

# APPENDIX C

## ATF FORMS

### ATF Form 1 (5320.1) Application to Make and Register a Firearm

DEPARTMENT OF THE TREASURY  
BUREAU OF ALCOHOL, TOBACCO AND FIREARMS  
**APPLICATION TO MAKE AND REGISTER A FIREARM**  
(Detach this sheet before completing form)

#### INSTRUCTIONS

1. DEFINITIONS.
  - a. NATIONAL FIREARMS ACT (NFA). Title 26, United States Code, Chapter 53. The implementing regulations are found in Title 27, Code of Federal Regulations, Part 179.
  - b. GUN CONTROL ACT (GCA). Title 18, United States Code, Chapter 44. The implementing regulations are found in Title 27, Code of Federal Regulations, Part 178.
  - c. 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 18 U.S.C. 5845(e); (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.
  - d. PERSON. The term "person" means a partnership, company, association, trust, estate, or corporation as well as a natural person.
  - e. EMPLOYER IDENTIFICATION NUMBER (EIN). Required of taxpayer filing special (occupational) tax returns under 27 CFR § 179.35.
  - f. SPECIAL (OCCUPATIONAL) TAX. Required by the NFA to be paid by a Federal firearms licensee engaged in the business of manufacturing (Class 2), importing (Class 1), or dealing (Class 3) in NFA firearms.
  - g. FEDERAL FIREARMS LICENSE. A license issued under the provisions of the GCA to manufacture, import or deal in firearms.
  - h. ATF OFFICER. An officer or employee of the Bureau of Alcohol, Tobacco and Firearms (ATF) authorized to perform any function relating to the administration of the NFA.
  - i. MAKE. The term "make", and the various derivatives of such word, shall include manufacturing (other than by one qualified to engage in such business under the NFA), putting together, altering, any combination of these, or otherwise producing a firearm.
  - j. MISDEMEANOR CRIME OF DOMESTIC VIOLENCE. A crime that is a misdemeanor under Federal or State law and has, as an element, the use or attempted use of physical force, or the threatened use of a deadly weapon, committed by a current or former spouse, parent, or guardian of the victim, by a person with whom the victim shares a child in common, by a person who is cohabiting with or has cohabited with the victim as a spouse, parent, or guardian. The term includes all misdemeanors that involve the use or attempted use of physical force (e.g., simple assault, assault and battery), if the offense is committed by one of the defined parties. The person is NOT considered to have been convicted of such crime unless the person was represented by a lawyer or gave up the right to a lawyer, and, if the person was entitled to a jury trial, was tried by a jury or gave up the right to a jury trial.
  - k. REACTIVATION. The restoration of a registered unserviceable NFA firearm to a functional condition. This action incurs the making tax liability.
  - l. UNSERVICEABLE FIREARM. One which is incapable of discharging a shot by means of an explosive and incapable of being readily restored to 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.
2. PREPARATION OF APPLICATION AND PAYMENT OF TAX.
  - a. AUTHORITY. As provided by 26 U.S.C. § 5822, any person (other than a qualified manufacturer of firearms (see paragraph b)) seeking to make a firearm must complete, in duplicate, a separate application on this form for each firearm. The applicant maker must furnish all the information called for on this application form.
  - b. REGISTRATION BY QUALIFIED MANUFACTURER. A person who has a Federal firearms license to manufacture firearms (Type 07 or 10) and who has paid special (occupational) tax to manufacture NFA firearms is exempt from the making tax and filing of the ATF F 1 application. Such qualified manufacturer must report and register each NFA firearm manufactured by filing ATF F 2, Notice of Firearms Manufactured or Imported, as required by 27 CFR § 179.102.
  - c. PAYMENT OF/EXEMPTION FROM PAYMENT OF TAX. As provided in 26 U.S.C. § 5821, there is a \$200.00 tax on each firearm made, except as provided in 26 U.S.C. §§ 5852 and 5853, when an NFA firearm may be made without payment of the tax when made by, or on behalf of the United States or any State or political subdivision thereof. Documentation that the firearm is being made for a government entity, such as a United States government contract or a State or local government agency purchase order, must accompany the application. The reactivation of a registered unserviceable firearm is subject to the making tax.
    - d. PHOTOGRAPHS AND FINGERPRINTS. An individual maker must (1) attach to each copy in item 12 of the ATF F 1, a 2 inch x 2 inch photograph of his/her frontal view taken within 6 months prior to the date of the application and (2) submit two properly completed FBI Forms FD-258 (Fingerprint Card with blue lines) with the application. The fingerprints must be clear for accurate classification and taken by someone properly equipped to take them.
    - e. SIGNATURES. All signatures required on ATF F 1 must be original in ink on both copies.
    - f. REMITTANCE. If the application is subject to the making tax, a check or money order, made payable to the Bureau of Alcohol, Tobacco and Firearms, in the amount of \$200.00 must be submitted with the ATF F 1. Do not send cash.
    - g. PHOTOCOPIES OR COMPUTER GENERATED VERSIONS. The ATF F 1 may be photocopied or a computer-generated version (as long as it is in the same format and contains all required information) may be used. This form may also be downloaded from the ATF Internet website at [www.atf.treas.gov](http://www.atf.treas.gov).
    - h. SERIAL NUMBERS AND OTHER MARKINGS. If an existing firearm is being modified into an NFA firearm, enter the existing serial number of the firearm into item 4g and the name and address of the original manufacturer into item 4a. DO NOT ALTER OR MODIFY THE EXISTING SERIAL NUMBER. If the NFA firearm is being made from parts, your name and address are to be entered into 4a and a serial number you create is to be entered into item 4g.
    - i. SUBMISSION. All requested information must be entered in blue or black ink and must be legible. Illegible entries will be returned for correction. Send both copies of the ATF F 1 and attachments to the address located in the upper right hand corner on the face side of the ATF F 1. The return of the application or your sending it to any other address will only delay the processing.
3. APPROVAL OF APPLICATION. Upon approval of an application, the NFA Branch will affix the NFA tax stamp (if any) to the application, cancel it, and return the approved copy to the maker. The approval of the application effectuates registration of the firearm to the maker; however, the firearm must not be made until the application has been approved.
4. WITHDRAWAL OF APPLICATION. The application may be withdrawn prior to approval by submission of a written request from the maker. The NFA Branch will arrange for a refund of any tax paid.
5. CANCELLATION OF APPROVED APPLICATION. An approved application may be cancelled only if the firearms had not been made or modified. The maker must return the approved application with a written request for cancellation, citing the need and that the making of the firearm did not take place. The NFA Branch will arrange for a refund of any tax paid.
6. DISAPPROVAL OF APPLICATION. If the application is disapproved, the NFA Branch will note the reason for disapproval on the application and return one copy to the maker. The NFA Branch will arrange for a refund of any tax paid.
7. REASONS FOR DISAPPROVAL. 26 U.S.C. § 5822 provides that applications shall be denied if the making or possession of the firearm would place the maker in violation of law.
  - a. STATE OR LOCAL LAW. If State or local law prohibits the making or possession of the firearm being made, the application will be disapproved.
  - b. MACHINEGUNS AND SEMIAUTOMATIC ASSAULT WEAPONS.
    - (1) 18 U.S.C. § 922(o) provides that machineguns may be made only for government use or export. An application will be denied unless the making meets these criteria.
    - (2) 18 U.S.C. § 922(v) generally prohibits the manufacture of a semiautomatic assault weapon. The making of an NFA firearm does not provide relief from this prohibition.
  - c. PERSONS PROHIBITED FROM MAKING A FIREARM. The application will be disapproved if the maker is a person prohibited from possessing a firearm by 18 U.S.C. § 922(g), which provides that is shall be unlawful for any person-
    - (1) who has been convicted in any court of a crime punishable by imprisonment for a term exceeding one year;
    - (2) who is a fugitive from justice;
    - (3) who is an unlawful user of or addicted to any controlled substance;
    - (4) who has been adjudicated as a mental defective or who has been committed to a mental institution;
    - (5) who, being an alien, is illegally or unlawfully in the United States or, except as provided in 18 U.S.C. § 922(y)(2), has been admitted to the United States under a nonimmigrant visa (as that term is defined in 8 U.S.C. § 1101(a)(26));
    - (6) who has been discharged from the Armed Forces under dishonorable conditions;
    - (7) who, having been a citizen of the United States, has renounced his citizenship;
    - (8) who is subject to a court order that-
      - (A) was issued after a hearing of which such person received actual notice; and at which such person had an opportunity to participate;

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#### INSTRUCTIONS (Continued)

- (b) restrains such person from harassing, stalking, or threatening an intimate partner of such person or child of such intimate partner or person, or engaging in other conduct that would place an intimate partner in reasonable fear of bodily injury to the partner or child; and
- (c) (i) includes a finding that such person represents a credible threat to the physical safety of such intimate partner or child; or (ii) by its terms explicitly prohibits the use, attempted use, or threatened use of physical force against such intimate partner or child that would reasonably be expected to cause bodily injury, or
- (g) who has been convicted in any court of a misdemeanor crime of domestic violence, to ship or transport in interstate or foreign commerce, or possess in or affecting commerce, or possess in or affecting commerce, any firearm or ammunition; or to receive any firearm or ammunition which has been shipped or transported in interstate or foreign commerce.
8. **STATUS INQUIRIES AND QUESTIONS.** The NFA Branch telephone number is (202) 527-8330. Any inquiry relating to the status of an application to make an NFA firearm or about procedures in general should be directed to the NFA. Please be aware that the information relating to the registration of firearms is defined as "return" or "return information" by 26 U.S.C. § 6103 and disclosure is generally prohibited to anyone other than the registrant. Information relating to the NFA and other firearms laws is also available at the ATF Internet website [www.atf.treas.gov](http://www.atf.treas.gov).
9. **PENALTIES.** Any person who violates or fails to comply with any of the requirements of the NFA shall, upon conviction, be fined not more than \$10,000 or be imprisoned for not more than 10 years, or both. Any firearm involved in a violation of the NFA 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 NFA knowing such entry to be false.
10. **COMPLIANCE WITH THE GUN CONTROL ACT.** All provisions of the GCA must also be complied with.

#### PRIVACY ACT INFORMATION

1. **AUTHORITY.** Solicitation of this information is made pursuant to the National Firearms Act (26 U.S.C. §§ 5821 and 5822). Disclosure of this information by the applicant is mandatory for any person (other than a manufacturer qualified under the National Firearms Act) making a firearm as defined in the National Firearms Act.
2. **PURPOSE.** To verify payment of the tax imposed by 26 U.S.C. § 5821; to determine that the making 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 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.

#### PAPERWORK REDUCTION ACT NOTICE

This form is in accordance with the Paperwork Reduction Act of 1995. The information you provide is used to establish that a transferee's receipt and possession of the firearm would be in conformance with Federal, State, and local law. The data is used as proof of lawful registration of a firearm to the manufacturer. The furnishing of this information is mandatory (26 U.S.C. § 5822).

The estimated average burden associated with this collection of information 4 hours per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be addressed to Reports Management Officer, Document Services Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, DC 20226.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

**DEPARTMENT OF THE TREASURY**  
**BUREAU OF ALCOHOL, TOBACCO AND FIREARMS**  
**APPLICATION TO MAKE AND REGISTER A FIREARM**  
*(Submit in duplicate. See Instructions attached.)*

TO: National Firearms Act Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, DC 20226  
 The undersigned hereby makes application, as required by Sections 5821 and 5822 of the National Firearms Act, Title 26 U.S.C., Chapter 53, to make and register the firearm described below.

2. APPLICATION IS MADE BY:  INDIVIDUAL  CORPORATION OR OTHER BUSINESS ENTITY  GOVERNMENT ENTITY

3a. TRADE NAME (If any)

3b. APPLICANT'S NAME AND MAILING ADDRESS (Type or print below and between the dots)

3c. IF P.O. BOX IS SHOWN ABOVE, STREET ADDRESS MUST BE GIVEN HERE

3d. COUNTY

3e. TELEPHONE AREA CODE AND NUMBER

ATF CONTROL NUMBER

1. TYPE OF APPLICATION (Check one)

a. TAX PAID. Submit with your application a check or money order for \$200 made payable to the Department of the Treasury. Upon approval of the application, this office will acquire, affix, and cancel the required "National Firearms Act" stamp for you.

b. TAX EXEMPT because firearm is being made on behalf of the United States, or any department, independent establishment, or agency thereof.

c. TAX EXEMPT because firearm is being made by or on behalf of 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.

IMPORTANT: COMPLETE THE REVERSE SIDE. INDIVIDUALS (INCLUDING FEDERALLY LICENSED COLLECTORS) MUST ALSO SUBMIT, IN DUPLICATE, FBI FORM FD-258, FINGERPRINT CARD.

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

a. NAME AND LOCATION OF ORIGINAL MANUFACTURER OF FIREARM (RECEIVER) (If prototype, furnish plans and specifications) (See Instruction 2h)	b. TYPE OF FIREARM TO BE MADE (See instruction 1c)	c. CALIBER, GAUGE OR SIZE (Specify)	d. MODEL
			LENGTH (inches) e. OF BARREL: f. OVERALL:
			g. SERIAL NUMBER (See Instruction 2h.)

h. ADDITIONAL DESCRIPTION (Include all numbers and other identifying data which will appear on the firearm)

i. STATE WHY YOU INTEND TO MAKE FIREARM (Use additional sheet if necessary)

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

6. SPECIAL (OCCUPATIONAL) TAX STATUS

a. EMPLOYER IDENTIFICATION NUMBER (If applicable)

b. CLASS

IMPORTANT: GIVE FULL DETAILS ON SEPARATE SHEET FOR ALL "YES" ANSWERS IN ITEMS 7 AND 8

7. ARE YOU:	YES	NO	8. HAVE YOU:	YES	NO
a. Charged by information or under indictment in any court for a crime for which the judge could imprison you for more than one year. An information is a formal accusation of a crime made by a prosecuting attorney.			a. Been convicted in any court of a crime for which the judge could have imprisoned him/her for more than one year, even if the judge actually gave him/her a shorter sentence?		
b. A fugitive from justice?			b. Been discharged from the armed forces under dishonorable conditions?		
c. An alien who is illegally in the United States?			c. Been adjudicated mentally defective or been committed to a mental institution?		
d. Under 21 years of age?			d. Renounced his or her United States citizenship?		
e. An unlawful user of or addicted to, marijuana, or any depressant, stimulant, or narcotic drug, or any other controlled substance?			e. Been convicted in any court of a misdemeanor crime of domestic violence? (See instruction 1m)		
f. Subject to a court order restraining you from harassing, stalking or threatening an intimate partner or child of such partner? (See Instruction 7c)					

UNDER PENALTIES OF PERJURY, I DECLARE that I have examined this application, including accompanying documents, and to the best of my knowledge and belief it is true, accurate and complete and the making and possession of the firearm described above would not constitute a violation of Chapter 44, Title 18, U.S.C., Chapter 53, Title 26, U.S.C., or any provisions of State or local law.

9. SIGNATURE OF APPLICANT

10. NAME AND TITLE OF AUTHORIZED OFFICIAL OF FIRM OR CORPORATION (If applicable)

11. DATE

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

By authority of the Director, Bureau of Alcohol, Tobacco and Firearms, this application has been examined and the applicant's making and registration of the firearm described above is:

APPROVED (With the following conditions, if any)

DISAPPROVED (For the following reasons)

AUTHORIZED ATF OFFICIAL

DATE

ATF F 1 (5320.1) (3-2001) PREVIOUS EDITIONS ARE OBSOLETE

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**ADDITIONAL REQUIREMENTS**

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12. PHOTOGRAPH

AFFIX  
RECENT PHOTOGRAPH HERE  
*(Approximately 2" x 2")*  
*(See instruction 2d)*

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

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

\_\_\_\_\_ *(Name of Maker)*

I have no information indicating that the maker will use the firearm or device described on this application for other than lawful purposes. I have no information that POSSESSION OF THE FIREARM DESCRIBED IN ITEM 4 ON THE FRONT OF THIS FORM WOULD PLACE THE MAKER IN VIOLATION OF STATE OR LOCAL LAW.

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

BY *(See IMPORTANT NOTE BELOW)*

\_\_\_\_\_ *(Signature and Title of Delegated Person)*

\_\_\_\_\_ *(Organization)*

\_\_\_\_\_ *(Street Address)*

\_\_\_\_\_ *(City, State, and ZIP Code)*

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

**IMPORTANT:** The chief law enforcement officer is considered to be the Chief of Police for the maker's city or town of residence, the Sheriff for the maker's county of residence; the Head of the State Police for the maker's State of residence; a State or local district attorney or prosecutor having jurisdiction in the maker'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. Item 13 must be completed for an individual maker. The certification must be dated no more than one year prior to the date of receipt of the application

**IMPORTANT INFORMATION FOR CURRENTLY REGISTERED FIREARMS**

If this registration document evidences the current registration of the firearm described on it, please note the following information.

**ESTATE PROCEDURES:** For procedures regarding the transfer of firearms in an estate resulting from the death of the registrant identified in item 3, the executor should contact the NFA Branch, Bureau of ATF, Washington, DC 20226.

**CHANGE OF ADDRESS:** The registrant shall notify the NFA Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, DC 20226, in writing, of any change to the address in item 3a.

**INTERSTATE MOVEMENT:** If the firearm identified in item 4 is a machinegun, short-barreled rifle, short-barreled shotgun, or destructive device, the registrant may be required by 18 U.S.C. § 922(a)(4) to obtain permission from ATF prior to any transportation in interstate or foreign commerce.

**CHANGE OF DESCRIPTION:** The registrant shall notify the NFA Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, DC 20226, in writing, of any change to the description of the firearms in item 4.

**RESTRICTIONS ON POSSESSION:** Any restriction *(see approval block on face of form)* on the possession of the firearm identified in item 4 continues with the further transfer of the firearm.

**PERSONS PROHIBITED FROM POSSESSING FIREARMS:** If the registrant becomes prohibited by 18 U.S.C. § 922 from possessing a firearm, the registrant shall notify the NFA Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, DC 20226, in writing, immediately upon becoming prohibited for guidance on the disposal of the firearm.

**PROOF OF REGISTRATION:** This approved application is the registrant's proof of registration and it shall be made available to any ATF officer upon request.

ATF F 1 (5320.1) (3-2001)

ATF Form 2 (5320.2)  
 Notice of Firearms Manufactured or Imported

**INSTRUCTIONS**

1. Preparation of Notice of Firearms Manufactured or Imported.
  - a. This form is required to effect the registration of all firearms imported, manufactured, remanufactured or reactivated by qualified Federal firearms licensees who have paid the special (occupational) tax to import or manufacture firearms.
    - b. Reactivation of an NFA firearm - Any NFA firearm (including the frame or receiver of such firearm) must be registered to the possessor in order to be lawfully possessed. A Form 2 to register a reactivated NFA firearm will not be accepted if the unserviceable firearm is not registered to the applicant. The firearm in that event, would be considered contraband and would be subject to seizure and forfeiture provisions of the law.
    - c. Remanufacture of a firearm - Any NFA firearm has been properly destroyed, and thereby removed from the purview of the NFA, which are subsequently restored. (This could also include the converting of semi-automatic firearms to full automatic firearms). Public Law 99-308, §922(o) restrictions apply.
    - d. Manufacture of NFA firearms - Other types of manufacturing operations which result in the manufacture or making of an NFA firearm. (This includes producing firearms from scratch).
      - e. A separate Form 2 must be submitted for the four categories of manufacture, remanufacture, reactivation and importation of firearms.
      - f. If the importation involves more than one import permit, a separate Form 2 must be filed to report those firearms imported under each permit.
      - g. Serial numbers - Sections 178.92 and 179.102 of the regulations require that an individual serial number, *not duplicating any serial number placed by the manufacturer or importer on any other firearm*, must be placed on the firearm. However, please do not alter existing serial numbers.
      - h. When large numbers of firearms of the same type and model are reported, lists of serial numbers (double-spaced) may be attached to this form. The number of firearms in item 3b should agree with total number of firearms reported. Lists must be referenced to this form by date and manufacturer or importer in such a way that if pages become separated they can be matched up to the Form 2.
  - i. Photostatic or carbon signatures are not acceptable. Although typed forms are preferred, pen and ink may be used; forms completed in pencil will not be accepted. Facsimile copies will be accepted, if an original affidavit is on file with us.
  - j. If any questions arise concerning the preparation of this form, please contact the nearest ATF Office or the National Firearms Act Branch at (202) 927-8330.
2. Where to File Form - Submit completed forms to the National Firearms Act Branch, Bureau of Alcohol, Tobacco and Firearms, Room 5440, 650 Massachusetts Ave., N.W., Washington, DC 20226.
3. When to File Forms -
  - a. All firearms manufactured, remanufactured or reactivated during a single day must be filed no later than the close of the next business day. (27 CFR 179.112).
4. Disposition of Form - The manufacturer or importer must prepare the form, in duplicate, file the original with the National Firearms Act Branch and keep the copy with the firearms records required to be retained at the premises covered by the required special (occupational) tax stamp.
5. Receipt of Form by the Bureau of Alcohol, Tobacco and Firearms-
  - a. The receipt of this form properly prepared and executed by a manufacturer will register the firearms listed on the form to the manufacturer or importer, with the exception noted in item 1f. of these instructions.
  - b. Timely receipt by ATF of a properly prepared and executed form and timely receipt by the Imports Branch of a copy of ATF Form 6a (required by 27 CFR 178.112) covering the firearm(s) reported on the form by the importer, will register the listed firearms to the importer.

**Paperwork Reduction Act Notice**

This request is in accordance with the Paperwork Reduction Act of 1980. The information you provide as a qualified licensed firearms manufacturer or importer is to register, as required by law, firearms within the jurisdiction of the National Firearms Act, which have been lawfully manufactured or imported. The data is used to determine applicant's eligibility to register the firearms described. The furnishing of the information is mandatory (26 U.S.C. 5841c).

The estimated average burden associated with this collection of information is 30 minutes per respondent or recordkeeper depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be addressed to Reports Management Officer, Information Programs Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, D.C. 20226, and the Office of Management and Budget, Paperwork Reduction Project (1512-0025), Washington, D.C. 20503.



ATF Form 3 (5320.3)

Application for Tax-Exempt Transfer of Firearm and Registration to Special (Occupational) Taxpayer

INSTRUCTIONS

This form must be completed, in duplicate, and used only between those who have paid the appropriate fees to maintain a current Federal firearms license which is issued every three years and valid special (occupational) tax stamp which must be renewed every July 1st. The FFL and SOT stamp qualifies a person to import, manufacture or deal in National Firearms Act (NFA) firearms. The applicant must furnish all the information called for on the form. The transferor's and transferee's names must be shown exactly as they appear on the federal firearms license.

- 1. PRINT or type firearm buyer's full name including middle name and address. P.O. Box number, rural route or highway and box number and trade name.
2a. PRINT or type firearm owner's full name including middle and complete address, former and current trade name.
2b. The form will not be mailed to this address. It will be returned to the address in item 2a.
2c. The firearm seller's telephone number.
3a - g. PRINT or type original manufacturer's or importer's name and/or tradename and address and ensure that all of the information referencing the firearm is complete and accurate. See General Information below for more details.
3b. PRINT or type additional information referencing the firearm, such as a complete description including serial number of the Title I firearm into which a registered auto sear may be placed.
4. PRINT or type firearm buyer's VALID 15 digit FFL #.
5a. PRINT or type firearm buyer's VALID 9 digit EIN #.
5b. Is the firearm buyer a Class 1, 2, or 3?
6. PRINT or type firearm owner's VALID 15 digit FFL #.
7a. PRINT or type firearm owner's VALID 9 digit EIN #.
7b. Is the firearm owner a Class 1, 2, or 3?
8. Firearm owner's original signature.
9. PRINT or type firearm owner's name and title.
10. DATE firearm owner prepared.

GENERAL INFORMATION

- 1. Ensure that the state in which the firearm buyer resides does not prohibit NFA firearms. See "Firearms State Laws and Published Ordinances", ATF P 5300.5.
2. Prior to completing and mailing the Form 3 to the NFA Branch, BATF, Wash., DC 20226, please make a physical examination of the firearm to ensure that the information in items 3a - g is complete and accurate and matches the information permanently placed on the firearm.
3. The firearm owner can not deliver the firearm to the firearm buyer until the approved form is received from the Bureau of ATF.
4. If the firearm transaction cannot be completed immediately, please void the transfer.
5. Always initial and date any corrections you make on the form.
6. RECORDKEEPING REQUIREMENTS: Pursuant to Title 18, U.S.C., Chapter 44, the transferor and the transferee, as firearm licensees, shall record their disposition and acquisition of the described firearm as required by subpart H of Title 27 CFR, Part 178.

PAPERWORK REDUCTION ACT NOTICE

This form is in accordance with the Paperwork Reduction Act of 1995. The information you provide will be used to apply to transfer firearms tax exempt from one Federal firearms licensee and special (occupational) taxpayer qualified to deal in NFA firearms to another qualified special taxpayer. The data is used to verify lawful transfer and registration of firearms. The information being furnished is mandatory (26 U.S.C. 5812).

The estimated average burden associated with this collection of information is 30 minutes per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be addressed to the Reports Management Officer, Document Services Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, DC 20226.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

PRIVACY ACT INFORMATION

- 1. AUTHORITY. Solicitation of this information is made pursuant to the National Firearms Act (26 U.S.C. §5812 and 5851 and 5852). Disclosure of this information by the applicant is mandatory for any person (other than a manufacturer qualified under the National Firearms Act) making a firearm as defined in the National Firearms Act.
2. PURPOSE. To verify the tax exemption imposed by 26 U.S.C. § 5851; to determine 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 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.

**DEPARTMENT OF THE TREASURY**  
**BUREAU OF ALCOHOL, TOBACCO AND FIREARMS**  
**APPLICATION FOR TAX-EXEMPT TRANSFER OF FIREARM AND**  
**REGISTRATION TO SPECIAL (OCCUPATIONAL) TAXPAYER National Firearms Act (Title 26, U.S.C. Chapter 53)**

1. TRANSFEREE'S NAME AND ADDRESS (Show Trade Name, if any, and give number, street, city, State and ZIP Code, P.O. Box alone is not sufficient.) To be submitted in duplicate by transferor of firearm

TO: National Firearms Act Branch  
 Bureau of Alcohol, Tobacco and Firearms  
 Washington, D.C. 20226

SOLE PROPRIETOR     PARTNERSHIP     CORPORATION

2a. TRANSFEROR'S NAME AND MAILING ADDRESS (Show Trade Name, if any)

2b. NUMBER, STREET, CITY, STATE AND ZIP CODE OF LICENSED PREMISES IF DIFFERENT FROM ITEM 2a.

SOLE PROPRIETOR     PARTNERSHIP     CORPORATION

2c. TELEPHONE NO. (Include Area Code)

The above-named and undersigned transferor and special (occupational) taxpayer hereby makes application as required by Section 5812 of the National Firearms Act to transfer, without payment of tax, and register the firearm described below to the special (occupational) taxpayer identified as the transferee in this application.

3. DESCRIPTION OF FIREARM (Complete items a through h, if applicable)			d. MODEL	
a. NAME AND ADDRESS OF MANUFACTURER AND/OR IMPORTER OF FIREARM	b. TYPE OF FIREARM (Shortbarreled rifle, machine gun, destructive device, any other weapon, etc.)	c. CALIBER, GAUGE OR SIZE (Specify)	LENGTH (Inches)	e. OF BARREL: f. OVERALL:
			g. SERIAL NUMBER	

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

4. TRANSFEREE'S FEDERAL FIREARMS LICENSE (If any) <i>(Give complete 15-digit number)</i>				5. TRANSFEREE'S SPECIAL (OCCUPATIONAL) TAX STATUS	
First 6 digits	2 digits	2 digits	5 digits	a. EMPLOYER IDENTIFICATION NUMBER	b. CLASS
6. TRANSFEROR'S FEDERAL FIREARMS LICENSE (If any) <i>(Give complete 15-digit number)</i>				7. TRANSFEROR'S SPECIAL (OCCUPATIONAL) TAX STATUS	
First 6 digits	2 digits	2 digits	5 digits	a. EMPLOYER IDENTIFICATION NUMBER	b. CLASS

I believe I am entitled to exemption from payment of the transfer tax imposed by Section 5811, National Firearms Act (NFA), on the firearm described above because the transferee named herein is qualified under the NFA to manufacture, import or deal in that type of firearm.

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.

8. ORIGINAL SIGNATURE OF TRANSFEROR (Or authorized official)	9. NAME AND TITLE OF AUTHORIZED OFFICIAL (Print or type)	10. DATE
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**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)

AUTHORIZED ATF OFFICIAL

DATE

ATF Form 4 (5320.4)  
Application for Tax paid Transfer and Registration of Firearm

Form Approved: OMB 1512-0027(01/31/00)

DEPARTMENT OF THE TREASURY — BUREAU OF ALCOHOL, TOBACCO AND FIREARMS  
**APPLICATION FOR TAX PAID TRANSFER AND REGISTRATION OF 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. **TRANSFeree.** 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, shortbarreled 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 this 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, P.O. Box 73201 Chicago, IL 60673-7201. This office will deposit the tax and forward the application to the Bureau of Alcohol, Tobacco and Firearms, National Firearms Act Branch, Washington, DC 20226 for processing. 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. §552(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.

DEPARTMENT OF THE TREASURY — BUREAU OF ALCOHOL, TOBACCO AND FIREARMS APPLICATION FOR TAX PAID TRANSFER AND REGISTRATION OF FIREARM				SEE INSTRUCTIONS ATTACHED. TO BE SUBMITTED IN DUPLICATE TO: National Firearms Act Branch Bureau of Alcohol, Tobacco and Firearms P.O. Box 73201 Chicago, IL 60673-7201	
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: <input type="checkbox"/> )				1. TYPE OF TRANSFER (Check one) (See instructions 1 and 6) <input type="checkbox"/> \$5 <input type="checkbox"/> \$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)	
2b. TRADE NAME (See instruction 2e)		2c. COUNTY			
3a. TRANSFEROR'S NAME AND MAILING ADDRESS (If the firearm is registered under your trade name, enter your trade name. EXECUTORS: See instruction 2f.)					
3b. NUMBER, STREET, CITY, STATE AND ZIP CODE IF DIFFERENT FROM ITEM 3a.					
3c. 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 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	
				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)				6. TRANSFEREE'S SPECIAL (OCCUPATIONAL) TAX STATUS	
First 6 digits    2 digits    2 digits    5 digits				a. ATF IDENTIFICATION NUMBER    b. CLASS	
7. TRANSFEROR'S FEDERAL FIREARMS LICENSE (If any) (Give complete 15-digit number)				8. TRANSFEROR'S SPECIAL (OCCUPATIONAL) TAX STATUS	
First 6 digits    2 digits    2 digits    5 digits				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 23, 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	
<input type="checkbox"/> APPROVED (With the following conditions, if any)				<input type="checkbox"/> 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)

\_\_\_\_\_  
(County)

\_\_\_\_\_  
(Phone — include area code)

**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.

ATF Form 5 (5320.5)  
Application for Tax Exempt Transfer and Registration of a Firearm

OMB No. 1512-0028 (01/31/00)

DEPARTMENT OF THE TREASURY — BUREAU OF ALCOHOL, TOBACCO AND FIREARMS  
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 or 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. TRANSFEREE. 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 A 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, shortbarreled 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 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 licenses.

**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 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).

The estimated average burden associated with this collection of information is 4 hours per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be addressed to Reports Management Officer, Document Services Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, DC 20226.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

#### PRIVACY ACT INFORMATION

The following information is provided pursuant to Section 3 of the Privacy Act of 1974 (5 U.S.C. §552(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 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.

DEPARTMENT OF THE TREASURY — BUREAU OF ALCOHOL, TOBACCO AND FIREARMS <b>APPLICATION FOR TAX EXEMPT TRANSFER AND REGISTRATION OF A FIREARM</b>		SEE INSTRUCTIONS ATTACHED. TO BE SUBMITTED IN DUPLICATE TO: National Firearms Act Branch Bureau of Alcohol, Tobacco and Firearms Washington, DC 20226	
2a. TRANSFERRE'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: <input type="checkbox"/> )		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 <i>See Instruction 6</i> ):  <input type="checkbox"/> FIREARM IS UNSERVICEABLE AND IS BEING TRANSFERRED AS A CURIO OR ORNAMENT (6a)  <input type="checkbox"/> FIREARM IS BEING TRANSFERRED TO OR FROM A GOVERNMENT ENTITY (6b & 6c)  <input type="checkbox"/> FIREARM IS BEING TRANSFERRED TO A LAWFUL HEIR (6d)  <input type="checkbox"/> 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.)			
3b. IF APPLICABLE: DECEDENT'S NAME, ADDRESS, AND DATE OF DEATH		3c. NUMBER, STREET, CITY, STATE AND ZIP CODE OF RESIDENCE (OR FIREARMS BUSINESS PREMISES) 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 i)			d. MODEL
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)	e. OF BARREL: f. OVERALL:
			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? <input type="checkbox"/> YES <input type="checkbox"/> 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)		6. TRANSFEREE'S SPECIAL (OCCUPATIONAL) TAX STATUS	
(Give complete 15-digit number) First 6 digits   2 digits   2 digits   5 digits		a. ATF IDENTIFICATION NO.	b. CLASS
7. TRANSFEROR'S FEDERAL FIREARMS LICENSE (If any)		8. TRANSFEROR'S SPECIAL (OCCUPATIONAL) TAX STATUS	
(Give complete 15-digit number) First 6 digits   2 digits   2 digits   5 digits		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:			
<input type="checkbox"/> APPROVED (With the following conditions, if any)		<input type="checkbox"/> DISAPPROVED (For the following reasons)	
EXAMINER	DATE	AUTHORIZED ATF OFFICIAL	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)

\_\_\_\_\_  
(County)

\_\_\_\_\_  
(Phone — include area code)

**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.

PREVIOUS EDITIONS ARE OBSOLETE

ATF FORM 5 (5320.5) (4-89)

ATF Form 9 (5320.9)  
Application and Permit for Permanent Exportation of Firearms

**INSTRUCTIONS (See 27 CFR Part 479)**

Any person desiring to permanently export a firearm without payment of the transfer tax must submit ATF Form 9, in to the Director, Bureau of Alcohol, Tobacco and Firearms, Washington, D.C. 20226, for a permit providing for deferment of the transfer tax. No shipment may be made until that permit is received from the Director.

- a. ATF Form 9 must be submitted until a State Department License for the exportation has been received by the applicant.
- b. Part 1 of ATF Form 9 must be completed by the applicant and submitted to ATF with a certified copy of a written order, contract of sale, or other evidence showing firearm is to be shipped to a foreign destination. The transferor's written certification attesting to that fact must appear on the documentation. If the applicant wishes to transfer the firearm(s) tax free to another person who will export the firearm, the applicant must submit Form 9 with documentation that the transfer is a part of the exportation process.
- c. The form must be completed by typewriter or pen and ink; penciled entries are unacceptable. The signature in item 10 must be entered in ink on all four copies. Photostatic, facsimile or carbon copy signatures are not acceptable. Where the exporter is a Federal Firearms Licensee, only those individuals Form 7, Application for License, or an individual whom the licensee has certified to ATF as a responsible official, may sign as the authorized official in item 10, Part 1.
- d. Applications approved by ATF will serve as the permit to export the firearm(s) described on the application.
- e. In the event exportation is not effected, all copies of the form must be *immediately* returned to ATF for cancellation. (27 CFR 179.116).

When the firearms are to be exported by other than parcel post, two copies each of the permit and the Shipper's Export Declaration (Commerce Form 7525-V), and a copy of the State Department License, must be submitted to the District Director of U.S. Customs Service at the port of exportation, and must precede or accompany the shipment in order to permit appropriate inspection prior to lading. The Customs official, after execution Part 3, will retain one copy of the permit and return one copy to the Director, Bureau of Alcohol, Tobacco and Firearms, NFA Branch, Washington, DC 20226, as provided in Customs Manual Supplement No. 3284.02 dated March 12, 1979.

When the firearms are to be exported by parcel post, one copy of the permit must be presented to the postmaster at the office receiving the parcel. The postmaster will execute Part 4 of ATF Form 9 and return the permit to the exporter.

Proof of exportation must be furnished by the exporter to ATF within a 6-month period from date of issuance of the permit by ATF. Satisfactory evidence of exportation would be:

- a. The certificate of exportation executed by a Customs Official.
- b. The certificate of mailing by parcel post executed by a postmaster.
- c. A certificate of landing executed by a Customs official of the foreign country to which the firearm is exported.
- d. A sworn statement of the foreign consignee covering the receipt of the firearm.
- e. A return receipt, or photostatic copy, signed by the addressee or an authorized agent of the addressee, if the shipment of a firearm was made by insured or registered parcel post.

**NOTE:** ATF receipt of the required documentation that the firearm(s) has/have been exported will relieve the transferor from the transfer tax liability. IF SATISFACTORY EVIDENCE IS NOT FURNISHED WITHIN THE STATED PERIOD, THE TRANSFER TAX WILL BE ASSESSED.

**ACTION BY U.S. CUSTOMS SERVICE**

On receipt of an approved ATF Form 9, in duplicate, the Customs official may order such inspection as deemed necessary prior to lading of the merchandise. If satisfied that the shipment is proper and the information contained in the permit to export is in agreement with the information shown in the shipper's export declaration, the Customs official will, after the merchandise has been exported, execute Part 3 of ATF Form 9. One copy will be retained with the shipper's export declaration. Customs will forward the remaining copy to the Bureau of Alcohol, Tobacco and Firearms, NFA Branch, Washington, DC 20226.

**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)):

**AUTHORITY.** Solicitation of this information is made pursuant to the National Firearms Act (26 U.S.C. §5854). Disclosure of this information is mandatory for the exportation of a firearm exempt from transfer tax.

**PURPOSE.** To determine whether the proposed transfer qualifies as an exportation exempt from tax.

**ROUTINE USES.** The information will be used by ATF to make the determination set forth in para. 2. In addition, ATF will use the information to annotate 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 as provided in Section 6103, 26 USC (as amended by the Tax Reform Act of 1979).

**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 meets the clearance requirements of Section 3507, PL 96-511, 12/11/80. The information you provide is used to verify exportation of a firearm and justify removal of the firearm from the National Firearms Registration and Transfer Record (NFRTR). The information is required to show satisfactory proof that a firearm may be exported without payment of the transfer tax in the manner as prescribed by the Secretary of the Treasury. The furnishing of this information is mandatory (26 USC 5854).

The estimated average burden associated with this collection of information is 3.4 hour(s) per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestion for reducing this burden should be addressed to Reports Management Officer, Information Programs Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, D.C. 20226, and the Office of Management and Budget, Paperwork Reduction Project (1512-0020), Washington, D.C. 20503.

DEPARTMENT OF THE TREASURY - BUREAU OF ALCOHOL, TOBACCO AND FIREARMS  
**APPLICATION AND PERMIT FOR PERMANENT EXPORTATION OF FIREARMS**

(CHAPTER 53, TITLE 26, UNITED STATES CODE)  
 (SUBMIT IN QUADRUPLICATE. SEE INSTRUCTIONS ON REVERSE.)

TO: DIRECTOR, BUREAU OF ALCOHOL, TOBACCO AND FIREARMS, WASHINGTON, DC 20226

**PART 1 - APPLICATION.** The undersigned transferor hereby makes application to export the firearm(s) described herein. The application is supported by the attached certified copy of written order or contract of sale of such firearm(s) to consignee.

1. NAME AND ADDRESS OF FOREIGN CONSIGNEE			2. INTENDED PORT OF EXPORTATION (Including air freight)		3. NUMBER OF FIREARMS INCLUDED IN THIS APPLICATION	
4. DESCRIPTION OF FIREARM(S) (If additional space is needed, continue on a separate sheet using the format below.)						
LINE NO.	TYPE (Machine gun, destructive device, short barreled shotgun or rifle, etc.) (a)	CALIBER, GAUGE OR SIZE (b)	MODEL (c)	LENGTH OF BARREL(S) (d)	OVERALL LENGTH (e)	SERIAL NUMBER (f)
1						
2						
3						
4						
5						
5. NAME OF EXPORTER (And trade name if any)			6. ADDRESS (Number, street, city, county, state, ZIP Code)			
7. FEDERAL FIREARMS LICENSE (if any) (Give complete 15-digit number)		8. ATF IDENTIFICATION NUMBER (if any)		9. STATE DEPARTMENT LICENSE NUMBER FOR THIS SPECIFIC SHIPMENT		

Under penalties of perjury, I certify that I am the lawful possessor of the firearm(s) described on this form and any accompanying sheets, and that I have examined this application and, to the best of my knowledge and belief, it is true, correct and complete.

10. SIGNATURE AND TITLE (Owner or authorized official) (See instruction 1c.)		11. DATE OF APPLICATION
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**PART 2 - PERMIT (This portion to be completed by Bureau of Alcohol, Tobacco and Firearms)**

12. THIS APPLICATION IS: <input type="checkbox"/> APPROVED <input type="checkbox"/> DISAPPROVED: (Reason)		13. ASSESSMENT OF TAX INCURRED BY THIS TRANSFER WILL BE MADE UNLESS PROPER EVIDENCE OF EXPORTATION IS RECEIVED ON OR BEFORE:	
14. EXAMINER	15. DATE	16. AUTHORIZED ATF OFFICIAL	17. DATE

**PART 3 - CERTIFICATION BY CUSTOMS**

I hereby certify that the described merchandise, covered by a shipper's export declaration on file in this office, was laden and cleared as described below:

LADEN IN (Name and/or type of carrier)	DATE CLEARED	FOREIGN DESTINATION
SIGNATURE OF CUSTOMS OFFICIAL	PORT OF	DATE

**PART 4 - CERTIFICATION OF MAILING BY PARCEL POST/EXPORTATION**

I certify that there has (have) been posted at this office today, parcel(s) addressed as indicated in Item 1, Part 1 of this application, declared to be firearms by the transferor named in Item 5, Part 1, or the transferor's authorized agent, who has waived the right to withdraw same from the mails.

POST OFFICE NAME OR STAMP	SIGNATURE OF POSTMASTER, BY	DATE POSTED
---------------------------	-----------------------------	-------------

# ATF Form 10 (5320.10)

## Application for Registration of Firearms Acquired by Certain Government Entities

### 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." How ever, 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, DC 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 1995. 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).

The estimated average burden associated with this collection of information is 30 minutes per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be addressed to Reports Management Officer, Document Services Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, DC 20226.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

ATF F 10 (5320.10) (10-83)

**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, DC 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) <input type="checkbox"/> CALIBER <input type="checkbox"/> GAUGE <input type="checkbox"/> SIZE <i>c</i>	MODEL <i>d</i>	LENGTH (Inches)		SERIAL NUMBER (See Instruction 1) <i>g</i>
				OF BARREL <i>e</i>	OVERALL <i>f</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
---	--	---------

**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
AUTHORIZED ATF OFFICIAL	DATE

ATF Form 5320.20

Application To Transport Interstate or to Temporarily Export Certain NFA Firearms

INSTRUCTIONS

- a. A written request and prior authorization from ATF to transport interstate or in foreign commerce 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 1995. 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).

The estimated average burden associated with this collection of information is 30 minutes per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be addressed to Reports Management Officer, Document Services Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, D.C. 20226.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

DEPARTMENT OF THE TREASURY — BUREAU OF ALCOHOL, TOBACCO AND FIREARMS <b>APPLICATION TO TRANSPORT INTERSTATE OR TO TEMPORARILY EXPORT CERTAIN NATIONAL FIREARMS ACT (NFA) FIREARMS</b> <i>(See Reverse for Instructions and Privacy Act Information)</i>		<b>FOR ATF USE ONLY</b> NFA CONTROL NO.					
<b>PART I — APPLICATION (Submit in Duplicate) (Print or Type all Entries)</b>							
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)				
<b>4. FIREARM(S) TO BE TRANSPORTED (Complete New Forms For Additional Firearms)</b>							
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			
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	
<b>PART II — ACTION BY THE BUREAU OF ALCOHOL, TOBACCO AND FIREARMS</b>							
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						DATE	

ATF Form 4587 (5330.4)

Application to Register as an Importer of U.S. Munitions Import List Articles

INSTRUCTIONS

1. Persons engaged in the business of importing articles on the United States Munitions Import List are required to register pursuant to Section 38 of the Arms Export Control Act of 1976.

2. Complete this form in duplicate using a typewriter or ball point pen. The owner, a partner, a corporate officer or corporate general manager must sign all copies of the application in ink. Submit both copies to:

Bureau of Alcohol, Tobacco & Firearms  
P.O. Box 73198  
Chicago, IL 60673

3. Item 4 shows the fee schedule which is prescribed by 27 CFR Part 47. This registration must be accompanied by a check or money order made payable to the Bureau of Alcohol, Tobacco, and Firearms in the amount which is applicable to the number of years for which registration is requested.

4. Fees paid in advance for whole future years of a multiple year registration will be refunded upon request if the registrant ceases to engage in importing articles on the U.S. Munitions Import List. A request for a refund must be submitted to the Director, Bureau of Alcohol, Tobacco and Firearms, Washington, D.C. 20226, Attention: Firearms and Explosives Imports Branch, prior to the beginning of any year for which a refund is claimed.

5. If the application is approved, the Director will return the original to the applicant and retain a copy.

6. After registration, importation of U.S. Munitions Import List articles must be effected in accordance with the procedures set forth in 27 CFR Parts 47, 178 and 179, which provides for the use of Form 6 Part I (5330.3A), Application and Permit for Importation of Firearms, Ammunition and Implements of War, and Form 6A (5330.3C), Release and Receipt of Imported Firearms, Ammunition and Implements of War.

7. Federal Firearms License (Item 7) - is a license issued by the Bureau of Alcohol, Tobacco and Firearms pursuant to Chapter 44 of Title 18, U.S.C. and 27 CFR Part 178. Any person engaged in the business of importing firearms or ammunition as defined in 18 U.S.C. 921(a) must be licensed under the provisions of 27 CFR Part 178.

8. Special (occupational) tax stamp (Item 8) - is a stamp issued by the Internal Revenue Service pursuant to registration required by the National Firearms Act, Chapter 53, Internal Revenue Code of 1954 and 27 CFR Part 179. Any person engaged in the business of importing firearms which fall within the definition of 26 U.S.C. 5845(a) must also register and pay a special (occupational) tax pursuant to the provisions of 27 CFR Part 179.

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 section 38 of the Arms Export Control Act of 1976, as amended (22 U.S.C. §2778). Disclosure of this information by the applicant is mandatory if the applicant desires to import U.S. Munitions Import List articles.
- 2. PURPOSE. To collect the appropriate fee and to effect registration as an importer under the Arms Export Control Act.
- 3. ROUTINE USES. This information is used by ATF to aid in its law enforcement and regulatory activities with respect to the regulation of firearms and ammunition. This information may also be disclosed to other Federal, State, foreign and local law enforcement and regulatory agency personnel to verify the information on the application and to aid in the performance of their duties with respect to the regulation of firearms and ammunition; and to the State Department in connection with its duties and responsibilities in the area of foreign affairs. The information may further be disclosed to the Justice Department, if it appears that the furnishing of false information may constitute a violation of Federal law.
- 4. EFFECTS OF NOT SUPPLYING INFORMATION REQUESTED. Failure to supply complete information will delay processing and may cause denial of the application.

The following information is provided pursuant to Section 7(b) of the Privacy Act of 1974:

Disclosure of the individual's social security number is voluntary. Solicitation of this information is pursuant to 22 U.S.C. §2778. The number may be used to verify the individual's identity.

PAPERWORK REDUCTION ACT NOTICE

This request is in accordance with the Paperwork Reduction Act of 1980. This information collection is mandatory pursuant to 22 U.S.C. 2778. The purpose of this information collection is to allow ATF (1) to determine if the registrant qualifies to engage in the business of importing a firearm or firearms, ammunition, and the implements of war, and (2) to facilitate the collection of registration fees.

The estimated average burden associated with this collection of information is 30 minutes per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be addressed to Reports Management Officer, Document Services Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, D.C. 20226, and the Office of Management and Budget, Paperwork Reduction Project (1512-0021), Washington, D.C. 20503.

<b>DEPARTMENT OF THE TREASURY</b> <b>BUREAU OF ALCOHOL, TOBACCO AND FIREARMS</b> <b>APPLICATION TO REGISTER AS AN IMPORTER OF</b> <b>U.S. MUNITIONS IMPORT LIST ARTICLES</b> <b>(SECTION 38, ARMS EXPORT CONTROL ACT OF 1976)</b> <i>(See Instruction on reverse)</i>	<b>FOR ATF USE ONLY</b> REGISTRATION NUMBER      EXPIRATION DATE
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To: Director, Bureau of Alcohol, Tobacco and Firearms, Attention: Firearms and Explosives Imports Branch, Washington, D.C. 20226.

The undersigned hereby makes application to register as an importer of U.S. Munitions Import List articles are required by Section 38, Arms Export Control Act of 1976.

1. NAME AND ADDRESS <i>(Includes ZIP Code)</i>	2. TELEPHONE NO. <i>(Area Code)</i>	3. CURRENT A.E.C.A. REGISTRATION NO.
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4. REQUEST TO REGISTER FOR: *(Check one, enclose check or money order for payment of fee indicated. See Instruction 3.)*

1 YEAR - FEE IS \$250.00     
  2 YEARS - FEE IS \$500.00     
  3 YEARS - FEE IS \$700.00     
  4 YEARS - FEE IS \$850.00     
  5 YEARS - FEE IS \$1,000.00

5. APPLICANT IS: *(Check one)*

INDIVIDUAL     
  PARTNERSHIP     
  CORPORATION     
  OTHER *(Specify)* \_\_\_\_\_

6. DATE AND PLACE OF INCORPORATION OR COMMENCEMENT OF BUSINESS

7. FEDERAL FIREARMS LICENSE <i>(if any)</i>			8. SPECIAL (OCCUPATIONAL) TAX STAMP <i>(if any)</i>	
LICENSE NUMBER	CLASS OF LICENSE	EXPIRATION DATE	STAMP NUMBER	CLASS

9. LIST BELOW THE INFORMATION REQUIRED FOR EACH INDIVIDUAL OWNER, PARTNER, AND PRINCIPAL CORPORATE OFFICER IN THE APPLICANT BUSINESS. IF A FEMALE, LIST GIVEN NAMES AND MAIDEN, IF MARRIED, e.g., "MARY ALICE (SMITH) JONES, JONES", NOT "MRS. JOHN JONES." (IF ADDITIONAL SPACE IS NEEDED USE A SEPARATE SHEET).

FULL NAME	POSITION AND SOC. SEC. NO.	HOME ADDRESS <i>(Include ZIP Code)</i>	PLACE OF BIRTH	DATE OF BIRTH

10. DESCRIBE SPECIFIC ACTIVITY APPLICANT IS ENGAGED IN, OR INTENDS TO ENGAGE IN, WHICH REQUIRES REGISTRATION UNDER THE ARMS EXPORT CONTROL ACT

11. UNITED STATES MUNITIONS IMPORT LIST ARTICLES USUALLY IMPORTED *(Specify categories)*

12. PURPOSE OF IMPORTING MUNITIONS IMPORT LIST ARTICLES	13. WHAT PERCENTAGE IS IMPORTED FOR U.S. GOVERNMENT
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I declare under the penalties provided by law that this request for registration as an importer of U.S. Munitions Import List articles, including the documents submitted in support of it, has been examined by me and, to the best of my knowledge and belief, it is true, correct & complete.

14. SIGNATURE <i>(Sign all copies in ink. See instruction 2)</i>	15. TITLE	16. DATE
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APPROVAL (FOR ATF USE ONLY)

17. SIGNATURE OF DIRECTOR, BUREAU OF ALCOHOL, TOBACCO AND FIREARMS	18. DATE
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ATF Form 5630.7  
Special Tax Registration and Return, National Firearms Act

INSTRUCTION SHEET  
ATF F 5630.7, SPECIAL TAX REGISTRATION AND RETURN  
FIREARMS

GENERAL INSTRUCTIONS

If you are engaged in one or more of the National Firearms Act (NFA) activities listed on this form (*see definition*), you are required to file this form and pay special occupational tax before beginning business. This form is for NFA taxpayers only. Businesses engaged in alcohol and tobacco related activities subject to special tax should file ATF F 5630.5. You may file one return to cover several locations or several types of activity. However, you must submit a separate return for each tax period. The special occupational tax period runs from July 1 through June 30 and payment is due annually by July 1. If you do not pay on a timely basis interest will be charged and penalties may be incurred.

If you engage in a taxable activity at more than one location, attach to your return a sheet showing your name, trade name, address and employer identification number and the complete street addresses of all additional locations.

As evidence of tax payment, you will be issued a Special Tax Stamp, ATF F 5630.6A, for each location and/or business. You must have a Federal Firearms License (FFL) for the location, appropriate to the type of activity conducted. The type of business (*sole proprietor, partnership, corporation*) must be the same for the taxable activity and the FFL. If a trade name is used, it must be the same on the tax stamp and the FFL.

The special tax rates listed on this form became effective January 1, 1988. If you were engaged in NFA firearms related activity prior to this date and did not pay special occupational tax, please contact the ATF National Revenue Center for assistance.

SECTION I - TAX IDENTIFYING INFORMATION

Complete Section I, Taxpayer Identifying Information, as specified on the form. Enter the tax period covered by the return in the space provided. Your return must contain a valid EMPLOYER IDENTIFICATION NUMBER (EIN). The EIN is a unique number for business entities issued by the Internal Revenue Service (IRS). **You must have an EIN whether you are an individual ownership, partnership, corporation, or agency of the government.** If you do not have an EIN, contact your local IRS office immediately to obtain one. While ATF may assign a temporary identification number (*beginning with XX*) to allow initial processing of a return which lacks an EIN, **a tax stamp will not be issued until you have submitted a valid EIN.** Do not delay submission of your return and payment past the due date pending receipt of your EIN. If you have not received a number by the time you file this return, write "number applied for" in the space for the number. Submit your EIN by separate correspondence after receipt from the IRS.

SECTION II - TAX COMPUTATION

To complete Section II, enter the number of locations in Col. (d) on the appropriate line(s) and multiply by the tax rate, Col. (c). Insert the tax due in Col. (e). Compute the taxes due for each class and enter the total amount due in the block "Total Tax Due".

INSTRUCTIONS FOR REDUCED RATE TAXPAYERS

The reduced rates for certain tax classes, indicated with an asterisk (\*) in Section II, apply only to those taxpayers whose total gross receipts for your most recent income tax year are less than \$500,000 (*not just receipts relating to the activity subject to special occupational tax*). However, if you are a member of a controlled group as defined in section 5061(e)(3) of the Internal Revenue Code, you are not eligible for this reduced rate unless the total gross receipts for the entire group are less than \$500,000. If your business is beginning an activity subject to special tax for the first time, you may qualify for a reduced rate in your initial tax year if gross receipts for the business (*or the entire control group, if a member of a control group*) were under \$500,000 the previous year. If you are eligible for the reduced rate, check item 12 in Section III and compute your tax using the reduced rate in Section II.

SECTION III - BUSINESS REGISTRATION

Please complete the ownership information in Section III. Supply the information specified in item 11 for each individual owner, partner or responsible person. For a corporation, partnership or association, a responsible person is anyone with the power to control the management policies or buying or selling practices pertaining to firearms. For a corporation, association or similar organization, it also means any person owning 10 percent or more of the outstanding stock in the business.

CHANGES IN OPERATIONS

For a change of address, location or trade name, an amended ATF F 5630.7 must be filed and approved before the change is made. Return your Special Tax Stamp, ATF F 5630.6A, along with the completed ATF F 5630.7 to: Bureau of ATF, 8002 Federal Office Building, 550 Main Street, Cincinnati, OH 45202-3263 and an amended ATF F 5630.6A will be issued. All taxpayers with such changes must return their FFL to the ATF Firearms and Explosives Licensing Center (*address listed on FFL*) for amendment.

If special taxpayers do not register these changes within the appropriate time frames, additional tax and interest will be charged and penalties may be incurred. For a change in ownership or control of an activity, consult the ATF Firearms and Explosives Licensing Center, at 404-679-5040, before beginning the activity. If the Federal firearms licensee discontinues business and retains NFA firearms, this retention may be in violation of law. The licensee should check with State or local authorities.

DEFINITION

IMPORTERS, MANUFACTURERS, and DEALERS of FIREARMS subject to the National Firearms Act (*tax class codes 61, 62, 63, 71, or 72*) are individuals or business entities who import, manufacture or deal in machineguns, short-barreled shotguns and rifles, destructive devices, etc. See 26 U.S.C. 5845 for additional information on the types of weapons subject to the National Firearms Act. (*NOTE: This tax is not required from those persons or entities who deal only in conventional, sporting type firearms.*)

MISCELLANEOUS INSTRUCTIONS

If you do not intend to pay the special tax for the next year, you must dispose of any machineguns manufactured or imported after May 19, 1986, prior to your special tax status lapsing. Title 18, United States Code, section 922(o) makes it unlawful to possess these machineguns unless you are properly qualified. As provided in Title 27, Code of Federal Regulations, Part 179.105(f), the disposition must be made to a government agency or qualified licensee or the weapon must be destroyed.

This form must be signed by the individual owner, a partner, or, in the case of a corporation, by an individual authorized to sign for the corporation.

Please sign and date the return, make check or money order payable to BUREAU OF ALCOHOL, TOBACCO AND FIREARMS, for the amount in the Total Tax Due block, and MAIL THE FORM ALONG WITH THE PAYMENT TO BUREAU OF ATF, Attention: NFA, P.O. Box 371970, Pittsburgh, PA 15250-7970.

IF YOU NEED FURTHER ASSISTANCE  
CONTACT ATF NATIONAL REVENUE CENTER  
AT  
1-800-937-8864  
OR  
513-684-2979



# ATF E-Form 5013.3

## eForm6 Access Request

### Instructions

You must complete this form in order to receive a user ID and password to obtain access to ATF's eForm 6 system. Each user must obtain an individual user ID and password which is not to be shared with anyone. Sharing your user ID and password can result in cancellation of your eForm 6 privileges.

**Section A** – You must check the appropriate box:

- (1) Check "Add User" if you want access to eForm 6 for the first time.
- (2) Check "Modify User" if you want to change any of the information you originally supplied in Section B or C. In all cases, supply your User ID (Section A, Item 2) and complete only those items in Section B and C that have changed.

For changes to Section C: (i) You must notify ATF's National Licensing Center in Atlanta, GA of any changes to your company name, address, or Federal firearms license numbers, or the Firearms and Explosives Imports Branch of any changes to your Arms Export Control Act registration information, before making any changes in eForm 6; and (ii) If you are deleting a Federal firearms license or Arms Export Control Act registration number, indicate in Section C, Item 15 which number(s) you want deleted from eForm 6.

- (3) Check "Delete User" if you no longer want access to eForm 6 for yourself or another user. Please provide the User ID of the user to be deleted, if known (Section A, Item 2).
- (4) Check "Reactivate User" if we cancelled your original User ID due to inactivity and you wish to begin using the eForm 6 system again. You must also complete the remainder of the form as instructed below and include your previous User ID.

**Section B** – You must enter the required information about the individual requesting access to eForm 6 in items 3-13. Also include your business telephone and FAX numbers. Each Federal firearms licensee or Arms Export Control Act registrant must submit **one** eForm 6 Access Request from a responsible person as indicated on item 14. This person will be able to review the User Profiles of all other users registered under that Federal firearms license or Arms Export Control Act registration number. This individual will also receive a confirmation email for each application submitted to ATF, whether via the eForm 6 or paper submission. A Responsible Person is defined as a sole proprietor, or in the case of a corporation, partnership or association, any individual possessing the power to direct or cause the direction of the management, policies and practices of the corporation, partnership or association as they relate to firearms, and in the case of a corporation, partnership, or association any person holding ten percent or more of the outstanding shares of stock issued by the applicant and the officers of that organization. These persons are listed on the ATF Form 7, Application for Federal Firearms License and ATF Form 4587, Application to Register as an Importer of U.S. Munitions Import List Articles.

**Section C** – You must enter the required information about the company for which you are requesting to file applications. This information must appear exactly as it does on the Federal Firearms License and/or Arms Export Control Act registration. Be sure to enter the correct number in item 16 (example: 1-23-456-08-5A-98765 or A-12-345-6789). You (the individual requesting access) must sign and date the form in items 17-18. If you are both a Federal firearms licensee and an Arms Export Control Act registrant, you must enter **both** numbers in item 16.

**Section D** – A person listed as responsible person on the ATF Form 7 or ATF Form 4587, must sign and print his or her name and title, and date the form in items 19-21.

You must send the original of this form to:

Firearms and Explosives Imports Branch  
Bureau of Alcohol, Tobacco, Firearms and Explosives  
650 Massachusetts Avenue, NW.  
Washington, DC 20226

Your user ID and password will be sent to you separately for security reasons.

### Privacy Act Information

We provide this information to comply with Section 3 of the Privacy Act of 1974 (5 U.S.C. 552a(e)(3)).

We require this information under the authority of 18 U.S.C. 925(d). You must disclose this information so we may identify the company on whose behalf applicant claims to act, to verify the scope of the applicant's authority to act, and to evaluate the applicant's qualifications for access to the system.

We use this information to approve, grant and control access to sensitive information systems. In addition, the information may be disclosed to other Federal, State and local law enforcement and regulatory agency personnel to verify information on the application and to aid in the performance of their duties. Disclosure may otherwise be made pursuant to the routine uses most recently published in the Federal Register for ATF's Regulatory Enforcement Records System (Treasury/ATF.008).

If you fail to supply complete information then there will be a delay in the processing of your application.

Disclosure of your Social Security Number is voluntary. Solicitation of this information is pursuant to section 925(d), Title 18 U.S.C. The Social Security Number may be used to verify the applicant's identity. If you fail to supply your Social Security Number, there will either be a delay in processing your application or you will not be granted access to the system.

### Paperwork Reduction Act Notice

This request is in accordance with the Paperwork Reduction Act of 1995. We use this information to authenticate end users in the program to electronically file ATF Form 6 Part I (5330.3A). The information is used by the Government to verify the identity of the end users prior to issuing them passwords. The information we request is voluntary, however, if the requested information is not submitted, the users will not be granted a password and cannot participate in the electronic program.

The estimated average burden associated with this collection is 18 minutes per respondent or recordkeeper depending on the individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be directed to the Reports Management Officer, Documents Services Branch, Bureau of Alcohol, Tobacco, Firearms and Explosives, Washington, DC 20226.

ATF may not conduct or sponsor, and you are not required to respond to a collection of information unless it displays a currently valid OMB control number.

ATF E-Form 5013.3  
Revised February 2004

**eForm 6 Access Request**

Submit this form to the Firearms and Explosives Imports Branch, ATF, Washington, DC 20226	ATF Tracking Number
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**A - Action Requested**

1. <input type="checkbox"/> Add User <input type="checkbox"/> Modify User Information <input type="checkbox"/> Delete User <input type="checkbox"/> Reactivate User	2. If Modifying or Deleting, Provide User ID, if known
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**B - User Information:** Please complete this section with all the required data to establish a user identification record.

3. First Name	4. Middle Initial	5. Last Name	6. Suffix (i.e., Jr., Sr., III)
7. Social Security Number (last 4 digits)	8. Date of Birth	9. Mother's Maiden Name	
10. Employee Title	11. Business E-mail Address	12. Business Phone Number	
13. Business Fax Number	14. <input type="checkbox"/> Check Here if User Will Be Responsible Person (See instructions for definition)		

**C - Company Information:** Provide information about the company for which you work

15a. Name of Company as it Appears on Your Federal Firearms License and/or Arms Export Control Act Registration			
15b. Street Address of Company as it Appears on Your Federal Firearms License and/or Arms Export Control Act Registration			
15c. City	15d. State	15e. ZIP Code	15f. County
16. Federal Firearms License Number and/or Arms Export Control Act Registration Number			

**Requester's Certification:** I hereby attest that the entries on this form are true and correct and that the unique username and password or digital signature that the Bureau of Alcohol, Tobacco, Firearms and Explosives assigns to me are intended as my original signature and I intend that such submissions be treated as bearing an original signature for all intents and purposes when submitting firearm import applications electronically via the eForm 6 System. I have read and agree to be bound by the terms set out in the eForm 6 Notices and Agreement governing the use of the eForm 6 System.

17. Requester's Signature	18. Date
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**D - Approval Required:** Signature of responsible person with signature authority required to grant access to eForm 6 System.

**Responsible Person's Certification:** I authorize the above-named user to complete and execute, on behalf of the company named in Item 15, firearm import applications via the eForm 6 System. I attest that the company intends to be bound by the entries on any such applications and intends that such applications be treated as bearing an original signature for all intents and purposes. I have read and on behalf of the company agree to be bound by the terms set out in the eForm 6 Notices and Agreement governing the use of the eForm 6 System. I hereby ratify and confirm all that the user shall lawfully do or cause to be done by virtue of this authorization.

19. Company Approval Signature By Responsible Person	20. Print Name and Title of Responsible Person	21. Date
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**ATF Use Only**

User Verification Completed	Date	Comments
System Owner Approval	Date	Comments
ATF Operations Completed	Date	Comments
System Administrator Completed	Date	Comments
User Notification Completed	Date	Comments