

ATF Audit Prep Checklist

Use before every ATF compliance audit or as your regular self-review process.

FORM 4473 — SECTION A (BUYER INFORMATION)

- Buyer full name complete and legible
- Current residence address recorded — not P.O. Box
- Date of birth recorded
- County of residence recorded
- Government-issued photo ID: type, number, issuing authority, and expiration date all present
→ If ID does not show current address, a secondary residence document must be attached

FORM 4473 — SECTION B (BUYER ELIGIBILITY)

- Every question answered — zero blanks anywhere in Section B
- All answers are yes or no — no question marks, N/A, or ambiguous entries
- No "yes" answers to prohibited person questions without transaction being stopped

FORM 4473 — SECTION C (BUYER CERTIFICATION)

- Buyer signature present
- Date in Section C matches the actual transfer date — not the purchase date
- Certification date does not precede the NICS check date

FORM 4473 — SECTION D (NICS BACKGROUND CHECK)

- NICS Transaction Number (NTN) recorded
- Proceed result documented
- Transfer date recorded and follows the NICS proceed date
- If delayed: delay date/time documented, and proceed result or default proceed date present
→ Default proceed: 3 business days from delay — not 3 calendar days. Weekends and federal holidays excluded.

FORM 4473 — SECTION E (TRANSFEROR CERTIFICATION)

- Transferor signature present
- Transferor date matches actual transfer date
- Firearm make, model, caliber, type, and serial number all recorded
- Firearm description matches bound book disposal entry exactly
→ No correction fluid used anywhere on form. Errors corrected with strikethrough and initials only.

BOUND BOOK (A&D;)

- All acquisitions entered promptly with complete information

- All disposals recorded with buyer name, Form 4473 date, and transaction type
- No missing or incomplete serial numbers
- Bound book is current — no backlog of unrecorded entries
- Every disposal entry has a corresponding Form 4473 on file

PHYSICAL INVENTORY

- Physical inventory count completed and reconciled against bound book
- Every firearm present matches an acquisition entry with no disposal
- Every acquisition without a disposal has a corresponding physical firearm
- All discrepancies investigated and documented with written explanation

REPORTING & POSTING

- All Form 3310.4 multiple handgun sale reports filed within 1 business day of qualifying sale
- FFL license current and prominently posted at licensed premises
- License address matches actual business location
- ATF-required buyer notices posted at point of sale
- All required responsible persons listed on current license

RECORDS & RETENTION

- All Form 4473s retained and organized — any form locatable on request
- Voided forms retained and labeled — not destroyed
- Forms are current version: ATF Form 4473 (5300.9) Revised August 2023