Renounced United States Citizenship?		
	E. Been Convicted in any Court of a Misdemeanor Crime of Domestic Violence? (See definition #3)		

<sup>1</sup> "Informal" is a formal accusation of crime made by a prosecuting attorney, as distinguished from an indictment presented by a grand jury.  
<sup>2</sup> You may answer NO if (a) you have been pardoned for the crime or (b) the conviction has been expunged or set aside or (c) your civil rights have been restored AND you are not prohibited from possessing or receiving any firearms under the law where the conviction occurred.

27. Applicant Certification (Please read and initial each box)

- The business to be conducted under the Federal Firearms License is not prohibited by State or local law at the premises shown in item 5. This includes compliance with zoning ordinances.
- Within 30 days after the application is approved, the business will comply with the requirements of State and local law applicable to the conduct of business.
- Business will not be conducted under the license until the requirements of State and local law applicable to the business have been met.
- A completed copy of this form has been sent (mailed or delivered) to the Chief Law Enforcement Officer of the locality in which the premises is located. (See instruction #5.)
- As required by 18 U.S.C. 923 (d)(1)(G), I certify that secure gun storage or safety devices will be available at any place in which firearms are sold under this Federal Firearms License to persons who are not licensees.

Name of Chief Law Enforcement Officer (CLEO)

CLEO's Address (include no., street, city, county, State, and ZIP Code)

28. Certification: Under the penalties imposed by 18 U.S.C. 924, I declare that I have examined this application and the documents submitted in support thereof, and to the best of my knowledge and belief, they are true, correct and complete. This signature, when presented by a duly authorized representative of the Department of Justice, will constitute consent and authority for the appropriate Department of Justice representative to examine and obtain copies and abstracts of records and to receive statements and information regarding the background of all responsible persons. Specifically, I hereby authorize the release of the following data or records to ATF: Military information/records, medical information/ records, police and criminal records.

Attach  
2 X 2  
Photograph(s)  
Here  
  
(See Instruction #10)

Sign  
Here  
Title  
  
Date

For ATF Use Only

29. Application is <input type="checkbox"/> Approved <input type="checkbox"/> Denied	Reasons for Denial of Application
---	-----------------------------------

Signature of Licensing Official	Date
---------------------------------	------

Information for the Chief Law Enforcement Officer

This form provides notification of a person's intent to apply for a Federal firearms license. It requires no action on your part. However, should you have information that may disqualify the person from obtaining a Federal firearms license, please contact the Federal Firearms Licensing Center at (404) 417-2750. A "Yes" answer to items #24, #25, and #26 could disqualify a person for a license. Also, ATF may not issue a license if the business would be in violation of State or local law.

Instruction Sheet For ATF Form 7 (5310.12)  
(Detach this instruction sheet before submitting your application.)

1. TYPE or PRINT with ball-point pen, except for the signature in item 28. Any attached sheets must:
  - a. Be identified with your name, trade name, address, and Employer Identification Number or Social Security Number (*Social Security Number is Voluntary*) at the top of each page.
  - b. Refer to the questions being answered.
2. Issuance of your license will be delayed if the fee is not included or incorrect, or if the form is incomplete or otherwise improperly prepared.
3. A license Under 18 U.S.C. Chapter 44:
  - a. Is **NOT** a license to carry, use, or possess a firearm.
  - b. Confers **NO** right or privilege to conduct business or activity contrary to State or other law.
  - c. Is a business license and will **NOT** be issued to an applicant solely intending to enhance a personal firearms collection. Applicants for a collector of curios and relics license must submit an ATF Form 7CR (5310.16).
  - d. Is **NOT** a license to sell ammunition only.
  - e. Is **NOT** a license to buy and sell firearms at gun shows only.
4. In most cases, ATF will contact you prior to issuance of a license. If you do not qualify for a license, you will be advised in writing of the reasons for denial and your application fee will be returned. Please note ATF cannot place calls to blocked numbers.
5. Applicants must submit "copy 3" of this form to the Chief Law Enforcement Officer (CLEO) of the locality in which the premises sought to be licensed are located. The CLEO is the Chief of Police, the Sheriff, or an equivalent officer, or the designee of such individual.
6. State laws or local ordinances may have requirements affecting your proposed firearms business. Contact your State and local authorities for specific information on their requirements, see item #27.
7. The certification in item 28 must be signed by the owner, a partner, or in the case of a corporation, association, etc., by an officer duly authorized to sign for the applicant.
8. Applicants intending to import firearms and ammunition may need to register with ATF under the provisions of the Arms Export Control Act. Contact the Firearms and Explosives Imports Branch at (202) 927-8320 for further information on registration.
9. Applicants intending to deal in, import, or manufacture weapons subject to the National Firearms Act (e.g., machineguns, short-barrel shotguns, and destructive devices) are required to pay a Special (Occupational) Tax. Contact the National Firearms Act Branch at (202) 927-8330.
10. **IMPORTANT!!** All responsible persons, to include sole proprietors, must submit a properly prepared FD-258 (*Fingerprint Card*) with this application. Fingerprints must be taken by appropriate law enforcement authorities on the enclosed pre-printed FD-258. The pre-printed FD-258 should reflect "GAATF0100 BU OF ATF-REQ OFF, ATLANTA, GA" to preclude rejection of your fingerprints. A 2" x 2" frontal view photograph, taken within the last 6 months, and clearly showing a full front view of the features of the applicant with head bare, must also accompany this application. Please ensure that each photograph is clearly identified on the reverse with the full name of the responsible person to whom the photograph applies, and attach to ATF Form 7 (5310.12) in the space provided on copy 1. If there are multiple responsible persons, affix each photograph (*with tape*) of each responsible person to a separate sheet of paper and attach to this form.  
  
IN ADDITION TO A SOLE PROPRIETOR, A RESPONSIBLE PERSON IS:  
  
In the case of a corporation, partnership, or association, any individual possessing, directly or indirectly, the power to direct or cause the direction of the management, policies, and practices of the corporation, partnership, or association, insofar as they pertain to firearms.
11. **MULTIPLE LICENSES** - You can apply for more than one license if the business is to be conducted at the same location, by checking more than one type of license in item #11. If business is to be conducted at multiple locations, a separate application and license fee is required for each business location.
12. This form requires you to authorize the release of certain information to ATF such as medical information/records. (See item 28). This information is used to determine, for example, whether the applicant has ever been adjudicated as a mental defective or committed to any mental institution. This information is protected by the Privacy Act of 1974 and cannot be disclosed without your written authorization.
13. PLEASE FORWARD THE APPLICATION WITH FEE, PHOTOGRAPH(S), AND FINGERPRINT CARD(S) TO:

BUREAU OF ALCOHOL, TOBACCO, FIREARMS AND EXPLOSIVES  
P.O. BOX 409567  
ATLANTA, GA 30384-9567

YOU CAN PAY BY CREDIT/DEBIT CARD (*if you chose this option, complete item #12*), OR CHECK OR MONEY ORDER MADE PAYABLE TO ATF. PLEASE DO NOT SEND CASH.

IF YOU HAVE ANY QUESTIONS RELATING TO THIS APPLICATION, PLEASE CONTACT THE ATF FEDERAL FIREARMS LICENSING CENTER, 2600 CENTURY PARKWAY, NE, SUITE 110, ATLANTA, GEORGIA 30345, (404) 417-2750 OR TOLL FREE 1-888-662-2750, OR YOUR LOCAL ATF INDUSTRY OPERATIONS OFFICE.

#### Definitions

1. **Restraining Order** - Under 18 U.S.C. 922 (g)(8), firearms may not be possessed or received by persons subject to a court order that: (A) was issued after a hearing of which the person received actual notice and had an opportunity to participate in; (B) restrains such person from harassing, stalking, or threatening an intimate partner or child of such intimate partner or person, or engaging in other conduct that would place an intimate partner in reasonable fear of bodily injury to the partner or child; and (C) (i) includes a finding that such person represents a credible threat to the physical safety of such intimate partner or child; or (ii) by its terms explicitly prohibits the use, attempted use, or threatened use of physical force against such intimate partner or child that would reasonably be expected to cause bodily injury.
2. **Intimate Partner** - With respect to a person, the spouse of the person, a former spouse of the person, an individual who is a parent of a child of the person, or an individual who cohabitates or has cohabitated with the person.
3. **Misdemeanor Crime of Domestic Violence** - A Federal, State, or local offense that is a misdemeanor under Federal or State law and has, as an element, the use or attempted use of physical force, or the threatened use of a deadly weapon, committed by a current or former spouse, parent, or guardian of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse, parent, or guardian, or by a person similarly situated to a spouse, parent, or guardian of the victim. The term includes all misdemeanors that have as an element the use or attempted use of physical force or the threatened use of a deadly weapon (e.g., assault and battery), if the offense is committed by one of the defined parties.
4. **Secure Gun Storage or Safety Device** - (A) a device that, when installed on a firearm, is designed to prevent the firearm from being operated without first deactivating the device; (B) a device incorporated into the design of the firearm that is designed to prevent the operation of the firearm by anyone not having access to the device; or (C) a safe, gun safe, gun case, lock box, or other device that is designed to be or can be used to store a firearm and that is designed to be unlocked only by means of a key, a combination, or other similar means.
5. **Nonimmigrant Alien** - An alien in the United States in a nonimmigrant classification. The definition includes, in large part, persons traveling temporarily in the United States for business or pleasure, persons studying in the United States who maintain a residence abroad, and certain foreign workers. The definition does NOT include permanent resident aliens.
6. **Hunting License or Permit Lawfully Issued in the United States** - A license or permit issued by a State for hunting which is valid and unexpired.

#### Privacy Act Information

The following information is provided pursuant to Section 3 of the Privacy Act of 1974 (5 U.S.C. § 552a(e)(3)):

1. **Authority.** Solicitation of this information is authorized pursuant to 18 U.S.C. § 923 (a) of the Gun Control Act of 1968. Disclosure of this information is mandatory if the applicant wishes to obtain a Federal Firearms License.
2. **Purpose.** To determine the eligibility of the applicant to obtain a firearms license, and to determine the ownership of the business, the type of firearms or ammunition to be dealt in, the business hours, the business history, and the identity of the responsible persons in the business.
3. **Routine Uses.** The information will be used by ATF to make determinations set forth in paragraph 2. In addition, information may be disclosed to other Federal, State, foreign, and local law enforcement and regulatory agency personnel to verify information on the application and to aid in the performance of their duties with respect to the enforcement and regulation of firearms and/or ammunition where such disclosure is not prohibited by law. The information may further be disclosed to the Justice Department if it appears that the furnishing of false information may constitute a violation of Federal law. Finally, the information may be disclosed to members of the public in order to verify the information on the application when such disclosure is not prohibited by law.
4. **Effects of Not Supplying Information Requested.** Failure to supply complete information will delay processing and may result in denial of the application.
5. **Disclosure of Social Security Number.** Disclosure of the individual's social security number is voluntary. Under 18 U.S.C. § 923 (a), ATF has the authority to solicit this information. The number may be used to verify the individual's identity. See Section 7(b) of the Privacy Act.

#### Paperwork Reduction Act Notice

This request is in accordance with the Paperwork Reduction Act of 1995. The information collection is used to determine the eligibility of the applicant to engage in certain operations, to determine location and extent of operations, and to determine whether the operations will be in conformity with Federal laws and regulations. The information requested is required to obtain or retain a benefit and is mandatory by statute (18 U.S.C. § 923).

The estimated average burden associated with this collection is 1 hour and 15 minutes per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be directed to Reports Management Officer, Document Services Branch, Bureau of Alcohol, Tobacco, Firearms and Explosives, Washington, DC 20226.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

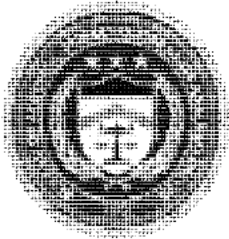
Marginals for ATF F 7 (5310.12)(May 2005):

Copy 1 - ATF Copy

Copy 2 - ATF Copy

Copy 3 - CLEO Copy

Copy 4 - Applicant Copy



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

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Date:

TO:

**WARNING NOTICE OF STRAW PURCHASING**

The Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) is the government agency responsible for enforcing Federal firearms laws. Information received by ATF indicates that you may have acquired one or more firearms from a federally licensed firearms dealer for, or on behalf of, another person. This letter officially notifies you that Federal law prohibits you from providing false information to a Federal firearms licensee regarding the person who is the actual transferee-buyer of the firearm(s).

Specifically, Federal law at Title 18, United States Code, Sections 922(a)(6) and 924(a)(1)(A), provides that it is unlawful for any person to make a false statement on a Firearms Transaction Record, ATF Form 4473, when acquiring a firearm from a Federal firearms licensee. For example, it is unlawful to knowingly provide a false or incorrect name, address, place of birth, or other information on ATF Form 4473. It is also unlawful to misrepresent that you are the actual transferee-buyer of a firearm when you are acquiring the firearm for someone else. **You are not the actual transferee-buyer of a firearm if you are acquiring the firearm for, or on behalf of, any other person**, unless the firearm is a *bona fide* gift, or being retrieved after repair. Any person convicted of making a false statement to a Federal firearms licensee when acquiring a firearm may be imprisoned for up to ten (10) years for violating Section 922(a)(6), or five (5) years for violating Section 924(a)(1)(A). Such person may also be fined up to \$250,000.

This Warning Notice does not constitute a bar to the United States, or any State or municipality, prosecuting you for any criminal offense related to any unlawful firearm transaction.



Exhibit 6

If you have any questions or have information concerning any illegal firearms purchases, please contact this office at [phone number].

Sincerely yours,

Special Agent in Charge

Bureau of Alcohol, Tobacco, Firearms and Explosives

Field Division

**Warning Notice Served by:**

Special Agent, ATF: \_\_\_\_\_

Date: \_\_\_\_\_

Location: \_\_\_\_\_

\_\_\_\_\_

**Witnessed by:**

Special Agent, ATF: \_\_\_\_\_

Date: \_\_\_\_\_

**I hereby acknowledge receipt of this Warning Notice:**

Recipient's Name (Printed): \_\_\_\_\_

Recipient's Signature: \_\_\_\_\_

Date Signed by Recipient: \_\_\_\_\_

Exhibit 7

LIST OF ACRONYMS

A

AD Assistant Director  
ASAC Assistant Special Agent in Charge  
ATF Bureau of Alcohol, Tobacco, Firearms and Explosives  
AUSA Assistant United States Attorney

C

CFR Code of Federal Regulations  
CI Confidential Informant

D

DAD Deputy Assistant Director  
DEA Drug Enforcement Agency  
DICE DEA Internet Capability Endeavor  
DIO Director of Industry Operations  
DOB Date of Birth  
DOJ Department of Justice

E

EPA Environmental Protection Agency  
EPIC El Paso Intelligence Center

F

FBI Federal Bureau of Investigations  
FFL Federal Firearms Licensee  
FIG Field Intelligence Group  
FTC Firearms Trafficking Coordinator  
FTB Firearms Technology Branch  
FTS Firearms Tracing System  
FO Field Operations

G

GCA Gun Control Act  
GS Group Supervisor

H

HSI Homeland Security Investigations  
HIDTA High Intensity Drug Trafficking Area

I

ID Identification  
ITAR International Traffic in Arms Regulations

J

JSOC Joint Support Operations Center

Exhibit 7

<u>L</u>	
LESB	Law Enforcement Support Branch
<u>N</u>	
NFA	National Firearms Act
NFRTR	National Firearms Registration and Transfer Record
NIBIN	National Integrated Ballistic Information Network
NICS	National Instant Criminal Background Check System
NTC	National Tracing Center
<u>O</u>	
OBRIS	Out-of-Business Records Imaging System
<u>R</u>	
RAC	Resident Agent in Charge
ROI	Report of Investigation (ATF F 3120.2)
<u>S</u>	
SAC	Special Agent in Charge
SOT	Special Occupational Tax
<u>T</u>	
TECS	Treasury Enforcement Communications System
<u>U</u>	
U.S.	United States
U.S.C.	United States Code
<u>W</u>	
WV	West Virginia