



DEPARTMENT OF THE TREASURY — BUREAU OF ALCOHOL, TOBACCO AND FIREARMS  
**APPLICATION FOR REGISTRATION OF FIREARMS ACQUIRED BY CERTAIN GOVERNMENTAL ENTITIES**  
*(Submit in duplicate)*

PLEASE READ INSTRUCTIONS ON REVERSE CAREFULLY BEFORE COMPLETING THIS FORM

TO: The Director, Bureau of Alcohol, Tobacco, and Firearms, Washington, D.C. 20226

The undersigned hereby makes application to register to the governmental entity identified in this application the firearm described below.

27 CFR 179.104 Provides for limited registration of otherwise unregistrable firearms by certain governmental entities, for official use only. If this application is approved, it is with the condition that the firearm is for "OFFICIAL USE ONLY."

1. NAME AND COMPLETE ADDRESS (Including ZIP code) OF DEPARTMENT OR AGENCY MAKING APPLICATION TO REGISTER FIREARM

2. TELEPHONE NUMBER (Include Area Code)

3. DESCRIPTION OF FIREARM (Complete items (a) through (h).)

NAME AND ADDRESS OF MANUFACTURER AND/OR IMPORTER OF FIREARM <i>a</i>	TYPE OF FIREARM (See Definitions) <i>b</i>	(Check One)			LENGTH (Inches)		SERIAL NUMBER (See Instruction 1) <i>g</i>
		<input type="checkbox"/> CALIBER	<input type="checkbox"/> GAUGE	<input type="checkbox"/> SIZE <i>c</i>	MODEL <i>d</i>	OF BARREL <i>e</i>	

h. ADDITIONAL DESCRIPTION (Include all numbers on firearm, and location of each number. If firearm is unserviceable, describe how it was made unserviceable.)

4. LOCATION WHERE FIREARM IS USUALLY KEPT

5. FROM WHOM WAS FIREARM RECEIVED? (Optional response - This information may assist ATF in removing records relating to previous registrations of this firearm.)

I CERTIFY THAT the above described firearm is for OFFICIAL USE ONLY and that I have examined this application and, to the best of my knowledge and belief, it is true, correct and complete.

6. SIGNATURE OF AUTHORIZED OFFICIAL (See Instruction 1)	7. PRINT NAME AND TITLE OF AUTHORIZED OFFICIAL	8. DATE
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**SPACE BELOW IS FOR USE BY THE BUREAU OF ATF—Please do not write below**

By authority of the Director, Bureau of Alcohol, Tobacco, and Firearms, this application has been examined and the registration of the described firearm to the government entity described above is:

<input type="checkbox"/> APPROVED FOR OFFICIAL USE  <input type="checkbox"/> DISAPPROVED	REMARKS:
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AUTHORIZED ATF OFFICIAL	DATE
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**SPECIAL NOTICE**

1. If a firearm is registered to the person from whom you obtained it, that person may submit ATF Form 5 for the tax exempt transfer of the firearm to you, in lieu of your submission of ATF Form 10. If the transfer is approved, the restriction on further transfer of the firearm which applies to firearms registered on ATF Form 10 would not apply.
2. Title 27 CFR 179.104 provides that any state, any political subdivision thereof, or any official police organization of such a governmental entity engaged in criminal investigations which acquires for official use a National Firearms Act weapon not registered to it, such as by abandonment or by forfeiture, will register such firearm with the Director by filing ATF Form 10, Application for Registration of Firearms Acquired by Certain Governmental Entities, and that such registration shall become a part of

the National Firearms Registration and Transfer Record. Registration of such firearms has been required since passage of the original National Firearms Act in 1934. On April 15, 1971, the Supreme Court decided in the matter of *U.S. vs. Freed, et al.*, and noted that, "only possessors who lawfully make, manufacture, or import firearms can and must register them." However, in order to assist law enforcement agencies, while curtailing the flow of "gangster type" weapons into interstate commerce, the cited regulation was promulgated to permit the limited registration of firearms by governmental entities for official use only. When registration of a firearm on this form by a governmental entity is approved, the Bureau will approve subsequent transfer of such firearm to another qualified governmental entity only, for official use. Otherwise, such firearm must be destroyed or abandoned to ATF.

**INSTRUCTIONS**

1. Preparation of this form.
  - a. This form must be submitted in duplicate. Photostatic copies of this form are not acceptable.
  - b. Only one firearm may be listed on each form.
  - c. It is preferred that the original and carbon copy be typed, although pen and ink entries are acceptable.
  - d. The signature on *each* copy must be in ink. *Pencilled, photostatic, or facsimile signatures are not acceptable.*
  - e. Serial Number — If the firearm being registered does not bear a serial number, please contact the nearest Alcohol, Tobacco and Firearms office to have an ATF serial number assigned and placed on the frame or receiver of the firearm prior to the submission of the form.
2. Disposition of this form — The applicant will forward the original and one copy of the form to the Director, Bureau of Alcohol, Tobacco and Firearms, Washington, D.C. 20226, Attention: Technical Services Division. The Director will return the original form, showing approval or disapproval, to the applicant. Approval authorized by the Director will effect the registration of the firearm to the governmental entity. The approved form must be retained with the permanent records of the entity. Subsequent transfer of the firearm will be approved to another qualified governmental entity only.
3. Firearms Held for Use as Evidence — Firearms being held for use as evidence in a criminal proceeding need not be registered if they are to be destroyed or abandoned to ATF when no longer needed as evidence.

**DEFINITIONS**

The following types of firearms, whether serviceable or unserviceable, fall within the purview of the National Firearms Act and must be registered to the possessor to be lawfully possessed:

1. Short-barreled shotgun — Shotguns with barrels less than 18 inches long or any weapon made from a shotgun having an overall length of less than 26 inches or a barrel less than 18 inches in length.
2. Short-barreled rifle — Rifles with barrels less than 16 inches long. This includes a pistol with a shoulder stock unless it has been specifically exempted; or any weapon made from a rifle having an overall length of less than 26 inches or a barrel less than 16 inches in length.
3. Any other weapon — Any other weapon, except a conventional pistol or revolver having a rifled bore, capable of firing a shot and being concealed on the person. Examples include: "pen" guns ostensibly designed to expel tear gas but which fire fixed ammunition, H & R Handy Guns; Ithaca Auto-Burglar guns; cane guns; and gadget-type firearms.
4. Machinegun — Any weapon which shoots, is designed to shoot, or can be readily restored to shoot, automatically more than one shot, without manual reloading, by a single function of the trigger. The term also includes the frame or receiver of any such weapon, any combination of parts designed and intended for use in converting a weapon into a machinegun, and any combination of parts from which a machinegun can be assembled if such parts are in the possession or under the control of a person.
5. Destructive device — Destructive devices include explosive, incendiary (including so called "molotov cocktails") or poison gas bombs, grenades, rockets, missiles, mines, and similar devices. Included in this category are anti-tank guns, bazookas and mortars and other military type weapons with a bore of more than one-half inch diameter, other than a sporting shotgun or shotgun ammunition.
6. Muffler or silencer — A muffler or silencer for any firearm whether or not such a firearm is included within this listing.

**PAPERWORK REDUCTION ACT NOTICE**

This form meets the clearance requirements of the Paperwork Reduction Act of 1980. The information you provide is used to properly identify the registrant and the firearms to be registered. The form when approved, registers the firearm to the law enforcement agency. The furnishing of this information is mandatory (26 U.S.C. 5853a).

2a. TRANSFEREE'S NAME AND ADDRESS (If transferee is a Special (Occupational) Taxpayer who is acquiring firearm for personal use, rather than as part of his business inventory, show personal name below and check here: )

2b. TRADE NAME (See instruction 2e)

3a. TRANSFEROR'S NAME AND MAILING ADDRESS (If the firearm is registered under your trade name, enter your trade name. EXECUTORS: See instruction 2f.)

3c. IF APPLICABLE: DECEDENT'S NAME, ADDRESS, AND DATE OF DEATH

SEE INSTRUCTIONS ATTACHED. TO BE SUBMITTED IN DUPLICATE TO: National Firearms Act Branch  
 Bureau of Alcohol, Tobacco and Firearms  
 Washington, DC 20226

1. TYPE OF TRANSFER (Check one)  
 (See instructions 1 and 6)

\$5       \$200

Submit with your application a check or money order for the appropriate amount made payable to the Department of the Treasury. Upon approval of this application, this office will acquire, affix and cancel the required "National Firearms Act" stamp for you. (See Instruction 6)

3b. NUMBER, STREET, CITY, STATE AND ZIP CODE IF DIFFERENT FROM ITEM 3a.

The above-named and undersigned transferor hereby makes application as required by Section 5812 of the National Firearms Act to transfer and register the firearm described below to the transferee.

4. DESCRIPTION OF FIREARM (Complete items a through h)

a. NAME AND ADDRESS OF MANUFACTURER AND/OR IMPORTER OF FIREARM

b. TYPE OF FIREARM (Short-barreled rifle, machine gun, destructive device, any other weapon, etc.)

c. CALIBER, GAUGE OR SIZE (Specify)

d. MODEL

LENGTH (Inches)      e. OF BARREL: f. OVERALL:

g. SERIAL NUMBER

h. ADDITIONAL DESCRIPTION OR DATA APPEARING ON FIREARM (Attach additional sheet if necessary)

5. TRANSFEREE'S FEDERAL FIREARMS LICENSE (If any)

(Give complete 15-digit number)

First 6 digits	2 digits	2 digits	5 digits
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6. TRANSFEREE'S SPECIAL (OCCUPATIONAL) TAX STATUS

a. ATF IDENTIFICATION NUMBER      b. CLASS

7. TRANSFEROR'S FEDERAL FIREARMS LICENSE (If any)

(Give complete 15-digit number)

First 6 digits	2 digits	2 digits	5 digits
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8. TRANSFEROR'S SPECIAL (OCCUPATIONAL) TAX STATUS

a. ATF IDENTIFICATION NUMBER      b. CLASS

UNDER PENALTIES OF PERJURY, I DECLARE that I have examined this application, and to the best of my knowledge and belief it is true, correct and complete, and that the transfer of the described firearm to the transferee and receipt and possession of it by the transferee are not prohibited by the provisions of Chapter 44, Title 18, United States Code; Chapter 53, Title 26, United States Code; or Title VII of the Omnibus Crime Control and Safe Streets Act, as amended; or any provisions of State or local law.

9. SIGNATURE OF TRANSFEROR (Or authorized official)

10. NAME AND TITLE OF AUTHORIZED OFFICIAL (Print or type)

11. DATE

THE SPACE BELOW IS FOR THE USE OF THE BUREAU OF ALCOHOL, TOBACCO AND FIREARMS

BY AUTHORITY OF THE DIRECTOR, THIS APPLICATION HAS BEEN EXAMINED, AND THE TRANSFER AND REGISTRATION OF THE FIREARM DESCRIBED HEREIN AND THE INTERSTATE MOVEMENT OF THAT FIREARM, WHEN APPLICABLE, TO THE TRANSFEREE ARE:

STAMP NUMBER

APPROVED (With the following conditions, if any)

DISAPPROVED (For the following reasons)

SIGNATURE OF DIRECTOR, BUREAU OF ALCOHOL, TOBACCO AND FIREARMS

DATE

**CERTIFICATIONS**

**1. PHOTOGRAPH**

If the transferor of a destructive device, machinegun, short-barreled shotgun or short-barreled rifle is a Federal firearms licensee, and the transferee is anyone other than a licensee qualified to deal in the firearm to be transferred, the transferee must sign the Applicant Certification (item 2 below) in the presence of the law enforcement officer signing item 3 below. The Law Enforcement Certification (item 3 below) must be completed for the transfer of any registered firearm to an individual other than a licensee qualified to deal in the firearm to be transferred. In addition, the individual transferee must affix a recent photograph (taken within the past year) in item 1 and submit, in duplicate (to the transferor) two completed copies of FBI Form FD-258, Fingerprint Card. (See Important note below.)

AFFIX  
 RECENT PHOTOGRAPH HERE  
 (Approximately 2" x 2")

**2. APPLICANT CERTIFICATION**

I, \_\_\_\_\_, have a reasonable necessity to possess the device or  
 (Name of Transferee)  
 weapon described on this application for the following reason(s) \_\_\_\_\_

and my possession of the device or weapon would be consistent with public safety (18 U.S.C. 922(b) (4) and 27 CFR 178.98).

UNDER PENALTIES OF PERJURY, I declare that I have examined this application, and to the best of my knowledge and belief it is true, correct and complete, and that receipt and possession of the firearm described on this form will not place me in violation of the provisions of Chapter 44, Title 18, U.S.C.; Chapter 53, Title 26, U.S.C.; or Title VII of the Omnibus Crime Control and Safe Streets Act, as amended, or any provisions of State or local law.

\_\_\_\_\_  
 (Signature of Transferee or official authorized to sign for firm)

\_\_\_\_\_  
 (Date)

**3. LAW ENFORCEMENT CERTIFICATION (See IMPORTANT note below)**

I certify that I am the chief law enforcement officer of the organization named below having jurisdiction in the area  
 of residence of \_\_\_\_\_ . I have no information indicating that the transferee will use the fire-  
 (Name of Transferee)  
 arm or device described on this application for other than lawful purposes. I have no information that the receipt and/or possession of the firearm described in item 4 of this form would place the transferee in violation of State or local law.

\_\_\_\_\_  
 (Signature and Title of Chief Law Enforcement Officer - See IMPORTANT note below)

\_\_\_\_\_  
 (Date)

\_\_\_\_\_  
 (Organization and Street Address)

**IMPORTANT:** The chief law enforcement officer is considered to be the Chief of Police for the transferee's city or town of residence, the Sheriff for the transferee's county of residence; the Head of the State Police for the transferee's State of residence; a State or local district attorney or prosecutor having jurisdiction in the transferee's area of residence; or another person whose certification is acceptable to the Director, Bureau of Alcohol, Tobacco and Firearms. If someone has specific delegated authority to sign on behalf of the Chief of Police, Sheriff, etc., this fact must be noted by printing the Chief's, Sheriff's, or other authorized official's name and title, followed by the word "by" and the full signature and title of the delegated person.

**APPLICATION FOR TAX PAID TRANSFER AND REGISTRATION OF A FIREARM**

**DETACH THIS SHEET BEFORE COMPLETING FORM  
INSTRUCTIONS**

**1. DEFINITIONS**

a. **FIREARM.** The term "firearm" means: (1) a shotgun having a barrel or barrels of less than 18 inches in length; (2) a weapon made from a shotgun if such weapon as modified has an overall length of less than 26 inches or a barrel or barrels of less than 18 inches in length; (3) a rifle having a barrel or barrels of less than 16 inches in length; (4) a weapon made from a rifle if such weapon as modified has an overall length of less than 26 inches or a barrel or barrels of less than 16 inches in length; (5) any other weapon, as defined in b. below; (6) a machinegun; (7) a muffler or a silencer for any firearm whether or not such firearm is included within this definition; and (8) a destructive device. The term "firearm" shall not include an antique firearm or any device (other than a machinegun or destructive device) which, although designed as a weapon, the Director, Bureau of Alcohol, Tobacco and Firearms, or authorized delegate, finds by reason of the date of its manufacture, value, design and other characteristics is primarily a collector's item and is not likely to be used as a weapon.

b. **ANY OTHER WEAPON.** The term "any other weapon" means any weapon or device capable of being concealed on the person and from which a shot can be discharged through the energy of an explosive; a pistol or revolver having a barrel with a smooth bore designed or redesigned to fire a fixed shotgun shell; weapons with combination shotgun and rifle barrels 12 inches or more, less than 18 inches in length, from which only a single discharge can be made from either barrel without manual reloading; and shall include any such weapon which may be readily restored to fire. Such term shall not include a pistol or a revolver having a rifled bore, or rifled bores, or weapons designed, made, or intended to be fired from the shoulder and not capable of firing fixed ammunition.

c. **TRANSFEROR.** The term "transferor" means the registered owner of a firearm who is applying to transfer it.

d. **TRANSFEEE.** The term "transferee" means the person desiring to acquire the firearm.

e. **PERSON.** The term "person" means any individual, company, corporation, association, firm, partnership, joint stock company, trust or society other than a special (occupational) taxpayer qualified to deal in NFA firearms.

**2. PREPARATION OF APPLICATION FOR TAX PAID TRANSFER AND REGISTRATION OF A FIREARM.**

a. Reference §§ 5811 and 5812, National Firearms Act (United States Code, Chapter 53), persons seeking to transfer a firearm tax paid must complete, in duplicate, a separate application on this form for each firearm. The applicant transferor must furnish all the information called for on this application form.

b. If the transferor of a destructive device, machinegun, short-barreled shotgun or short-barreled rifle is a licensee under 18 U.S.C., Chapter 44, and the transferee is anyone other than a qualified licensee under the National Firearms Act [special (occupational) taxpayer], the transferee must complete item 2 (Applicant Certification) on the reverse side of ATF Form 4 (5320.4). Item 3 (Law Enforcement Certification) must be completed for the transfer of any NFA firearm to an individual other than a special (occupational) taxpayer.

c. If the transferee is an individual, including a collector licensed under 18 U.S.C., Chapter 44, in addition to satisfying the requirements of 2b, above, a recent 2" x 2" photograph must be affixed in item 1 on the reverse of ATF Form 4 (5320.4) and completed FBI Form FD-258, Fingerprint Card, must be submitted in duplicate. The fingerprints should be taken by a person qualified to do so, and must be clear, unsmudged and classifiable.

d. All signatures required on this form must be entered in ink on both copies. Photocopies or other facsimile signatures are not acceptable. It is preferred that the form be prepared by the use of a typewriter, using carbon paper to make an exact duplicate. Pen and ink may be used, but under no circumstances will a form filled in by use of a lead pencil be accepted. All changes made on the form must be initialed and dated.

e. If the transferee is acquiring the firearm as other than an individual, the trade name and business address should be shown in item 2 on the face of ATF Form 4 (5320.4). Firearms may not be acquired as a part of the business inventory of a firearms licensee who is not a special (occupational) taxpayer. In such case, the home address of the transferee should be shown.

f. If the firearm is being transferred from an estate, item 3a. should show the transferor as: Executor's name, title (Executor (or executrix, administrator, administratrix) of the Estate of (name)), and the executor's address. Item 3c. should reflect the last address of the decedent and date of death.

g. If any questions arise concerning the preparation of this form, please contact the NFA Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, DC 20226 or the nearest Alcohol, Tobacco and Firearms office.

**3. DISPOSITION OF APPLICATION FOR TRANSFER AND REGISTRATION OF FIREARM.**

The transferor will forward both copies of the form to the National Firearms Act Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, DC 20226. If approved, the original of the approved form will be returned to the transferor for delivery to the transferee with the firearm, and this office will retain the duplicate. Approval of this form will effect registration of the firearm to the transferee. The transferor shall not under any circumstances deliver the firearm to the transferee until the approved form is received. This form must be retained by the transferee and be available for inspection by Government officers until such time as the firearm may later be transferred after approval by this office. [If the application is disapproved, the original with any accompanying check or money order, will be returned to the transferor with the reason for disapproval.]

**4. APPROVED TRANSFER NOT PHYSICALLY ACCOMPLISHED.**

The transferor should mark the front of the form "VOID," sign and date the form and return the voided form to the Director. This will assure that the firearm will remain registered in the name of the transferor who submitted the application. Upon receipt of the voided form, instructions for obtaining a tax refund will be provided.

**5. LATER TRANSFERS OF THE FIREARM.**

If the firearm is to be transferred later by the new owner, a new application form covering the proposed transfer must be filed with the Director.

**INSTRUCTIONS (Continued)**

**6. RATE OF TAX ON THE TRANSFER OF A FIREARM.** The tax on the transfer of a firearm is \$200, except that the transfer tax is \$5 on any firearm classified as "any other weapon" as defined in instruction 1b.

**7. PERSONS PROHIBITED FROM RECEIVING FIREARMS.** Under 18 U.S.C., Chapter 44 and Title VII of Public Law 90-351, as amended, (18 U.S.C., Appendix), the following persons are prohibited from receiving a firearm, including an unserviceable firearm which has a frame or receiver: (1) fugitives from justice (any crime); (2) persons under indictment for, or who have been convicted of, a crime punishable by imprisonment, for a term exceeding 1 year; (3) narcotic addicts or unlawful drug users; (4) persons adjudicated mental defectives or mentally incompetent, or who have been committed to any mental institution; (5) veterans discharged under dishonorable conditions; (6) persons who have renounced their United States citizenship; (7) aliens illegally or unlawfully in the United States; and (8) where the transferor is a firearms licensee, persons under 21 years of age in the case of any firearm other than a shotgun or a rifle and under 18 years of age in the case of a shotgun or a rifle. In addition, section 5812 of the National Firearms Act requires that an application to transfer a firearm be denied if the transfer, receipt or possession of the firearm would place the transferee in violation of law. The term "law" in this statute includes Federal laws as well as State statutes and local ordinances applicable to the locality where the transferee resides.

**8. INQUIRIES ABOUT STATUS OF A TRANSFER APPLICATION.** The transfer application form will be reviewed and returned to the transferor promptly if additional information or corrections are required. However, because of the necessity for an FBI record check on an individual transferee's fingerprints, approximately 60 days must be allowed for processing such applications. Under the provisions of Section 6103(a), Title 26, United States Code, disclosure of any "return" or "return information" is generally prohibited to anyone except the person filing the return. Therefore, information

about the status of a transfer application may be given only to the transferor. Such information cannot be divulged to the transferee.

**9. PENALTIES.** Any person who violates or fails to comply with any of the requirements of the National Firearms Act shall, upon conviction, be fined not more than \$10,000 or be imprisoned for not more than 10 years, or both, in the discretion of the court. Moreover, any firearm involved in any violation of the provisions of the National Firearms Act or any regulations issued thereunder shall be subject to seizure and forfeiture. It is unlawful for any person to make or cause the making of a false entry on any application or record required by the National Firearms Act knowing such entry to be false.

**NOTE:** All provisions of Title I of the Gun Control Act must also be complied with, including the recordkeeping requirements for licenses and retention of ATF Form 4473 (5300.9) by licensees for dispositions to nonlicensees.

**SPECIAL NOTE:** A direct interstate transfer will be approved only to a licensee who is also a special (occupational) taxpayer qualified to deal in the particular type NFA firearm; or a government entity; or a lawful heir; or, in the case of a firearm which has been designated as a "curio or relic," to a licensed collector.

**PAPERWORK REDUCTION ACT NOTICE**

This information request is in accordance with the Paperwork Reduction Act of 1980. The information you provide is used in applying to transfer serviceable firearms taxpaid to persons other than special taxpayers qualified to deal in NFA firearms or government entities. Data is used to identify transferor, transferee, and firearm, and to ensure legality for transfer under Federal, State and local laws. The furnishing of this information is mandatory. (26 U.S.C. 5812)

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 made pursuant to the National Firearms Act (26 U.S.C. §5812). Disclosure of this information by the applicant is mandatory for transfer of an NFA firearm, unless the transfer is otherwise exempt from tax.
- 2. PURPOSE.** To insure payment of the tax imposed by 26 U.S.C. §5811; to insure that the transfer would not be in violation of law; and to effect registration of the firearm.
- 3. ROUTINE USES.** The information will be used by ATF to make the determinations set forth in paragraph 2. In addition, to effect registration of the firearm, information as to the identification of the firearm, date of registration, and the identification and address of person entitled to possess the firearm will be entered into the National Firearms Registration and Transfer Record. No information obtained from an application, registration, or records required to be submitted by a natural person in order to comply with any provision of the National Firearms Act or regulations issued thereunder, shall, except in connection with prosecution or other action for furnishing false information, be used, directly or indirectly, as evidence against that person in any criminal proceeding with respect to a violation of law occurring prior to or concurrently with the filing of the application. The information from this application may only be disclosed to Federal authorities for purposes of prosecution for violation of the National Firearms Act.
- 4. EFFECTS OF NOT SUPPLYING INFORMATION REQUESTED.** Failure to supply complete information will delay processing and may cause denial of the application.



**TREASURY — BUREAU OF ALCOHOL, TOBACCO AND FIREARMS**  
**EXEMPT TRANSFER AND REGISTRATION OF A FIREARM**

SEE INSTRUCTIONS ATTACHED.  
 TO BE SUBMITTED IN DUPLICATE  
 TO: National Firearms Act Branch  
 Bureau of Alcohol, Tobacco & Firearms  
 Washington, DC 20226

2a. TRANSFEREE'S NAME AND ADDRESS (If transferee is a Special (Occupational) Taxpayer who is acquiring firearm for personal use, rather than as part of his business inventory, show personal name below and check here: )

1. TYPE OF TRANSFER: TAX EXEMPT

I believe that I am entitled to exemption from the payment of the transfer tax imposed by Section 5811 (26 U.S.C. Chapter 53) on the firearm described herein for the following reason (See Instruction 6):

- FIREARM IS UNSERVICEABLE AND IS BEING TRANSFERRED AS A CURIO OR ORNAMENT (6a)
- FIREARM IS BEING TRANSFERRED TO OR FROM A GOVERNMENT ENTITY (6b & 6c)
- FIREARM IS BEING TRANSFERRED TO A LAWFUL HEIR (6d)
- OTHER (Specify)

2b. TRADE NAME (See Instruction 2e)

2c. COUNTY

3a. TRANSFEROR'S NAME AND MAILING ADDRESS (If firearm is registered under your trade name, enter your trade name. EXECUTORS: See instruction 2f.)

3c. NUMBER, STREET, CITY, STATE AND ZIP CODE OF RESIDENCE (OR FIREARMS BUSINESS PREMISES) IF DIFFERENT FROM ITEM 3a.

3b. IF APPLICABLE: DECEDENT'S NAME, ADDRESS AND DATE OF DEATH

The above-named and undersigned transferor hereby makes application as required by Section 5812 of the National Firearms Act to transfer and register the firearm described below to the transferee.

4. DESCRIPTION OF FIREARM (Complete items a through i)

a. NAME AND ADDRESS OF MANUFACTURER AND/OR IMPORTER OF FIREARM	b. TYPE OF FIREARM (Short-barreled rifle, machine gun, destructive device, any other weapon, etc.)	c. CALIBER, GAUGE OR SIZE (Specify)	d. MODEL	
			LENGTH (Inches)	e. OF BARREL: OVERALL: f.
			g. SERIAL NUMBER	

h. ADDITIONAL DESCRIPTION OR DATA APPEARING ON FIREARM (Attach additional sheet if necessary)

i. IS THE FIREARM UNSERVICEABLE AS DEFINED IN INSTRUCTION 6a?  YES  NO (If "No," describe any other method by which firearm has been rendered unserviceable. Use additional sheets.)

5. TRANSFEREE'S FEDERAL FIREARMS LICENSE (If any)  
(Give complete 15-digit number)

First 6 digits	2 digits	2 digits	5 digits

6. TRANSFEREE'S SPECIAL (OCCUPATIONAL) TAX STATUS

a. ATF IDENTIFICATION NO.      b. CLASS

7. TRANSFEROR'S FEDERAL FIREARMS LICENSE (If any)  
(Give complete 15-digit number)

First 6 digits	2 digits	2 digits	5 digits

8. TRANSFEROR'S SPECIAL (OCCUPATIONAL) TAX STATUS

a. ATF IDENTIFICATION NO.      b. CLASS

UNDER PENALTIES OF PERJURY, I DECLARE that I have examined this application, and to the best of my knowledge and belief it is true, correct, and complete, and that the transfer of the described firearm to the transferee and receipt and possession of it by the transferee are not prohibited by the provisions of Chapter 44, Title 18, United States Code; Chapter 53, Title 26, United States Code; or Title VII of the Omnibus Crime Control and Safe Streets Act, as amended; or any provisions of State or local law.

9. SIGNATURE OF TRANSFEROR (Or authorized official)

10. NAME AND TITLE OF AUTHORIZED OFFICIAL (Print or type)

11. DATE

**THE SPACE BELOW IS FOR THE USE OF THE BUREAU OF ALCOHOL, TOBACCO AND FIREARMS**

BY AUTHORITY OF THE DIRECTOR, THIS APPLICATION HAS BEEN EXAMINED, AND THE TRANSFER AND REGISTRATION OF THE FIREARM DESCRIBED HEREIN AND THE INTERSTATE MOVEMENT OF THAT FIREARM, WHEN APPLICABLE, TO THE TRANSFEREE ARE:

APPROVED (With the following conditions, if any)

DISAPPROVED (For the following reasons)

EXAMINER

DATE

AUTHORIZED ATF OFFICIAL

DATE

**CERTIFICATIONS**

**1. PHOTOGRAPH**

AFFIX  
 RECENT PHOTOGRAPH HERE  
 (Approximately 2" x 2")

If the transferor of a destructive device, machinegun, short-barreled shotgun or short-barreled rifle is a Federal firearms licensee, and the transferee is anyone other than a licensee qualified to deal in the firearm to be transferred, the transferee must sign the Applicant Certification (item 2 below) in the presence of the law enforcement officer signing item 3 below. The Law Enforcement Certification (item 3 below) must be completed for the transfer of any registered firearm to an individual other than a licensee qualified to deal in the firearm to be transferred. In addition, the individual transferee must affix a recent photograph (taken within the past year) in item 1 and submit, in duplicate (to the transferor) two completed copies of FBI Form FD-258, Fingerprint Card. (See Important note below.)

**2. APPLICANT CERTIFICATION**

I, \_\_\_\_\_, have a reasonable necessity to possess the device or  
 \_\_\_\_\_  
 (Name of Transferee)  
 weapon described on this application for the following reason(s)

\_\_\_\_\_ and my possession of the device or weapon would be consistent with public safety (18 U.S.C. 922(b) (4) and 27 CFR 178.98).

UNDER PENALTIES OF PERJURY, I declare that I have examined this application, and to the best of my knowledge and belief it is true, correct and complete; and that receipt and possession of the firearm described on this form will not place me in violation of the provisions of Chapter 44, Title 18, U.S.C.; Chapter 53, Title 26, U.S.C.; or Title VII of the Omnibus Crime Control and Safe Streets Act, as amended, or any provisions of State or local law.

\_\_\_\_\_  
 (Signature of Transferee or official authorized to sign for firm)

\_\_\_\_\_  
 (Date)

**3. LAW ENFORCEMENT CERTIFICATION (See IMPORTANT note below)**

I certify that I am the chief law enforcement officer of the organization named below having jurisdiction in the area of residence of

\_\_\_\_\_. I have no information indicating that the transferee will use the firearm  
 \_\_\_\_\_  
 (Name of Transferee)  
 or device described on this application for other than lawful purposes. I have no information that the receipt and/or possession of the firearm described in item 4 of this form would place the transferee in violation of State or local law.

\_\_\_\_\_  
 (Signature and Title of Chief Law Enforcement Officer - See IMPORTANT note below)

\_\_\_\_\_  
 (Date)

\_\_\_\_\_  
 (Organization and Street Address)

**IMPORTANT:** The chief law enforcement officer is considered to be the Chief of Police for the transferee's city or town of residence; the Sheriff for the transferee's county of residence; a State or local district attorney or prosecutor having jurisdiction in the area of residence of the transferee; the Head of the State Police for the transferee's State of residence; or another person whose certification is acceptable to the Director, Bureau of Alcohol, Tobacco and Firearms. If someone has specific delegated authority to sign on behalf of the Chief of Police, Sheriff, etc., this fact must be noted by printing the Chief's, Sheriff's, or other authorized official's name and title, followed by the word "by" and the full signature and title of the delegated person.



**APPLICATION FOR TAX EXEMPT TRANSFER AND REGISTRATION OF A FIREARM**

**DETACH THIS SHEET BEFORE COMPLETING  
INSTRUCTIONS**

**1. DEFINITIONS.**

a. **FIREARM.** The term "firearm" means: (1) a shotgun having a barrel or barrels of less than 18 inches in length; (2) a weapon made from a shotgun if such weapon as modified has an overall length of less than 26 inches or a barrel or barrels of less than 18 inches in length; (3) a rifle having a barrel or barrels of less than 16 inches in length; (4) a weapon made from a rifle if such weapon as modified has an overall length of less than 26 inches or a barrel or barrels of less than 16 inches in length; (5) any other weapon, as defined in b, below; (6) a machinegun; (7) a muffler or a silencer for any firearm whether or not such firearm is included within this definition; and (8) a destructive device. The term "firearm" shall not include an antique firearm or any device (other than a machinegun or destructive device) which, although designed as a weapon, the Director, Bureau of Alcohol, Tobacco and Firearms, or authorized delegate, finds by reason of the date of its manufacture, value, design, and other characteristics is primarily a collector's item and is not likely to be used as a weapon.

b. **ANY OTHER WEAPON.** The term "any other weapon" means any weapon or device capable of being concealed on the person and from which a shot can be discharged through the energy of an explosive; a pistol or revolver having a barrel with a smooth bore designed or redesigned to fire a fixed shotgun shell; weapons with combination shotgun and rifle barrels 12 inches or more, less than 18 inches in length, from which only a single discharge can be made from either barrel without manual reloading; and shall include any such weapon which may be readily restored to fire. Such term shall not include a pistol or a revolver having a rifled bore, or rifled bores, or weapons designed, made, or intended to be fired from the shoulder and not capable of firing fixed ammunition.

c. **TRANSFEROR.** The term "transferor" means the registered owner of a firearm who is applying to transfer it.

d. **TRANSFEEE.** The term "transferee" means the person desiring to acquire the firearm.

e. **PERSON.** The term "person" means any individual, company, corporation, association, firm, partnership, joint stock company, trust or society which is not a special (occupational) taxpayer.

**2. PREPARATION OF APPLICATION FOR TAX-EXEMPT TRANSFER AND REGISTRATION OF FIREARM.**

a. As set forth in section 5812, National Firearms Act (26 U.S.C., Chapter 53) and except as otherwise provided, persons seeking to transfer a firearm without payment of tax must complete in duplicate, a separate application on this form for each firearm. The applicant transferor must furnish all the information called for on this application form.

b. If the transferor of a destructive device, machinegun, short-barreled shotgun or short-barreled rifle is a licensee under 18 U.S.C., Chapter 44, and the transferee is anyone other than a qualified licensee under the National Firearms Act (special (occupational) taxpayer), the transferee must complete item 2 (Applicant Certification) on the reverse side of ATF Form 5 (7560.5).

Item 3 (Law Enforcement Certification) must be completed for the transfer of any NFA firearm to an individual other than a special (occupational) taxpayer.

c. If the transferee is an individual (including a licensed collector), in addition to satisfying the requirements of 2b. above, a recent 2" x 2" photograph must be affixed in item 1 on the reverse of ATF Form 5 and completed FBI Form FD-258, Fingerprint Card, in duplicate must be submitted. The fingerprints should be taken by a person qualified to do so, and must be clear, unsmudged and classifiable.

d. It is preferred that the form be prepared by the use of a typewriter, using carbon paper to make an exact duplicate. Pen and ink may be used, but under no circumstances will a form filled in by use of a lead pencil be accepted. All signatures on both copies MUST be original. Photocopies or other facsimiles are not acceptable. All changes made on the face of the form by the transferor must be initialed and dated.

e. If the transferee is acquiring the firearm as other than an individual, the trade name should be shown in item 2b. on the face of the ATF Form 5 and the business address should appear in items 2a. and 2c. A firearms licensee who is not a special (occupational) taxpayer may not acquire firearms as part of the business inventory and item 2b should be left blank. Items 2a. and 2c. should, in such case, reflect the home address.

f. If the firearm is being transferred from an estate, item 3a. should show the transferor as: Executor's name, title (Executor (or executrix, administrator, administratrix) of the Estate of (name)), and the executor's address. Item 3b. should reflect the last address of the decedent and date of death.

g. If any questions arise concerning the preparation of this form, please contact the NFA Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, DC 20226 or the nearest Alcohol, Tobacco and Firearms office.

**3. DISPOSITION OF APPLICATION FOR TRANSFER AND REGISTRATION OF FIREARM.**

The transferor will forward both copies of the form to the NFA Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, DC 20226. If approved, the original of the approved form will be returned to the transferor for delivery to the transferee with the firearm, and this office will retain the duplicate. Approval of this form will effect registration of the firearm to the transferee. The transferor shall not under any circumstances deliver the firearm to the transferee until the approved form is received. This form must be retained by the transferee, and be available for inspection by Government officers until such time as the firearm may later be transferred after approval by this office. If the application is disapproved, the original will be returned to the transferor with the reason for disapproval.

**4. APPROVED TRANSFER NOT PHYSICALLY ACCOMPLISHED.**

The transferor should mark the front of the form "VOID," sign and date the form and return the voided form to the Director. This will assure that the firearm will remain registered in the name of the transferor who submitted the application.

**INSTRUCTIONS (Continued)**

**5. LATER TRANSFERS OF THE FIREARM.** If the firearm is to be transferred later by the new owner, a new application form covering the proposed transfer must be filed with the Director.

**6. TRANSFERS EXEMPT FROM TAX.** A registered firearm may be transferred without payment of tax under any of the following conditions:

- a. If it is an unserviceable firearm being transferred as a curio or ornament. (NOTE: an unserviceable firearm is defined as one which is incapable of discharging a shot by means of an explosive and incapable of being readily restored to a firing condition. An acceptable method of rendering most firearms unserviceable is to fusion weld the chamber closed and fusion weld the barrel solidly to the frame. Certain unusual firearms require other methods to render the firearm unserviceable. Contact ATF for instructions when in doubt.)
- b. To or from the United States, or any department, independent establishment or agency thereof.
- c. To or from any State or possession of the United States or any political subdivision thereof, or any official police organization of such a government entity engaged in criminal investigations.
- d. To a lawful heir as defined in the laws of the State of residence of the decedent.
- e. The National Firearms Act also provides that registered firearms may be transferred tax exempt between firearms dealers who have also paid special (occupational) tax. In such instances, however, the application must be submitted on ATF Form 3.

**7. PERSONS PROHIBITED FROM RECEIVING FIREARMS.** Under 18 U.S.C., Chapter 44 and Title VII of Public Law 90-351, as amended, (18 U.S.C., Appendix), the following persons are prohibited from receiving a firearm, including an unserviceable firearm which has a frame or receiver: (1) fugitives from justice (any crime); (2) persons under indictment for, or who have been convicted of, a crime punishable for a term exceeding 1 year; (3) narcotic addicts or unlawful drug users; (4) persons adjudicated mental defectives or mentally incompetent, or who have been committed to any mental institution; (5) veterans discharged under dishonorable conditions;

(6) persons who have renounced their United States citizenship; (7) aliens illegally or unlawfully in the United States; and (8) where the transferor is a firearms licensee, persons under 21 years of age in the case of any firearm other than a shotgun or a rifle and under 18 years of age in the case of a shotgun or a rifle. In addition, section 5812 of the National Firearms Act requires that an application to transfer a firearm be denied if the transfer, receipt or possession of the firearm would place the transferee in violation of law. The term "law" in this statute includes Federal laws as well as State statutes and local ordinances applicable to the locality where the transferee resides.

**8. PENALTIES.** Any person who violates or fails to comply with any of the requirements of the National Firearms Act shall, upon conviction, be fined not more than \$10,000 or be imprisoned for not more than 10 years, or both, in the discretion of the court. Moreover, any firearm involved in any violation of the provisions of the National Firearms Act or any regulations issued thereunder shall be subject to seizure and forfeiture. It is unlawful for any person to make or cause the making of a false entry on any application or record required by the National Firearms Act knowing such entry to be false.

**NOTE:** All provisions of Title I of the Gun Control Act must also be complied with, including the recordkeeping requirements for licensees.

**SPECIAL NOTE:** A direct interstate transfer will be approved only to a licensee who is also a special (occupational) taxpayer qualified to deal in the particular type NFA firearm, a government entity, a lawful heir, or, in the case of a firearm which has been designated as a "curio or relic," a licensed collector.

**PAPERWORK REDUCTION ACT NOTICE**

This form meets the clearance requirements of Section 3507, PL 96-511, 12/11/80. The information you provide is used to apply the tax-exempt transfer of an unserviceable firearm to anyone other than a Federal firearms licensee who has paid the required special (occupational) tax to deal in NFA firearms. The data is used to ensure legality of transfer under Federal, State and local law. The furnishing of this information is mandatory (26 USC 5812).

**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 made pursuant to the National Firearms Act (26 U.S.C. §5812). Disclosure of this information by the applicant is mandatory for any transfer without payment of transfer tax as provided in 26 U.S.C. §5852.
- 2. **PURPOSE.** To verify that the proposed transfer is exempt from transfer tax; to verify that the transfer would not be in violation of law; and to effect registration of the firearm.
- 3. **ROUTINE USES.** The information will be used by ATF to make the determinations set forth in paragraph 2. In addition, to effect registration of the firearm, information as to the identification of the firearm, date of registration, and the identification and address of person entitled to possess the firearm will be entered into the National Firearms Registration and Transfer Record. No information obtained from an application, registration, or records required to be submitted by a natural person in order to comply with any provision of the National Firearms Act or regulations issued thereunder, shall, except in connection with prosecution or other action for furnishing information, be used, directly or indirectly, as evidence against that person in any criminal proceeding with respect to a violation of law occurring prior to or concurrently with the filing of the application. The information from this application may only be disclosed to Federal authorities for purpose of prosecution for violation of the National Firearms Act.
- 4. **EFFECTS OF NOT SUPPLYING INFORMATION REQUESTED.** Failure to supply complete information will delay processing and may cause denial of the application.

**U.S. DEPARTMENT OF THE TREASURY — BUREAU OF ALCOHOL, TOBACCO AND FIREARMS**  
**APPLICATION TO TRANSPORT INTERSTATE OR TO TEMPORARILY EXPORT CERTAIN NATIONAL FIREARMS ACT (NFA) FIREARMS**  
*(See Reverse for Instructions and Privacy Act Information)*

**FOR ATF USE ONLY**  
 NFA CONTROL NO.

**PART I — APPLICATION (Submit in Duplicate) (Print or Type all Entries)**

1. NAME AND ADDRESS OF REGISTERED OWNER (Full Name, Number, Street, City, State, and ZIP Code)	2. FIREARMS TO BE RETURNED TO ORIGINAL LOCATION? <input type="checkbox"/> YES <input type="checkbox"/> NO
	3. Dates firearm(s) will be away from original location, if to be returned to that location, (or dates in transit, if to be permanently relocated).

1a. TELEPHONE NUMBER (Include Area Code)	FROM (Month, Day, Year)	TO (Month, Day, Year)
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**4. FIREARM(S) TO BE TRANSPORTED (Complete New Forms For Additional Firearms)**

MANUFACTURER	TYPE OF FIREARM (Machine gun, etc.)	SERVICE-ABLE (Yes or No)	CALIBER OR GAUGE	MODEL	BARREL LENGTH	OVER-ALL LENGTH	SERIAL NUMBER

5. REASON FOR TRANSPORTATION OF FIREARMS (Example: Permanent change of Address)

6. TRANSPORTING FROM (Number, Street, City, County, State, and ZIP Code)	7. TRANSPORTING TO (Number, Street, City, County, State, and ZIP Code)
--------------------------------------------------------------------------	------------------------------------------------------------------------

8. MODE OF TRANSPORTATION (Name and Address of carrier, if by common or contract carrier)

Items 9 thru 11 shall be completed if firearm(s) is/are being temporarily exported.

9. STATE DEPARTMENT LICENSE NO.	10. PORT OF EXIT	11. PORT OF REENTRY
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NOTE: If firearm(s) will not be returned or relocated on or before the date specified, submit a new ATF F 7560.8 (See Instructions "e" and "f").

The undersigned certifies that the information on this form is to the best of my knowledge and belief, true and complete, that the transportation does not involve a transfer of title, that the transportation or possession of the listed firearm(s) is not inconsistent with the laws at the place of destination, that all such laws will be complied with, and that, where applicable, all temporary export license provisions under the Arms Export Control Act of 1976 have been complied with.

12. SIGNATURE OF OWNER	13. DATE
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**PART II — ACTION BY THE BUREAU OF ALCOHOL, TOBACCO AND FIREARMS**

By authority of the Director, application to transport or temporarily export the above-listed firearm(s) to and from the location, and for the time period indicated, is:

14. <input type="checkbox"/> APPROVED (with the following conditions, if any):	15. <input type="checkbox"/> DISAPPROVED (for the following reason(s)):
--------------------------------------------------------------------------------	-------------------------------------------------------------------------

16. SIGNATURE OF AUTHORIZED ATF OFFICIAL	17. DATE
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**INSTRUCTIONS**

- a. authorization from ATF to transport any destructive device, machinegun, short-barreled rifle, or short-barreled shotgun is required under the provisions of Section 922(a)(4), Title 18, U.S.C., and Section 178.28, Title 27, CFR. A letter of request, in duplicate, containing all information required on this form, may be submitted in lieu of the form.
- b. The registered owner of NFA firearm(s) shall complete two copies of ATF F 5320.20 and forward the forms to the Director, Bureau of Alcohol, Tobacco and Firearms, Washington, D.C. 20226 (Attention: NFA Branch).
- c. All signatures on both copies of the form shall be in ink. A facsimile signature is not acceptable. All other entries on the form shall be printed in ink or typewritten.
- d. The original of ATF F 5320.20 will be returned to the registered owner. Approval authorizes the registered owner to transport the designated firearm(s) only during the time period specified in item 3. **THE AUTHORIZATION DOES NOT CARRY OR IMPORT RELIEF FROM ANY STATUTORY OR REGULATORY PROVISIONS RELATING TO FIREARMS OTHER THAN 27 CFR 178.28.**
- e. In the event item 2 is checked "yes" and the firearm(s) is not returned to the original location by the date specified, the registered owner shall submit a new application on ATF F 5320.20 to receive approval to return the firearm(s).
- f. If a contract or common carrier is used to transport the firearm(s) a copy of ATF F 5320.20 shall be furnished to the carrier and shall be in the possession of the carrier for the duration of the transportation. This will meet the requirements of sections 922(e) and (f) of the Gun Control Act of 1968.

**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 made pursuant to the Gun Control Act of 1968 (18 U.S.C. 922(a)(4)). Disclosure of this information by the applicant is mandatory if the applicant wishes to transport in interstate or foreign commerce any destructive device, machinegun, short-barreled shotgun, or short-barreled rifle.
2. **PURPOSE.** To determine whether the proposed transaction of the listed items is reasonably necessary and consistent with the public safety and applicable State and local law.
3. **ROUTINE USES.** This information will be used by ATF to make the determination set forth in paragraph 2. No information obtained from an application, registration, or records required to be submitted by a natural person in order to comply with the provisions of the National Firearms Act or regulations issued thereunder, shall, except in connection with prosecution or other action for furnishing false information be used, directly or indirectly, as evidence against that person in any criminal proceeding with the filing of the application.
4. **EFFECTS OF NOT SUPPLYING INFORMATION REQUESTED.** Failure to supply complete information will delay processing and may cause denial of the application.

**PAPERWORK REDUCTION ACT NOTICE**

This form is in accordance with the Paperwork Reduction Act of 1980. Its purpose is to obtain the information necessary to provide authorization to a person who is not a qualified firearms licensee who wishes to transport interstate or engage in foreign commerce temporarily, any destructive device, machine gun, short-barreled shotgun or short-barreled rifle. The information will be used to identify the registrant, the firearms to be transported and the destination of the firearms. The furnishing of this information is mandatory (18 USC 922a).

OF THE TREASURY BUREAU OF ALCOHOL, TOBACCO AND FIREARMS  
**TRANSACTION RECORD PART I — INTRA-STATE  
 OVER-THE-COUNTER (ENGLISH-SPANISH)**

TRANSFEROR'S TRANSACTION NO.

NOTA: Llène solo el original. Escriba a maquina o en letras de molde con tinta. Firme siempre con tinta.

**SECCION A — EL COMPRADOR DEBERÁ LLENARLA PERSONALMENTE** *Véanse el aviso y las instrucciones al dorso).*

1. NOMBRE DEL COMPRADOR ( <i>Apellido(s), Nombre(s) (Sr., Sra., Srta.)</i> )	2. ESTATURA	3. PESO	4. RAZA
5. DIRECCIÓN DOMICILIAR ( <i>Número, calle, ciudad, estado, zona postal</i> )	6. FECHA DE NACIMIENTO	7. LUGAR DE NACIMIENTO	

8. CERTIFICACIÓN DEL COMPRADOR — Una respuesta falsa puede dar lugar a que se someta al declarante a un procedimiento penal. Cada pregunta debe ser contestada "Sí" o "No", en la casilla que se encuentra a la derecha de la pregunta.

a. ¿Hay pendiente ante algún tribunal una acusación formulada contra usted por el Gran Jurado o el Fiscal que conlleve una pena de encarcelamiento que exceda de un año?	c. ¿Es usted prófugo de la justicia?
	d. ¿Es usted usuario ilegal de marihuana o de una droga deprimente, estimulante o narcótica, o está usted adicto a alguna de ellas?
b. ¿Ha sido usted hallado culpable de algún delito punible con un período de encarcelamiento que exceda de un año? Nota: La sentencia misma dictada por el juez no importa a los efectos de esta pregunta. Usted debe contestar "Sí" si el juez le hubiera podido fijar una condena de más de un año de cárcel. Además debe contestar "Sí" si la sentencia ha sido sobreesida, anulada o declarada sin lugar en virtud de un estatuto rehabilitador o de cancelación de sentencia. Sin embargo, un delito punible con encarcelamiento por un término en exceso de un año no incluye un fallo de culpabilidad anulado en virtud de la Ley Federal de Correcciones para los Jóvenes (Federal Youth Corrections Law).	e. ¿Lo han declarado a usted alguna vez incapacitado mental, o le han internado en algún instituto para enfermedades mentales?
	f. ¿Ha sido usted licenciado de las Fuerzas Armadas bajo condiciones deshonrosas?
	g. ¿Es usted un extranjero que se encuentra indocumentado en los Estados Unidos?
	h. ¿Es usted una persona que habiendo sido ciudadano de los Estados Unidos renunció a su ciudadanía?

Por la presente certifico que las respuestas arriba enunciadas son correctas y verdicas. Tengo entendido que a toda persona que conteste afirmativamente a cualquiera de las preguntas se le prohibirá comprar o poseer un arma de fuego, a excepción de lo dispuesto en las leyes federales. Tengo entendido asimismo que al hacer una declaración falsa oral o escrita, o presentar una identificación falsa o mal representada con respecto a esta transacción, constituye un delito grave.

FIRMA DEL CESIONARIO	FECHA
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**SECTION B — TO BE COMPLETED BY TRANSFEROR (SELLER)** *(See Notice and Instructions on reverse.)*

THIS PERSON DESCRIBED IN SECTION A:  IS KNOWN TO ME  
 HAS IDENTIFIED HIMSELF TO ME IN THE FOLLOWING MANNER

9. TYPE OF IDENTIFICATION ( <i>Driver's License, etc. Positive identification is required. A Social Security card is not considered positive identification.</i> )	10. NUMBER ON IDENTIFICATION
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On the basis of (1) the statements in Section A; (2) the verification of identity noted in Section B; and (3) the information in the current list of Published Ordinances, it is my belief that it is not unlawful for me to sell, deliver or otherwise dispose of the firearm described below to the person identified in Section A.

11. TYPE ( <i>Pistol, Revolver, Rifle, Shotgun, etc.</i> )	12. MODEL	13. CALIBER OR GAUGE	14. SERIAL NO.
15. MANUFACTURER ( <i>and importer, if any</i> )			
16. TRADE/CORPORATE NAME AND ADDRESS OF TRANSFEROR ( <i>Seller</i> ) (Hand stamp may be used.)			17. FEDERAL FIREARMS LICENSE NO.
18. TRANSFEROR'S ( <i>Seller's</i> ) SIGNATURE		19. TRANSFEROR'S TITLE	20. TRANSACTION DATE

**PAPERWORK REDUCTION ACT NOTICE**

The information required on this form is in accordance with Section 3507 of Public Law 96-511, December 11, 1980. The purpose of the information is to determine the eligibility of the buyer (transferee) to receive firearms under Federal law. The information is subject to inspection by ATF officers. The information on this form is required by 18 U.S.C. 922.

**AVISO IMPORTANTE AL CESIONISTA (VENDEDOR) Y AL CESIONARIO (COMPRADOR)**

1. Con arreglo a lo dispuesto en el Capítulo 44 del título 18 del Código de los Estados Unidos y en el Título VII de la Ley Pública 90-351, Apéndice 1201-1203 del Título 18 del Código de los Estados Unidos, enmendado, las armas de fuego no pueden ser vendidas a determinadas personas ni pueden ser recibidas por determinadas personas. La información y la certificación contenidas en este formulario tienen por objeto permitir a una persona que esté en posesión de una licencia con arreglo a lo dispuesto en el Capítulo 44, determinar si puede, legalmente, vender, entregar o transportar una arma de fuego a la persona identificada en la Sección A, e informar al cesionario (comprador) de ciertas restricciones en el recibo y la posesión de armas de fuego. Este formulario no debe utilizarse para efectuar ventas o transferencias en el caso de que ninguna de las dos personas haya recibido una licencia con arreglo a lo dispuesto en el Capítulo 44 del Título 18 del Código de los Estados Unidos.

2. **ADVERTENCIA**—La venta o entrega de una arma de fuego por una persona provista de licencia a un comprador que reúna las condiciones exigidas y esté actuando como agente, intermediario o testaferro de alguien que el cesionista sabe o tiene motivos fundados para creer que no reúne las condiciones exigidas para comprar una arma de fuego directamente, puede dar por resultado una violación de las leyes federales sobre armas de fuego.

3. El cesionario (comprador) de una arma de fuego debe familiarizarse con las disposiciones legales. Por lo general, el Capítulo 44 del Título 18 del Código de los Estados Unidos prohíbe el envío, transporte o recibo por el comercio interestatal de una arma de fuego por una persona que esté bajo acusación del Gran Jurado o del fiscal, o haya sido convicta de un delito punible con una pena de prisión de más de un año; por un fugitivo de la justicia; por una persona que, ilícitamente, consume o sea adicta a marihuana o a drogas deprimentes, estimulantes o estupefacientes; o por una persona que haya sido declarada deficiente mental o haya sido internada en hospital psiquiátrico. Además, con arreglo al Título VII (Apéndice 1201-1203 del Título 18 del Código de los Estados Unidos), generalmente, será ilegal la posesión de una arma de fuego por una persona que haya resultado convicta de un delito punible con una pena de prisión de más de un año; haya sido separada de las Fuerzas Armadas en condiciones deshonorosas; haya sido declarada incompetente mental; que, habiendo sido ciudadana de los Estados Unidos haya renunciado a su ciudadanía, o que sea extranjera que está en los Estados Unidos ilegalmente.

**INSTRUCCIONES PARA EL CESIONARIO (COMPRADOR)**

1. El comprador (cesionario) de una arma de fuego, sin excepción, llenará personalmente la Sección A del formulario y certificará (firmará) que las respuestas son verídicas y correctas. Cuando, a causa de la incapacidad del comprador para leer o escribir, otra persona escriba las respuestas, esta persona y otra firmarán en calidad de testigos de las respuestas del comprador, de su firma, o de ambas.

2. Cuando el cesionario (comprador) de una arma de fuego es una compañía anónima, sociedad, asociación, compañía comanditaria, u otra entidad mercantil análoga, un funcionario autorizado para actuar en nombre de la empresa llenará y firmará la Sección A del formulario y adjuntará una declaración escrita, formalizada bajo pena de perjurio, por la que deje constancia de

- a) que el arma de fuego se adquiere para ser de uso y propiedad de dicha entidad mercantil, y
- b) el nombre y la dirección de dicha entidad mercantil.

**INSTRUCCIONES TO TRANSFEROR (SELLER)**

1. Should the buyer's name be illegible the seller shall print the buyer's name above the name printed by the buyer.
2. The transferor (seller) of a firearm will, in every instance complete Section B of the form.
3. If more than one firearm is involved, the identification required by Section B, Items 11 through 15, must be provided for each firearm. The identification of the firearms transferred in a transaction which covers more than one weapon may be on a separate sheet of paper which must be attached to the form covering the transaction.
4. The transferor (seller) of the firearm is responsible for determining the lawfulness of the transaction and for keeping proper records of the transaction. Consequently, the transferor should be familiar with the provisions of the Gun Control Act of 1968 (18 U.S.C. Chapter 44) and Title VII, Unlawful Possession or Receipt of Firearms, (82 Stat. 197), and 27 CFR Part 178 (Commerce in Firearms and Ammunition).
5. Upon completion of the firearm transaction, the transferor (seller) must make a part of his permanent firearms records the Form 4473 (5300.9) Part 1 recording that transaction and any supporting documents. Form 4473 (5300.9) Part 1 and any supporting documents must be filed either chronologically by date of transaction, alphabetically by name of transferee (buyer), or numerically by transaction number if the transferor assigns transaction numbers to Form 4473 (5300.9) Part 1.
6. In addition to completing this record, the licensee shall report any multiple sale or other disposition of pistols or revolvers on ATF F 3310.4 in accordance with 27 CFR 178.126a.
7. Additional forms are available from:

Bureau of Alcohol, Tobacco and Firearms  
ATF Distribution Center  
3800 S. Four Mile Run Drive  
Arlington, Virginia 22206

**DEFINICIONES**

1. **Transacción privada dentro del Estado**.—La venta u otra forma de enajenación de una arma de fuego por el cesionista (vendedor) a un cesionario (comprador) que sea residente del estado en el que está radicado el negocio del cesionista, realizada en el local de negocios del cesionista.
2. **Ordenanzas publicadas**.—La publicación (ATF P 5300.5) que contiene las leyes estatales y ordenanzas locales pertinentes a la aplicación de Capítulo 44 del Título 18 del Código de los Estados Unidos, publicada anualmente en el *Federal Register* y distribuida a todos quienes tienen licencias para poseer armas de fuego por el Director del Bureau of Alcohol, Tobacco and Firearms.

**PART II — CONTIGUOUS-STATE OR NON-OVER-THE-COUNTER**

NOTE: Prepare in duplicate. All entries on this form must be in ink.

**SECTION A — MUST BE COMPLETED PERSONALLY BY TRANSFEREE (BUYER) (See Notices and Instructions on reverse)**

1. TRANSFEREE'S (Buyer's) NAME (Last, First, Middle)  <input type="checkbox"/> MALE <input type="checkbox"/> FEMALE	2. HEIGHT	3. WEIGHT	4. RACE	
	5. RESIDENCE ADDRESS (No., Street, City, State, ZIP Code)		7. PLACE OF BIRTH (City and State or City and Foreign Country)	
6. DATE OF BIRTH		MONTH		DAY

8. CERTIFICATION OF TRANSFEREE (Buyer) — An untruthful answer may subject you to criminal prosecution. Each question must be answered with a "yes" or a "no" inserted in the box at the right of the question:

a. Are you under indictment or information* in any court for a crime punishable by imprisonment for a term exceeding one year? *A formal accusation of a crime made by a prosecuting attorney, as distinguished from an indictment presented by a grand jury.		c. Are you a fugitive from justice?	
	b. Have you been convicted in any court of a crime punishable by imprisonment for a term exceeding one year? (NOTE: A "yes" answer is necessary if the judge could have given a sentence of more than one year. Also, a "yes" answer is required if a conviction has been discharged, set aside, or dismissed pursuant to an expungement or rehabilitation statute. However, a "crime punishable by imprisonment exceeding one year" does not include a conviction which has been set aside under the Federal Youth Corrections Act, as evidenced by a copy of the certificate issued under 18 USC 5021.)		d. Are you an unlawful user of, or addicted to, marijuana, or a depressant, stimulant, or narcotic drug?
		e. Have you ever been adjudicated mentally defective or have you ever been committed to a mental institution?	
		f. Have you been discharged from the Armed Forces under dishonorable conditions?	
		g. Are you an alien illegally in the United States?	
		h. Are you a person who, having been a citizen of the United States, has renounced his citizenship?	

Subject to penalties provided by law, I swear that, in the case of any firearm other than a shotgun or a rifle, I am 21 years or more of age, or that, in the case of a shotgun or rifle, I am 18 years or more of age; that I am not prohibited by the provisions of Chapter 44 of Title 18, United States Code, from receiving a firearm in interstate or foreign commerce, and that my receipt of this firearm will not be in violation of any statute of the State and published ordinance applicable to the locality in which I reside. Further, the true title, name, and address of the principal law enforcement officer of the locality to which the firearm will be delivered are:

TITLE	NAME
ADDRESS	

I also hereby certify that the answers to the above are true and correct. I understand that a person who answers "Yes" to any of the above questions is prohibited from purchasing and/or possessing a firearm, except as otherwise provided by Federal law. I also understand that the making of any false oral or written statement or the exhibiting of any false or misrepresented identification with respect to this transaction is a crime punishable as a felony.

TRANSFEREE'S (Buyer's) SIGNATURE	DATE
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**SECTION B — MUST BE COMPLETED BY TRANSFEROR (SELLER) (See Notices and Instructions on reverse)**

On the basis of (1) the statements in Section A; (2) my notification of the chief law enforcement officer designated above; and (3) the information in the current list of Published Ordinances, it is my belief that it is not unlawful for me to sell, deliver, transport, or otherwise dispose of the firearm described below to the person identified in Section A.

9. TYPE (Pistol, Revolver, Rifle, Shotgun, etc.)	10. MODEL	11. CALIBER OR GAUGE	12. SERIAL NO.
13. MANUFACTURER (and importer, if any)			
14. TRADE/CORPORATE NAME AND ADDRESS OF TRANSFEROR (Seller) (Hand stamp may be used)		15. FEDERAL FIREARMS LICENSE NO. (Hand stamp may be used)	

16. TRANSFEROR'S (Seller's) SIGNATURE	17. TRANSFEROR'S TITLE	18. TRANSACTION DATE
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CHALLENGING EXTREMISM | PROMOTING DIALOGUE

This form is in accordance with the Paperwork Reduction Act of 1980. The purpose of the information is to determine the eligibility of the buyer (transferee) to receive firearms under Federal law. The information is subject to inspection by ATF officers. The information on this form is required by 18 U.S.C. 922.

### IMPORTANT NOTICES TO TRANSFEROR (SELLER) AND TRANSFEE (BUYER)

1. Under 18 U.S.C. 921-928 and 18 U.S.C. Appendix 1201-1203, firearms may not be sold to or received by certain persons. The information and certification on this form are designed so that a person licensed under 18 U.S.C. 921-928 may determine if he may lawfully sell or deliver a firearm to the person identified in Section A, and to alert the transferee (buyer) of certain restrictions on the receipt and possession of firearms. This form should not be used for sales or transfers where neither person is licensed under 18 U.S.C. 921-928.

2. **Warning**—The sale or delivery of a firearm by a licensee to an eligible purchaser who is acting as an agent, intermediary or 'straw purchaser' for someone whom the licensee knows or has reasonable cause to believe is ineligible to purchase a firearm directly, may result in a violation of the Federal firearm laws.

3. The transferee (buyer) of a firearm should be familiar with the provisions of law. Generally, 18 U.S.C. 921-928 prohibits the shipment, transportation or receipt in interstate commerce of a firearm by one who is under indictment or information for, or who has been convicted of, a crime punishable by imprisonment for a term exceeding one year, by one who is a fugitive from justice, by one who is an unlawful user of, or addicted to marijuana or a depressant, stimulant or narcotic drug, or by one who has been adjudicated mentally defective or who has been committed to a mental institution. In addition, 18 U.S.C. Appendix 1201-1203 generally makes it unlawful for anyone who has been convicted of a crime punishable by imprisonment for a term exceeding one year, who has been discharged from the Armed Forces under dishonorable conditions, who has been adjudicated mentally incompetent, who, having been a citizen of the United States, has renounced his citizenship, or who is an alien illegally in the United States, to possess a firearm.

**KNOW YOUR CUSTOMER**—Before a licensee may sell or deliver a firearm to a nonlicensee, the licensee must establish the identity, place of residence, and age of the buyer. Satisfactory identification should verify the buyer's name, date of birth, address, and signature. Thus, a driver's license or an identification card issued by a State in place of a license is particularly appropriate. Social Security cards are not acceptable because no address or date of birth is shown on the card. Also, alien registration receipt cards and military identification cards are not acceptable by themselves because the State of residence is not shown on the cards. However, although a particular document may not be sufficient to meet the statutory requirement for identifying the buyer, any combination of documents which together disclose the required information concerning the buyer is acceptable.

### NOTICE TO LAW ENFORCEMENT OFFICIALS

This copy of ATF Form 4473, Part II, is to advise you of a firearms transaction involving a resident in your jurisdictional area. The firearm described in Section B will not be shipped or delivered to the transferee (buyer) identified in Section A for a period of at least seven days following receipt of the notification of your acceptance or refusal of delivery, by registered or certified mail, of the form.

### INSTRUCTIONS TO TRANSFEE (BUYER)

1. The buyer (transferee) of a firearm will, in every instance, personally complete Section A of the form and certify (sign) that the answers are true and correct. However, if the buyer is unable to read and/or write, the answers may be written by other persons, excluding the dealer. Two persons (other than the dealer) will then sign as witnesses to the buyer's answers and signature.

2. When the transferee (buyer) of a firearm is a corporation, company, association, partnership or other such business entity, an officer authorized to act on behalf of the business will complete and sign Section A of the form and attach a written statement, executed under penalties of perjury, stating

- (a) that the firearm is being acquired for the use of and will be the property of that business entity, and
- (b) the name and address of that business entity.

### INSTRUCTIONS TO TRANSFEROR (SELLER)

1. Should the buyer's name be illegible the seller shall print the buyer's name above the name printed by the buyer.

2. The transferor (seller) of a firearm will, in every instance, complete Section B of the form.

3. If more than one firearm is involved, the identification required by Section B, Items 9 through 13, must be provided for each firearm. The identification of the firearms transferred in a transaction which covers more than one weapon may be on a separate sheet of paper which must be attached to the form covering the transaction.

4. The transferor (seller) of a firearm in a contiguous-State or non-over-the-counter transaction must forward by registered or certified mail (return receipt requested) the copy of the form to the chief law enforcement officer of the transferee's (buyer's) locality of residence. The transferor must delay shipment or delivery of the firearm for a period of at least 7 days following receipt of the post office notification on the acceptance or non-acceptance of the envelope. The transferor will retain as a part of the records required to be kept by 18 U.S.C. 921-928, the original form with evidence of the receipt or rejection of the notification forwarded to the chief law enforcement officer of the transferee's locality of residence.

5. The transferor (seller) of the firearm is responsible for determining the lawfulness of the transaction and for keeping proper records of the transaction. Consequently, the transferor should be familiar with the provisions of 18 U.S.C. 921-928 and 18 U.S.C. Appendix 1201-1203, and the Federal firearms regulations, Title 27, Code of Federal Regulations, Part 178.

6. After you have completed the firearm transaction, you must make the completed, original copy of the ATF F 4473, Part II part of your permanent firearms records including any supporting documents. Filing may be chronological (by date), alphabetical (by name), or numerical (by transaction serial number), so long as all of your completed Forms 4473, Part II are filed in the same manner.

### DEFINITIONS

1. **Contiguous-State Transaction**—The sale or other disposition of a rifle or shotgun to the resident of a contiguous State which has enacted legislation permitting residents of that State to purchase rifles or shotguns outside the State.

2. **Non-over-the-Counter Transaction**—A mail-order transaction, or other transaction, where the transferee (buyer) does not appear in person at the transferor's (seller's) premises. In either case, the sale is to a resident of the State in which the transferor's (seller's) premises is located.

3. **Published Ordinances**—The publication (ATF P 5300.5) containing State firearms laws and local ordinances which is annually distributed to Federal firearms licensees by the Bureau of Alcohol, Tobacco and Firearms.



(fold)

DEPARTMENT OF THE TREASURY — BUREAU OF ALCOHOL, TOBACCO AND FIREARMS

**INTERSTATE FIREARMS SHIPMENT REPORT OF THEFT/LOSS**



NAME		ADDRESS		TELEPHC
				(Area Code)
SHIPPER				
CONSIGNEE				(Area Code)
CARRIER				(Area Code)
SHIPPER/CARRIER (Claim or Investigation No.)		DATE SHIPPED	NAME OF REPORTING COMPANY	
FIREARM(S) DESCRIPTION: UTILIZE ATTACHMENT IF ADDITIONAL SPACE REQUIRED.				
TYPE	MANUFACTURER	MODEL	CALIBER	SERIAL NO.
			DATE	TELEPHONE NO. (Area Code)

**INSTRUCTIONS:** Report losses promptly. Fold card, staple closed and mail. Direct telephone inquiries to Washington, D.C. (800-424-9555) Firearms Interstate Theft Program Manager.

**PAPERWORK REDUCTION ACT NOTICE** — This request is in accordance with Section 3507, Public Law 96-511, December 11, 1980. The information collection documents reports of theft or loss of firearms experienced by common carriers in interstate shipment. ATF uses the information to investigate and perfect criminal cases. The information requested is voluntary.

(fold)

**DEPARTMENT OF THE TREASURY  
BUREAU OF ALCOHOL,  
TOBACCO AND FIREARMS**

**BUREAU OF ALCOHOL, TOBACCO AND FIREARMS  
FIREARMS DIVISION  
P.O. BOX 784  
BENJAMIN FRANKLIN STATION  
WASHINGTON, D.C. 20044**

TO EXPOSE AGGRESSIVE REMOVE UNDER TO EXPOS AMPLIFY

# DECLARION PROJECT

CHALLENGING EXTREMISM | PROMOTING DIALOGUE

DEPARTMENT OF THE TREASURY  
BUREAU OF ALCOHOL, TOBACCO AND FIREARMS

## REPORT OF MULTIPLE SALE OR OTHER DISPOSITION OF PISTOLS AND REVOLVERS

### INSTRUCTIONS

1. This form is to be used by licensees to report all transactions in which an unlicensed person has acquired two or more pistols and/or revolvers at one time or during five consecutive business days.
2. A separate form is to be submitted for each such person.
3. The report is to be submitted to the ATF Law Enforcement Office for your area not later than the close of business on the day that the multiple sale or other disposition occurs. See **State Laws and Published Ordinances-Firearms**, for the office nearest your business premises.
4. Complete Items 1 through 7, fold, seal with tape, affix postage and mail.

### PAPERWORK REDUCTION ACT NOTICE

This request is in accordance with the Paperwork Reduction Act of 1980. The information requested on this form documents certain sales or other dispositions of handguns for law enforcement purposes. The information is used to determine if the buyer (transferee) is involved in an unlawful activity, or is a person prohibited by law from obtaining firearms. The information requested is mandatory and required by statute (18 U.S.C. 923(g)).

(Fold on this line)

1. TRANSFEREE'S NAME (*Buyer*) (*Last, first, middle*)

2. RESIDENCE ADDRESS (*Number, street, city, State, ZIP code*)

3. DATE OF BIRTH

4. TOTAL SOLD IN FIVE DAYS

REVOLVER

PISTOL

5. NAME & ADDRESS OF LICENSEE MAKING REPORT  
(*Hand stamp may be used*)

6. DATE

7. FEDERAL FIREARMS LICENSE NUMBER

LOCATION: # 7 - Englewood BOX 61

Building: PSI Office

Room: F-3

Investigator: Susan M. Fenger

Agency/Tele#: ICE (937-3907)

Date: 12-1-92

Description: Blank Forms

- Requisition for Firearms/Explosives (1)  
and ATF Distribution Center Order 136234 3-9-87  
Customer Name: Non-ATF Organization
- Report of Multiple Sale or Other Disposition of  
Rifles & Revolvers (158) (approx.)
- Interstate Firearms Shipment Report of Theft/Loss  
(220 approx.)
- Firearms Transaction Record Part I -  
Intra-State over-the-Counter (English-Spanish)  
(275 approx.)
- Firearms Transaction Record Part II -  
Contiguous-State or Non-over-the-Counter  
(175 approx.)
- Firearms Transaction Record Part I -  
Intra-State Over-the-Counter (300)
- Application For Registration of Firearms Required by  
Certain Governmental Entities (218 approx.)

Blank Forms (Cont.)

- Application for Tax Paid Transfer and Registration of Firearm (160 approx.)
- Application to Transport Interstate or to Temporarily Export Certain National Firearms Act (NFA) Firearms (approx. 215)