

ROUTE 32 AUCTIONS LLC's FCI
FCI-29523
04/04/2022 10:34 AM
IO (b)(6) Indianapolis II (IO) Field Office

LICENSEE INFORMATION

Licensee Name	RDS Key	License/Permit Number	License Type
ROUTE 32 AUCTIONS LLC	4-35-09432	4-35-107-01-3K-09432	01 - Dealer License

Business Type
Limited Liability Company (LLC)

Premises Address

Mailing Address

Premises Ownership Type
Owned

Same as Premises Address

Premises Location Type
Office

Address
3097 EAST STATE ROAD 32
Unit N/A
CRAWFORDSVILLE, Indiana 47933
MONTGOMERY United States

Phone Type	Phone Number	Remarks
Business	+1 765-307-7119	
Mobile	(b)(6)	

Email Address	Email Remarks
(b)(6)	DEREK BISHOP
(b)(6)	KEVIN PARKER
(b)(6)	(b)(6)

RECOMMENDATIONS

Final Decision
Warning Conference

Deputy Assistant Director - Industry Operations Hans Hummel's Recommendation
Warning Conference

Details

This FCI was briefed to the Acting Director on 2/24/22. A DIO led WC in lieu of revocation is appropriate after consideration of the following extraordinary circumstances. Notably, the FFL received a phone qualification during the COVID pandemic. The FFL failed to complete a 4473 or run a NICS background when they returned a firearm to the original owner who had brought it in with the intention of having the firearm auctioned. The person stayed for the auction and the firearm was returned when it was not successfully auctioned. Two RPs had been terminated prior to the inspection - these two RPs were the Firearms Manager and General Manager who were responsible for the transaction.

Special Agent in Charge Roland Herndon's Recommendation

I concur with the DIO. Warning Conference

Division Counsel (b)(6) Review

Details

Review completed.

Director Industry Operation (b)(6) Recommendation
Warning Conference

Details

The DIO concurs with recommendation for alternate DIO led WC in lieu of Revocation. The justification in support of this recommendation are set forth in the Initial 8C.

Area Supervisor (b)(6) Recommendation
Warning Conference

Details

Alternate DIO led Warning Conference in lieu of Revocation is recommended for the following reasons: This is ATF's first actual field contact and the first compliance inspection of Route 32 Auctions LLC (initiated September 8, 2021). The results of inspection included a single violation that rises to the level of revocation. On one (1) occasion the FFL failed to conduct a background check before returning a consignment firearm in violation of 27 CFR 478.102(a). The FFL stated

that he was unaware that the return of a consignment firearm required a NICS background check. The customer's criminal history was queried, and the customer was determined not to be prohibited from receiving firearms. The FFL has zero firearms traced since beginning business in October 2020. The FFL has had a total of [redacted] multiple sales of pistols and revolvers; however, [redacted] multiple sales were not reported as required and the FFL was cited for 27 CFR 478.126(a). The FFL stated that these transactions happened during the first or second auction he ever conducted. At the time the FFL had five (5) temporary employees that did not realize the requirements. Other violations cited involved less than 5% of the FFL's transactions reviewed and no transactions have a nexus to violent crime.

Industry Operations Investigator: (b)(6) Recommendation:
Warning Conference

Details

This Federal Firearms License (FFL) compliance inspection for Route 32 Auctions LLC was completed by Industry Operations Investigator (IOI) (b)(6) in accordance with the provisions of the Industry Operations Manual (IOM) and special instructions.

An Open Fox background check was completed on two (2) Responsible Persons (RP) – Mr. Kevin Parker and Mr. Derek Bishop. The query and results determined no prohibitive or suspicious information. IOI (b)(6) performed an ATF de-confliction through FLS, N-Force, Indianapolis III (CE), and INTEL which identified no open criminal enforcement investigations.

An unannounced on-site firearms compliance inspection began on 09/08/2021. The inspection covered a 12-month inspection period, starting 09/08/2020 through 09/07/2021. Mr. Kevin Parker -RP/Owner and (b)(6) - Office Manager. – were present and interviewed during the course of the inspection. All field work was completed on 11/15/2021. A preliminary closing conference was held on 11/05/2021 which included a Federal Firearms Regulation Review with the entire staff of the licensee. A formal closing conference was completed on 11/15/2021 and the issuance of a Report of Violations (ROV). Additional field work and an ROV was re-issued on 11/16/2021. An Acknowledgement of Federal Firearms Regulations and the ROV was signed by Mr. Kevin Parker on 11/15/2021 and 12/01/2021.

Inspection Findings

Records and Forms

- 6. Failure to execute a Form 4473 for the return of a firearm that was consigned to the licensee; if the transferee is NOT prohibited.

Firearms

- 1. Missing firearms after inventory reconciliation (e.g., no records of disposition, required or otherwise).

NICS

- 1. Failure to conduct a NICS check or obtain alternative permit for the return of firearm that was consigned to the licensee.

ELIGIBILITY VERIFICATION

Business Information Verification

Licensee Name	Business Type	Is the business valid?
ROUTE 32 AUCTIONS LLC	Limited Liability Company (LLC)	Yes

Additional Findings

Route 32 Auctions LLC - was queried through the Indiana Secretary of State's On-line database. Route 32 Auctions LLC was verified as an Active Limited Liability Company in the State of Indiana.

Attachment(s):

IN Sec of State - Route 32 Auctions LLC.JPG

Property Ownership Verification

Premises Ownership Type	Premises Location Type	Has the property ownership been verified?
Owned	Office	Yes

Address:

3097 EAST STATE ROAD 32
Unit N/A
CRAWFORDSVILLE, Indiana 47933
MONTGOMERY United States

Additional Findings

The Montgomery County (IN) Assessors Office -Geographic Information System (GIS) - was queried to verify the ownership of 3097 East State Road 32, Crawfordsville, IN 47933.

The business premises located at 3097 East State Road 32, Crawfordsville, IN is owned by Route 32 Auctions LLC.

Attachment(s):

Montgomery County Assessors - 3097 State Rd 32 E.pdf

Trade Name/DBA Verification

Trade Name/DBA	Is the trade name/DBA registered?
ROUTE 32 AUCTIONS	Yes

Additional Findings

he trade name "Route 32 Auctions" is not required to be registered with the Indiana Secretary of State, as it is its official name - Route 32 Auctions, LLC.

Attachment(s):

DBA Requirements.pdf

Zoning Information Verification

Is the proposed business activity in compliance with zoning?

Yes

Additional Findings

The Montgomery County (IN) Zoning Administration was contacted; (b)(6) indicated that the zoning of the property at 3097 East State Road 32, Crawfordsville, IN 47933 is Commerical/Other, which is compliant zoning to deal/auction firearms.

Contact Information

Name: (b)(6) Date Contacted: 09/07/2021

Organization: Montgomery County Building Administration

Job Title: Building -Zoning Administrator

Phone Type	Phone Number	Remarks
Business	(b)(6)	

Email Address	Email Remarks
(b)(6)	

Attachment(s):

APPOINTMENT DETAILS

Interview Date: 09/27/2021

Address: 3097 EAST STATE ROAD 32, Unit N/A, CRAWFORDSVILLE, Indiana 47933 Remarks: On site visit was initiated on 09/08/2021.

Responsible Attendee(s)

KEVIN DEWAYNE PARKER
DEREK D BISHOP

(b)(6) (Deactivated)
(Deactivated)

Non-Responsible Person(s)

(Deactivated)
(Deactivated)
(b)(6) (Deactivated)
(b)(6) Deactivated

RESPONSIBLE PERSON(S)

KEVIN DEWAYNE PARKER

Name: KEVIN DEWAYNE PARKER Gender: Male Race: White Ethnicity: Not Hispanic or Not Latino

Date of Birth: (b)(6) SSN: (b)(6) Job Title: OWNER

Physical Identifiers

Height: (b)(6) Weight: (b)(6) Hair Color: Gray or Partially Gray Eye Color: Hazel

Place of Birth

Country: United States Of America State: (b)(6) City: (b)(6)

Home Address

867 WALNUT HILLS
Unit N/A
CRAWFORDSVILLE, Indiana 47933
United States

Additional Names

Citizenship

United States

ID Type	Country	State	ID Number
Driver's License	United States	(b)(6)	(b)(6)
Phone Type	Phone Number	Remarks	
Mobile	(b)(6)		
Email Address	Email Remarks		
(b)(6)			

Criminal History Check

Date Criminal History Check Conducted
09/08/2021

Criminal History Check Comments
No prohibitive information.

DEREK D BISHOP

Name	Gender	Race	Ethnicity
DEREK D BISHOP	Male	White	Not Hispanic or Not Latino
Date of Birth	SSN	Job Title	
(b)(6)	(b)(6)	RP	

Physical Identifiers

Height	Weight	Hair Color	Eye Color
(b)(6)	(b)(6)	Brown	Hazel

Place of Birth

Country	State	City
United States Of America	(b)(6)	(b)(6)

Home Address

(b)(6)

Additional Names

Citizenship

United States

ID Type	Country	State	ID Number
Driver's License	United States	(b)(6)	(b)(6)
Phone Type	Phone Number	Remarks	
Mobile	(b)(6)		
Email Address	Email Remarks		
(b)(6)			

Criminal History Check

Date Criminal History Check Conducted
09/08/2021

Criminal History Check Comments
No prohibitive information.

(b)(6)

(Deactivated)

Name	Gender	Race	Ethnicity
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(b)(6)

Male

White

Not Hispanic or Not Latino

Date of Birth
(b)(6)

SSN
(b)(6)

Job Title
GENERAL MANAGER

Physical Identifiers

Height
(b)(6)

Weight
(b)(6)

Hair Color
Brown

Eye Color
Brown

Place of Birth

Country
United States Of America

State
(b)(6)

City
(b)(6)

Home Address

(b)(6)

Additional Names

Citizenship

United States

Phone Type	Phone Number	Remarks
Mobile	(b)(6)	

Email Address	Email Remarks
(b)(6)	

Criminal History Check

Date Criminal History Check Conducted
09/08/2021

Criminal History Check Comments
No prohibitive information.

(b)(6)

(Deactivated)

Name
(b)(6)

Gender
Male

Race
White

Ethnicity
Not Hispanic or Not Latino

Date of Birth
(b)(6)

SSN
(b)(6)

Job Title
RP

Physical Identifiers

Height
(b)(6)

Weight
(b)(6)

Hair Color
Brown

Eye Color
Brown

Place of Birth

Country
United States Of America

State
(b)(6)

City
(b)(6)

Home Address

(b)(6)

Additional Names

Citizenship

United States

Phone Type	Phone Number	Remarks
Mobile	(b)(6)	

Email Address	Email Remarks
(b)(6)	

Criminal History Check

Date Criminal History Check Conducted
09/08/2021

Criminal History Check Comments
No prohibitive information.

NON-RESPONSIBLE PERSON(S)

Name	Date of Birth	Job Title
		Office Manager

Name	Date of Birth	Job Title
		Firearms Associate

(b)(6)

Name	Date of Birth	Job Title
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(b)(6)

(b)(6)

Name	Date of Birth	Job Title
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(b)(6)

INTERVIEW QUESTIONNAIRE

What is the proposed business activity?
Providing consignment auctions of firearms and providing transfer services for firearms purchased over the internet.

Do they need an additional license or permit?
No

Who are their primary suppliers?
General Public

Other State or Local Permits

Type	Number	Expiration
State Sales Tax	(b)(5)(26 USC § 6103)	4/30/22

Business Activities

Selected Operational Security Measures
No items

Retail

PREMISES INFORMATION

Inspection Area Description
The premises location is a retail auction house (b)(4) ATF Form 4473's are located in the front office area in locked filing cabinets.

Primary Activity
Auction House

Selected Physical Security Measures

GPS Coordinates

Latitude
-40.02429

Longitude
-086.50531

(b)(4)

INTERVIEW NOTES

See Onsite Summary.

ONSITE SUMMARY

Total Number of ATF Form 4473s for Inspection Review Period

Total Number of ATF 4473 Reviewed

Total Number of Open Dispositions in A & D Record

Total Number of Firearms in Inventory
147

Actual Number of Firearms Verified

Number of Firearms Missing Before Reconciliation

Total Number of Firearms Missing After Reconciliation

Total Number of Acquisitions in the Last 12 Months

(b)(4)

Total Number of Dispositions in the Last 12 Months

(b)(4)

Onsite Start Date

Onsite End Date

Number of Reported Lost/Stolen Firearms During Inspection Period

Total Number of Traces During Inspection Review Period

Total Number of Those Traces That Were Unresolved

Inspection Period Start Date

Inspection Period End Date

Number Of Traces Resolved By IOI

[Click Here to See List of Perfected Traces](#)

Additional Comments

An unannounced on-site compliance inspection was started on 09/08/2021 and covered an inspection period between 09/08/2020 through 09/07/2021. Route 32 Auctions LLC (licensee) has been licensed since 09/30/2020 and the license application was completed over the phone and issued during the COVID-19 environment. The inspection is being completed as a required follow-up to all licenses issued during the initial COVID-19 protocol. Initially, the Licensee had four (4) Responsible Persons (RP) on the license that included an owner - Mr. Kevin Parker; a firearms general manager [redacted (b)(6)] a shipping/ receiving manager [redacted (b)(6)] and a backup associate - Mr. Derek Bishop. All four RP's were present on the phone during the application qualification process and present during the over-the-phone regulation review completed as part of the process.

At the onset of the inspection, Mr. Kevin Parker - Owner/RP, indicated that [redacted (b)(6)] were both no longer employed with Rt. 32 Auctions LLC and recently had either been fired or left on their own for other employment. [redacted (b)(6)] Office Manager - had essentially taken over part of the duties of those two individuals. [redacted (b)(6)] is in the process of being added as an RP. Mr. Kevin Parker - Owner / RP provided a letter (signed and dated) to remove both [redacted (b)(6)] as RP's on the license. The letter is attached to this assignment.

The initial phase of the inspection was to complete a full inventory of firearms currently on-site and documented in the Acquisition - Disposition (AD) record. This process resulted in [redacted] firearms listed in the A/D record as in inventory but not actually found or visually verified to be in inventory. The licensee was provided several weeks to find the firearms or to provide proof of transfer to an individual (ATF Form 4473) or to another dealer (copy of business records and FFL license). The licensee provided business invoices with copies of FFL's for [redacted] missing firearms and [redacted] ATF Form 4473 to show the firearm was transferred to an individual. [redacted] firearm was not found and was listed and submitted to ATF as a lost/missing firearm. [redacted (b)(3) (112 Public Law 55 125 Stat 552)]. Overall the licensee failed to timely and/or accurately enter the acquisition or disposition information in [redacted] instances which did not represent 5% of the overall entries. The licensee was cited a violation of 27 CFR 478.125(e).

In addition, it was found that [redacted] firearm was received on consignment to sell at an auction and was returned to the same individual without processing an ATF Form 4473 and background check. [redacted (b)(3) (112 Public Law 55 125 Stat 552); (b)(6)] and was present at the licensee's premises location during the consignment auction that took place on 01/29-01/30/2021. [redacted (b)(3) (112 Public Law 55 125 Stat 552); (b)(6)] consigned to the licensee, did not sell at the required price during the auction. Mr. [redacted (b)(6)] requested the firearm to be returned to him on 01/30/2021. The licensee indicated that they were unaware that the transaction needed to be recorded on an ATF Form 4473 and a NICS background check was required to return the firearm to [redacted (b)(6)] through III and the NICS background system and found no prohibitive information that would have disqualified [redacted (b)(6)] from receiving the firearm. The licensee has been cited a violation of 27 CFR 478.102(a) and 27 CFR 478.124(a). A complete review of the licensee's records found that the licensee did not attempt to return any other consigned firearms back to the original owners/consignees.

A review of the [redacted] ATF Form 4473's was completed during the inspection. The licensee was cited violations of: 27 CFR 478.126a; 27 CFR 478.21(a); and 27 CFR 478.124(C).

The licensee failed to complete and submit an ATF Form 3310.4 - Multiple Sale of Pistol and/or Revolvers for [redacted] transactions that involved at least [redacted] pistols and/or revolvers. The licensee completed [redacted] other ATF Form 3310.4's during the inspection period. The licensee failed to submit an ATF Form 3310.4 - 38% of the time during the inspection period.

The licensee failed to verify the answers of the ATF Form 4473 in section 21a. (Are you the actual buyer of the firearm?) for accuracy and completeness when the buyer failed to answer the question or provided a NO answer to the question. Overall, the licensee failed to verify the accuracy and completeness on ATF Form 4473 section 21 or 22 (previous version -11 or 12) of [redacted] occasions which represented 3.6%. And the licensee failed to enter out [redacted] ATF Form 4473 -the buyers Identification information for section 26a.

Attachment(s)

Report of Violations.pdf

Report of Violations.pdf

Licensee Response to Violations Report.pdf

Firearm Theft Loss List.pdf

REPORT OF VIOLATIONS

Regulation	Corrective Actions	Instance Details
<p>27 CFR 478.102(a): Failure to complete a NICS/POC background check</p> <p>ATF Forms 4473: 1 Number of Instances: 1</p>	<p>Execute a NICS background check on all future transactions that involve the transfer of firearms (received on consignment) to non-licensees including transfers of firearms to any non-licensees that are the original consignor of the firearms.</p> <p>Retrieve and accurately record (on an ATF Form 4473) a required final NICS/POC background check response prior to all future over-the-counter firearm transactions.</p>	<p>NICS Violation: (b)(6)</p>
<p>27 CFR 478.126a: Failure to report multiple sales or other dispositions of pistols and revolvers</p> <p>ATF Forms 4473: [redacted] Number of Instances: [redacted]</p>	<p>Complete and submit ATF Form 3310.4 (Report of Multiple Sale or Other Disposition of Pistols and Revolvers) for all non-reported multiple sales identified as a result of this inspection.</p> <p>Complete and submit ATF Form 3310.4 (Report of Multiple Sale or Other Disposition of Pistols and Revolvers) by close of the same business day, for all applicable future multiple sales.</p>	<p>(b)(3) (112 Public Law 55 125 Stat 552),(b)(6)</p>
<p>27 CFR 478.124(a): Failure to execute an ATF F 4473</p> <p>ATF Forms 4473: [redacted] Number of Instances: [redacted]</p>	<p>Execute and retain a complete and accurate ATF Form 4473 on all future firearm transactions involving the return of consigned firearms to non-licensees that are the original consignors.</p> <p>Execute and retain a complete and accurate ATF Form 4473 on all future firearm transactions.</p>	<p>(b)(3) (112 Public Law 55 125 Stat 552),(b)(6)</p>
<p>27 CFR 478.125(e): Failure to maintain an accurate/complete/timely acquisition and disposition record of firearms</p> <p>Number of Instances: [redacted]</p>	<p>Accurately, completely & timely record all required future firearm acquisition information.</p> <p>Accurately, completely & timely record all required future firearm disposition information.</p> <p>Amend/Update A&D Record to accurately record all required firearm acquisition information.</p> <p>Amend/Update A&D Record to accurately record all required firearm disposition information.</p> <p>Resume proper maintenance of required acquisition and disposition record.</p> <p>Complete and submit ATF Form 3310.11 - Firearms Inventory Theft/Loss Report.</p>	<p>(b)(3) (112 Public Law 55 125 Stat 552)</p>

		(b)(3) (112 Public Law 55 125 Stat 552)
5	27 CFR 478.21(a): Failure to complete forms as prescribed ATF Forms 4473 Number of Instances	Ensure that all required ATF Form 4473 Section A items are completed/provided by the transferee/buyer on all future transactions. (b)(3) (112 Public Law 55 125 Stat 552),(b)(6)
6	27 CFR 478.124(c)(3)(i): Failure to verify or record Identification document on ATF F 4473 ATF Forms 4473 Number of Instances	Execute and retain a complete and accurate ATF Form 4473 on all future firearm transactions. Ensure that all required transferee/buyer identification information is obtained and accurately recorded on all future ATF Forms 4473, Section B. (b)(3) (112 Public Law 55 125 Stat 552),(b)(6)

THEFT/LOSS REPORT

Acquisition Date	Type	Manufacturer	Importer	Model	Caliber/Gauge	Serial Number
(b)(3) (112 Public Law 55 125 Stat 552)						

LICENSEE RESPONSE REPORT

Regulation	Corrective Actions	Licensee Response	Status Details
1 27 CFR 478.102(a): Failure to complete a NICS/POC background check ATF Forms 4473: 1 Number of Instances: 1	Execute a NICS background check on all future transactions that involve the transfer of firearms (received on consignment) to non-licensees including transfers of firearms to any non-licensees that are the original consignor of the firearms. Retrieve and accurately record (on an ATF Form 4473) a required final NICS/POC background check response prior to all future over-the-counter firearm transactions.	The licensee indicated that the violation was an oversight and unintentional. The licensee indicated that they were unaware that a firearm that was consigned to them could not be returned to the consignor without a background check or an ATF 4473.	Status Licensee Notified Verified Method In Person Date Licensee Notified 11/05/2021
2 27 CFR 478.126a: Failure to report multiple sales or other dispositions of pistols and revolvers ATF Forms 4473 Number of Instances	Complete and submit ATF Form 3310.4 (Report of Multiple Sale or Other Disposition of Pistols and Revolvers) for all non-reported multiple sales identified as a result of this inspection. Complete and submit ATF Form 3310.4 (Report of Multiple Sale or Other Disposition of Pistols and Revolvers) by close of the same business day, for all applicable future multiple sales.	The licensee indicated that the violations occurred during the first and second auction that they have had and at the time, they had five (5) temporary employees available to help with processing transactions. The licensee believes that they did not know a report was required.	Status Correction Verified Verified Method In Person Date Correction Verified 11/05/2021
3 27 CFR 478.124(a): Failure to execute an ATF F 4473 ATF Forms 4473 Number of Instances	Execute and retain a complete and accurate ATF Form 4473 on all future firearm transactions involving the return of consigned firearms to non-licensees that are the original consignors. Execute and retain a complete and accurate ATF Form 4473 on all future firearm transactions.	The licensee indicated that the violation was an oversight and unintentional. The licensee indicated that they were unaware that a firearm that was consigned to them could not be returned to the consignor without a background check or an ATF 4473.	Status Licensee Notified Verified Method In Person Date Licensee Notified 11/05/2021
27 CFR 478.125(e): Failure to maintain an accurate/complete/timely acquisition and disposition record of firearms	Accurately, completely & timely record all required future firearm acquisition information. Accurately, completely & timely record all required future firearm disposition information.	The licensee indicated that they relied on an inventory process that involved several former employees. The licensee indicated that they were unaware of any formal inventories completed for	Status Correction Verified Verified Method In Person

4	Number of Instances: []	Amend/Update A&D Record to accurately record all required firearm acquisition information. Amend/Update A&D Record to accurately record all required firearm disposition information. Resume proper maintenance of required acquisition and disposition record. Complete and submit ATF Form 3310.11 - Firearms Inventory Theft/Loss Report.	firearms prior to the compliance inspection. The licensee indicated that they learned how to do a formal inventory through the inspection and the importance of routine inventories. The licensee indicated that they learned a lot about what additional information they should include as part of their bid ticket that will help complete inventories in the future.	Date Correction Verified 11/05/2021
5	27 CFR 478.21(a): Failure to complete forms as prescribed ATF Forms 4473 Number of Instances: []	Ensure that all required ATF Form 4473 Section A items are completed/provided by the transferee/buyer on all future transactions.	The licensee indicated that the violations were oversights and unintentional. The licensee indicated that they just missed the errors in 21a. and has indicated that they will incorporate a second review of the forms prior to transferring the firearms.	Status Licensee Notified Verified Method In Person Date Licensee Notified 11/05/2021
6	27 CFR 478.124(c)(3)(i): Failure to verify or record Identification document on ATF F 4473 ATF Forms 4473 Number of Instances: []	Execute and retain a complete and accurate ATF Form 4473 on all future firearm transactions. Ensure that all required transferee/buyer identification information is obtained and accurately recorded on all future ATF Forms 4473, Section B.	The licensee indicated that they were surprised by the error, as they keep a copy of the identification for every transaction. The licensee indicated that they will pull their internal paperwork and fix the ATF Form 4473 on a copy of the form.	Status Correction Verified Verified Method In Person Date Correction Verified 11/05/2021

CLOSING CONFERENCE

(11/5/2021)
11/05/2021

Attachment(s)

Attendee(s)

KEVIN DEWAYNE PARKER

WARNING CONFERENCE

Scheduling Letter

Assigned To

(b)(6)

Delivery Method

Hand-Delivery

Recipient Name

Kevin Park

Delivery Date

03/07/2022 11:45 AM

Additional Notes

The Scheduling Letter and Report of Violations have been received by Mr. Kevin Parker (RP) and (b)(6) (Office Manager) on 03/07/2022. The documents were sent by Electronic Mail with a request for receipt of the documents. (b)(6) replied on 03/07/2022 at 11:46 AM acknowledging receipt of the documents and confirming the warning conference meeting on 03/24/2022 at 1:00 PM. Receipt Exhibit is attached.

Conference Details

Warning Conference Lead

Judyth Ledoux

Representing ATF

(b)(6) Judyth Ledoux and (b)(6)

Conference Date/Time

03/24/2022 01:00 PM

Responsible person(s) representing the licensee

KEVIN DEWAYNE PARKER

Conference Address

151 N Delaware St, Ste 1000, Indianapolis, Indiana 46204

Non-Responsible person(s) representing the licensee

(b)(6)

Follow-Up Letter Details

27 CFR 478.21(a) and 27 CFR 478.124(c)(3)(i):

In response to these violations, you stated you now use blue ink for you and your customers to complete ATF Forms 4473. This assists in identifying items that are not complete or completed incorrectly. You also stated you have implemented a "double" review system for all ATF Form 4473 transactions completed: The form is reviewed by the employee handling the transaction and reviewed again at the time the NICS/FBI background check is conducted, typically by (b)(6)

27 CFR 478.125(e):

In response to this violation, you stated that you are now utilizing two employees to enter information in the Acquisition and Disposition (A&D) record and cross-check the information entered for accuracy. You implemented an inventory tag system (a number that represents an A&D line number) for all firearms. You stated this was implemented after observing IOI (b)(6) conduct the inventory audit during the inspection. You indicated this system has greatly improved your ability to conduct internal inventory audits, which you now do after every auction.

27 CFR 478.126a:

In response to this violation, you stated that all ATF Form 3310.4's are sent to ATF's National Tracing Center via email with a delivery receipt that you attach to the ATF Form 4473. You send the Form 3310.4 to the local law enforcement authority priority mail so you can track it to ensure delivery was made.

27 CFR 478.102(a) and 27 CFR 478.124(a):

In response to this violation, you stated you now understand the required regulations for return of consignment firearms. You stated that an ATF Form 4473 will be completed, and a NICS/FBI background check conducted for all consignment returns in the future. Additionally, you have created a "contract" that all consignors must read and agree to, informing them they are subject to complete an ATF Form 4473 and undergo a background ground check if the firearm is not sold or returned for any reason. This contract must be signed and agreed to prior to accepting a firearm on consignment.

Lastly, you stated that you will no longer use outside sources (i.e., other licensees) to address compliance matters. From here on you will contact an Industry Operations Investigator to answer any questions you have related to the Federal Firearms Law and Regulations.

Warning Conference Documents

Attachment	Date/Time
ATF Compliance Plan - Route 32 Auctions.pdf	03/29/2022 09:12 AM

Follow-Up Letter

Delivery Method

Hand-Delivery

Recipient Name: Kevin Parker (b)(6) Delivery Date: 03/30/2022 12:25 PM

Additional Notes

ATF Warning Conference - Follow Up Letter for Route 32 Auctions LLC was sent by email to Mr. Kevin Parker- RP and (b)(6) - Office Manager on 03/30/2022. A receipt of delivery was received at 12:25 PM for delivery confirmation to Mr. Kevin Parker and (b)(6) (attached). An email response was received by (b)(6) that the letter was received (attached).

EXHIBITS

Inspection

Category	Attachment Name
Correspondence	Spartan Notification RE: 4-35-09432 Inspection Results
WarningConferenceFollowUpLetter	Follow Up Letter.pdf
WarningConferenceAttachment	ATF Compliance Plan - Route 32 Auctions.pdf
WarningConferenceSchedulingLetter	Scheduling Letter.pdf
Correspondence	Spartan Notification RE: 4-35-09432 Monitored Case
Correspondence	Spartan Notification RE: 4-35-09432 Monitored Case
Correspondence	Spartan Notification RE: 4-35-09432 Monitored Case
Correspondence	Spartan Notification RE: 4-35-09432 Monitored Case
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Correspondence	Spartan Notification RE: 4-35-09432 Monitored Case
ReturnedSignedROV	Amended ROV - Route 32 Auctions LLC.pdf
Correspondence	
Correspondence	Information Concerning Your Federal License/Permit
Correspondence	
Correspondence	Information Concerning Your Federal License/Permit
ViolationsPDF	Report of Violations.pdf
Correspondence	Information Concerning Your Federal License/Permit
Correspondence	Information Concerning Your Federal License/Permit
Correspondence	
Correspondence	
Correspondence	Information Concerning Your Federal License/Permit
ViolationsPDF	Report of Violations.pdf
LicenseeResponseToViolationsPDF	Licensee Response to Violations Report.pdf
ClosingConferenceSummary	Acknowledgment of Regulations.pdf
OnSiteSummaryInformation	Form 3310.4 -Multiple Sale - Submission.pdf
FirearmTheftLossList	Firearm Theft Loss List.pdf
OnSiteSummaryInformation	Rt 32 Auctions - Theft Loss.pdf
TradeNameVerification	DBA Requirements.pdf
PropertyOwnershipVerification	Montgomery County Assessors - 3097 State Rd 32 E.pdf
BusinessVerification	IN Sec of State - Route 32 Auctions LLC.JPG



March 4, 2022

WARNING CONFERENCE

ROUTE 32 AUCTIONS LLC
ROUTE 32 AUCTIONS
3097 EAST STATE ROAD 32
CRAWFORDSVILLE, Indiana 47933

Re: Federal Firearms License Number: 4-35-09432

ROUTE 32 AUCTIONS LLC,

As a result of a recent compliance inspection conducted by the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) at your firearms business located at 3097 EAST STATE ROAD 32, Unit N/A, CRAWFORDSVILLE, Indiana 47933 on 9/27/2021 through 11/05/2021, you were cited for violations of 27 Code of Federal Regulations, Part 478. The violations were discussed with you during the inspection. A copy of the Report of Violations issued at the time of the inspection is enclosed.

You should be aware that any willful violations of the Gun Control Act may result in revocation of your Federal firearms license. As a result of the recently cited violations, it is important that we have a meeting with you to discuss the violations found. The conference will be held at 151 N Delaware St, Ste 1000, Indianapolis, Indiana 46204 on 03/24/2022 at 1:00 PM. The agenda for the meeting will include a discussion of the reasons for the violations, a review of the legal requirements, and a discussion of steps to be taken by you to ensure future compliance. Although we do not believe it necessary, legal counsel may assist you at your own expense if you so choose. **Please bring with you documentation verifying the corrective action you have taken and any compliance plan you have developed to ensure these violations do not recur.**

Also, you are hereby notified that, pursuant to 18 U.S.C. § 930(a), no person may bring a firearm or other dangerous weapon into an ATF office. Possession of a firearm or other dangerous weapon in an ATF office may result in a fine of \$100,000 or imprisonment for not more than 1 year or both.

The records you are required to maintain and the business operations you conduct are important to law enforcement in our continuing effort to reduce violent crime and protect the public. It is essential that you comply with all Federal laws and regulations that govern your firearms business to aid in this effort to combat violent crime.

We will conduct a follow-up inspection in the future. Any violations, either repeat or otherwise, could be viewed as willful and may result in the revocation of your license.

Please contact Industry Operations Investigator [REDACTED] or me at [REDACTED] to confirm this appointment, and to ask any questions you may have regarding this conference. We look forward to meeting with you to resolve these issues.

Sincerely,
Judyth Ledoux
Director Industry Operations
Columbus Field Division



March 29, 2022

WARNING CONFERENCE FOLLOW UP

ROUTE 32 AUCTIONS LLC
ROUTE 32 AUCTIONS
3097 EAST STATE ROAD 32
CRAWFORDSVILLE, Indiana 47933

Re: Federal Firearms License Number: 4-35-09432

ROUTE 32 AUCTIONS LLC,

This letter is a follow-up to the warning conference held with you on March 24, 2022 at 1:00 PM. During this conference, the violations cited during the inspection conducted on 9/27/2021 through 11/5/2021, and the necessary corrective action to prevent the violations from reoccurring were discussed. The following people were in attendance:

Representing the ATF Columbus Field Division Field Division (b)(6), Judyth Ledoux and (b)(6)
Responsible person(s) representing the licensee: KEVIN DEWAYNE PARKER
Non-Responsible person(s) representing the licensee (b)(6)

You were given the opportunity to comment on the violations and what specific action you have taken to ensure that the violations will not reoccur. With respect to the cited violations, we are providing a summary of your response to each violation:

27 CFR 478.21(a) and 27 CFR 478.124(c)(3)(i):

In response to these violations, you stated you now use blue ink for you and your customers to complete ATF Forms 4473. This assists in identifying items that are not complete or completed incorrectly. You also stated you have implemented a "double" review system for all ATF Form 4473 transactions completed: The form is reviewed by the employee handling the transaction and reviewed again at the time the NICS/FBI background check is conducted, typically by (b)(6).

27 CFR 478.125(e):

In response to this violation, you stated that you are now utilizing two employees to enter information in the Acquisition and Disposition (A&D) record and cross-check the information entered for accuracy. You implemented an inventory tag system (a number that represents an A&D line number) for all firearms. You stated this was implemented after observing IC (b)(6) conduct the inventory audit during the inspection. You indicated this system has greatly improved your ability to conduct internal inventory audits, which you now do after every auction.

27 CFR 478.126a:

In response to this violation, you stated that all ATF Form 3310.4's are sent to ATF's National Tracing Center via email with a delivery receipt that you attach to the ATF Form 4473. You send the Form 3310.4 to the local law enforcement authority priority mail so you can track it to ensure delivery was made.

27 CFR 478.102(a) and 27 CFR 478.124(a):

In response to this violation, you stated you now understand the required regulations for return of consignment firearms. You stated that an ATF Form 4473 will be completed, and a NICS/FBI background check conducted for all consignment returns in the future. Additionally, you have created a "contract" that all consignors must read and agree to, informing them they are subject to complete an ATF Form 4473 and undergo a background ground check if the firearm is not sold or returned for any reason. This contract must be signed and agreed to prior to accepting a firearm on consignment.

Lastly, you stated that you will no longer use outside sources (i.e., other licensees) to address compliance matters. From here on you will contact an Industry Operations Investigator to answer any questions you have related to the Federal Firearms Law and Regulations.

The violations for which you were cited could adversely impact law enforcement's ability to reduce violent crime and protect the public. You are reminded that future violations, repeat or otherwise, could be viewed as willful and may result in the revocation of your license. You may anticipate further inspections to ensure your compliance.

Please contact us if you have any questions concerning your responsibilities as a licensee or if you require further clarification about particular requirements of Federal firearms laws.

Sincerely,
Judyth Ledoux
Director Industry Operations
Columbus Field Division