



# eForms Bulletin

September 17, 2013

Bureau of Alcohol, Tobacco, Firearms and Explosives

Volume 1, Issue 1

## Special points of interest:

- eForms Outages.
- Form 1 can only have one firearm.
- How to submit electronic documents larger than 3 MB.
- Caliber submission for NFA.
- Missing Password rule.

## Inside this issue:

- eForms User Roles **2**
- Electronic Document Submissions **2**
- Caliber in NFA **3**
- Changes to Submitted Forms **3**
- Form 1 Submissions **3**
- Pay.gov—No Additional Fee **4**
- Form 2 Submission Information **4**

## eForms System Outages

Those of you who frequently use ATF's eForms have seen that the system is experiencing some performance issues where we have to take the system down and restart the servers almost daily. First let me apologize for any inconvenience that this may have caused you. This technology is new to ATF and it seems that we have not yet perfected its implementation, in spite of all the various levels of testing that we have conducted. Let us assure you that we are do-

ing everything that we can to ensure that ATF eForms is functioning at a completely acceptable level. If you find that your submission may be effected by the problems that we are having; it is stuck in your draft folder, you cannot retrieve the information on an FFL even after you have put in the FFL and the EIN, or your AECA number is not populating, please try the submission once again. If the submission still fails please contact Gary Schaible at (202) 648-7165 or Lee Alston-

Williams at (202) 648-7166.

Until we can identify a permanent solution we are finding it necessary for us to initiate a full restart of our eForms system each day at Noon until 1:00 PM EDT. We ask that you please plan your work accordingly, in anticipation of this daily outage. We will advise you when the system is back to functioning 24/7.

## Password Complexity Rule Missing from eForms Registration Instructions

An eForms industry member has brought to our attention that an important rule is missing from our password complexity rules, listed on registration screen where you create your eForms password.

The requirements are currently displayed as follows:

Choose a password as per the following rules:

1. Must have at least twelve (12) characters in length.
2. Must contain at least one or more number(s) (0-9).
3. Must contain at least one or more special character(s) (!@#%&^\*()&#x27;.).
4. Must contain at least one or more upper and lower case letter(s) (a-z, A-Z).

The rule that is missing is:

**Must be no fewer than 5 alphabetic characters in your password.**

Please adhere to this rule when you are creating or changing your eForms passwords. Note: Thank you to the industry member who discovered and reported this problem.

## Approval of FFL and AECA Association Request Where Requester is not a Responsible Person

Persons submitting eForms on behalf of a Federal Firearms Licensee or a company registered under the Arms Export Control Act (AECA) must first request association to the FFL or AECA Company. This is done within eForms on the "My Profile" tab. This procedure was put in place to ensure that the person is authorized to make the submission on behalf of FFL or AECA company.

If we find that a person is not listed as a responsible person

or is not listed on the AECA registration documentation, we will contact someone who is listed as a responsible person on the FFL or the AECA to ensure that the company is aware of the request and authorizes the submission. Through this process we have so far only had one instance where a customer had attempted to register for eForms submission on behalf of an FFL. When the customer was contacted by us he said that he misunderstood the process and apologized

profusely to us and the FFL. We continue to take great strides to ensure the accuracy and security of the eForms system. Once the "Super User" and/or "Delegate" accounts have been established for your FFL or AECA Company it becomes their responsibility to process request for associations. Association requests will appear in the "User Administration" tab for the Super Users and Delegates.



**Technology is the bridge to our future.**

**“In order to success your desire for success should be greater than your fear of failure.”**

**Bill Cosby**

## eForms User Roles

Industry users have asked for clarity on the eForms user roles. Within the eForms system there are three different user roles: Super User, Delegate and Submitter.

There must be one and only one Super User for each FFL or AECA. The Super User will also be responsible for approving all Delegate and Submitter access requests for their company. The **Super User** can see all applications that have been submitted on behalf of their companies and all finalized eForms applications that have been processed by ATF. We prefer “Super Users” to be one

of the responsible persons listed on the FFL or AECA but will approve persons as super users if they meet the following criteria:

1. The requesters were previous Super Users (Super Importers) under ATF’s retired eForms 6 system.
2. A responsible person has given ATF authorization to approve this person as a Super User.

**Delegates** are similar to Super Users. They have been referred

to as backup Super Users. They have all the functionality of a Super user. The only difference is that Delegates cannot approve other Delegates. All Delegate requests have to be approved by the Super User.

**Submitters** can only submit applications on behalf of their company after their associations have been approved.

**Note:** Information in a user’s draft folder can only be viewed by those users. Neither Super Users, nor Delegates, nor ATF personnel can see what is in a user’s draft folder.

## Where To Attach Electronic Documents

There are two places to attach electronic documents in eForms – the line item (add firearm) function or the electronic document function.

Anything related to the firearm or other line items shall be attached in the line item function. You may enclose photographs of the firearm, for example, when it is new and does not appear in our tables or of

the markings if there is an issue.

All other documents will be attached via the electronic documents function. For NFA forms, the legal entity documents shall be attached via the electronic document function as the application will not validate if the legal entity documents are not attached there.

## What Attachments Are Needed With A Form 1 or Form 4

When the applicant or transferee is a legal entity, such as a trust or LLC, the documentation establishing the legal entity must be attached as electronic documents to the Form 1 or 4. For a trust, the appropriate schedules must also be attached.

**Permits or Licenses:** If State or local law requires a permit or other authorization, that must

be attached as an electronic document.

**Transferee Certification:** For Form 4, if the firearm is a machinegun, short barreled rifle, short barreled shotgun, or destructive device, item 15 of Form 4 must be completed by the transferee. This cannot be completed in the eForms system so the certificate must be completed on a hard copy and submitted as an electronic

## What Attachments Are NOT needed (Forms 1 and 4)

When the maker or transferee is a legal entity, Form 5330.20 (generally known as the non-immigrant alien certification) is not required.

document. We suggest that the FFL have paper copies of Form 4 on hand so that the transferee can complete item 15.

**Other Documents:** If there is a document that you believe is needed for the processing of the application, please attach it.

## Attachment Limitations

The maximum size of a single upload for an attachment is 3 MB and the total size of the attachments cannot exceed 30 MB (with a maximum number of attachments being 10).

We have been advised that, for NFA forms, the size of the trust or corporate documents may exceed the 3 MB limit. If you encounter this situation, we suggest that you split the document into 2 or more 'packages' (as needed). When the attachments are added, identify the packages as, for example, 'XXX Trust 1 of 3,' 'XXX Trust 2 of 3,' etc.

## Only One Firearm on Form 1

eForms was designed for only one firearm to be submitted on a taxpaid Form 1 as a tax stamp is affixed upon approval. We have found that there is a glitch that allows the filing of a Form 1 with more than one firearm. ATF cannot approve the Form 1 application filed with multiple firearms as the system cannot create multiple forms with multiple stamps. We will have to disapprove the application and refund the tax

## Changes To Submitted Applications

We cannot make changes to a submitted NFA eForm. If you make an error in the name or serial number, you will need to contact the NFA Branch at (304) 616-4500 and request the withdrawal of the form. You will then need to submit a new application. Please ensure that the information is correct upon submission.

paid. The applicant will need to file again with only one firearm per submission. If you have submitted a Form 1 with more than one firearm, please contact Gary Schaible at (202) 648-7165, so that he can advise you of the procedure to rectify this problem. Our apologies for this and we will look to fix this glitch.

## Calibers in NFA

NFA uses only the 'base' caliber for describing an NFA firearm and no '.' to start. For example, we use '22' rather than '.22,' '22LR,' '.22 WIN,' etc. Similarly, we use '300' rather than '.300,' '.300 Blackout,' '.300 AAC Blackout,' etc.

For metric descriptions, we do include the '.' when it is internal to the 'base' caliber, such as '5.56' or '7.62,' but we do not use the further description to the caliber such as '5.56x45' or '7.62x39' for example.

We appreciate your cooperation.

## Duplicate Applications IN The Draft Folder

We have been advised that a duplicate version of a submitted NFA application may appear in the user's Draft folder in addition to being in the Submitted/In Process folder. We do not know what causes this yet and will work to resolve the problem. **However, do not delete the version in the Draft folder as the submitted version will also be deleted.** If this happens, we can provide a copy to you of the submitted application, but cannot restore the application to eForms in the Submitted/In Process folder.

**"In this new wave of technology, you can't do it all yourself, you have to form alliance."**

**Carlos Slim Helu**

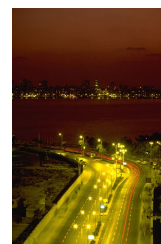
## Selection Of Rate OF Transfer Tax

You will note on the Application screen for Form 4 that there are two buttons (\$5 or \$200) for the type of transfer and that they are disabled. The screen notes 'Marked based on the type of weapon selected for transfer.' This means that when you select the firearm to be transferred on Form 4 that the rate of tax will be determined at that time and that amount will show when the tax payment is made. You will not

be able to select the tax rate by clicking the buttons.

## Pay.gov

The making or transfer tax is paid during the application submission process for Forms 1 and 4. While the Pay.gov system is used for the payment, the submitter does not need to register with Pay.gov because ATF's eForms system automatically links the Form 1 and 4 users to the Pay.gov system while within eForms. There is no Pay.gov fee for using the Pay.gov system.



**Let's take a trip on the information highway.**

**Bureau of Alcohol, Tobacco,  
Firearms and Explosives  
Firearms and Explosives  
Services Division**

244 Needy Road  
Martinsburg, WV 25405

The eForms Bulletin will be used to provide the eForms user community with important information pertaining to the use of ATF's eForms on-line application system.

In addition to the eForms Bulletin, ATF publishes the eFormsNews Newsletter at least every two months. Both the eForms Bulletin and the eFormsnews will be sent via email to all registered eforms users.

If you have topics that you would like to see addressed in either publications please send your requests to Lee Alston-Williams at [lee.alston-williams@atf.gov](mailto:lee.alston-williams@atf.gov).

We're on the Web!  
[www.atf.gov](http://www.atf.gov)

### **Form 2 Serial Number Entry**

When entering serial numbers via Form 2, the eForms system provides a field for: Prefix, Starting Number, Ending Number, and Suffix. Please be aware that there is a limit of 10 characters in each field. We have had an instance where a manufacturer wished to use a prefix consisting of the model name and four digit year as part of the serial number. This combination exceeded 10 characters and, thus, could not be entered. If your serial numbering configuration uses a similar format, you will have to file the Form 2 in hard copy.

### **Form 2 Manufacturer's Name**

Your license name will populate the Manufacturer Name field (in the Line Item function when you are adding firearms). Your name will probably be too long to be associated with the manufacturer names in the table, so you will need to either clear the field and begin entering your license name or shorten it for names to be brought up for selection. For example, if your license name is 'ABCDEFGH FIREARMS MANUFACTURING COMPANY, INC.,' our table would probably reflect it as 'ABCDEFGH FIREARMS.' If you clear the field, and begin entry of 'ABCD,' the system will retrieve any record beginning with 'ABCD' or containing 'ABCD.' Same thing if you shorten the name.

You may wish to note your Manufacturer Code to use as a more expedient means of identifying your company as the manufacturer. Once you verify the manufacturer name, you will be able to see the code in the box to the right of the name. Of course, you can always ask us and we will provide it to you.