e4473 with eNICS & eStorage

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Notices

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Overview

Gearfire Retail provides this document as a high-level summary of the latest release of the e4473 with eNICS & eStorage. There will be the assumption of basic process knowledge regarding the core functionality with the AXIS software.

For more information and pricing on the eNICS and eStorage modules, please email AXISSupport@Gearfire.com. Prior to utilizing electronic 4473 with E-NICS you must have approval from the FBI. After approval has been received from the FBI for eNICS, please contact our Support team to enable the eNICS module so we may assist with the setup process. Prior to utilizing electronic 4473 with eStorage you must have approval from the ATF and our experts at Gearfire Retail will create the ATF variance to assist you. After approval has been received from the ATF for eStorage, please contact our Support team to enable the eStorage module so we may assist with the setup process.

NICS Check ID Type Setup

NICS Check ID Types will need to be defined for the identification types you select when submitting a NICS check. To set the NICS Check ID Types, follow the process below.

1. Open the Data Center, click the **Setup** tab, and click **Identification Types**
2. To add new identification types, click **New Identification Type**
3. Enter the Identification Name:
4. Enter a number for the sort order starting with one for where in the order you want this ID to appear in the drop-down list when selecting an ID for a customer
5. Select Expiration Required as appropriate
6. Click the NICS Check ID Type drop-down, select the appropriate type for that ID
7. Click **Submit**

► For identification types that were added previously follow the steps below.

1. Click the respective edit pencil for the ID type
2. Click the NICS Check ID Type drop-down, select the appropriate type for that ID
3. Click **Submit**

Begin the e4473 Process

Begin an e4473 for a customer using the following process.

1. Open the Data Center, click the **Firearms** tab, click **4473**, and click **Start Customer 4473**
2. Click **Select**, locate an existing customer by phone or last name, double-click to select the customer, or click **Add New Customer** to add a new customer
3. Verify the customers' information and click **Submit**

► The customer name will display, and firearms available for disposition will appear with the following options to select one or more firearms for the customer: Select a Layaway, Special Order, or Sales Order from the dropdown list, select firearms by scanning or entering the log number, or locate the firearms in the list, and check the box to select the firearm. Each firearm selected, except for a Layaway, Special Order, or Sales Order, the serial number will need to be verified.

4. Select one or more firearms:
   a. To select a Layaway, Special Order, or Sales Order, click the drop-down, and select the respective order

      Or

   a. Scan or enter a log number
   b. Enter the serial number in the verification window, and click **Verify**

      And/or

   a. Locate one or more firearm in the list and click the box on the left to select
   b. Enter the serial number in the verification window, and click **Verify**
5. Question six will update with the text of the number of firearms selected above and can be edited if appropriate
6. Question seven, select Yes or No
7. Questions eight, click the box if facilitating a private party transfer
8. Click **Create 4473 Record**
9. Note the system generated 4473 ID and provide this number to the customer for them to complete their portion of the 4473

Customer Completion of e4473

After providing the customer with their e4473 ID number, they will enter that number to begin the Form 4473 program using the following process.

1. The customer enters the 4473 ID from the last step and clicks **Next**
2. The customers' name appears for confirmation, after confirming, click **Yes**

► In the event the customers' name is not correct, they should click **No**, and consult a staff member.

3. The Form 4473 program will open a window with information for the customer to review and click **Continue** to proceed
4. The customer should enter appropriate information in the fields provided on each screen and click **Continue** after each
5. To view instructions for the 4473 on any of their screens, click the arrow key in the top left corner next to Show Instructions here
6. After the customer completes their portion of the form, the 4473 will be displayed with the information they entered
7. To Navigate other pages of the 4473 form for review, click the blue arrows at the top left of the screen and use the scroll bar as appropriate

► Only the first two pages will have information for the customer to review unless more than three firearms were selected. (See below)

► If more than three firearms were selected for the e4473 they can be found on page 7 of the 4473.

8. After the customer is done reviewing the form, click **Continue**

► The Buyer Information Certification final statement is displayed, and this is the last opportunity for the customer to go back by clicking Back to make any changes.

9. Once the customer is satisfied with their answers, they will sign their name in the box, directly on the screen if a touchscreen, or using a Topaz signature device

► The customer can click **Clear** and resign as appropriate.

10. The customer will enter todays date or click the button **Today's Date** to fill in today's date
11. Click **I agree with and certify the above statement**
12. The customer will be presented the option to enter an email address and/or phone number or leave blank
13. Lastly, the customer will click **Continue** to complete the form

► If the customer enters an email or phone number that does not match what is in your AXIS system, the additional email or phone number will be added to the customer's information in AXIS.

► Please note the AXIS Form 4473 program will close and re-open prompting for the next customer to enter their 4473 ID.

Retailer Completion of e4473

After the customer informs you they have completed their portion of the form, you will complete the retailer portion next using the following process.

1. Open the Data Center, click **4473**, and click **Process Customer 4473**

► Notice five columns for eNICS and eStorage: Update Status, Recertification, Status, Date Submitted, and Time Submitted

► The edit pencils in Update Status and Recertification columns will be grayed out, Status will initially display None, and Date Submitted and Time Submitted will be blank until a 4473 has been initially processed

2. To proceed with the initial processing of a customers' 4473, locate the customer to process the 4473, and click the **green arrow** for the row in the Process column

► If the customer does not appear in the list, click the refresh icon in the top right corner.

► The Customer Entered Information screen will display. If any errors or warnings were found with the form, they will be noted in red on the top left side; including information the customer entered compared to the information saved for the customer in AXIS.

Customer not eligible for a transfer

► **Important Note**: If the customer answered any questions on the form that would prohibit them from purchasing a firearm, this will also be noted in red stating they are prohibited in all capitals, and the form will automatically be marked dealer denied.

1. In this instance, click **Continue** to view the information in the 4473 form and click **Continue** again

► A note at the top again will state the customer is prohibited from purchasing a firearm and the form has been marked dealer denied.

   a. Optionally you can print the form by clicking **Print Form**
   b. A prompt to save the form as a PDF will appear, select a location to save the file, and click **Save**
   c. The form will be saved and automatically print to the default printer of the computer

2. Click **Mark Dealer Denied**, click **Yes** to confirm marking the form as dealer denied, and click **OK**

Update Customer Information in AXIS

If the form is not automatically being marked as Dealer Denied and the information entered by the customer is different from the information for the customer in your AXIS system.

1. To update the information in your AXIS system with the information the customer entered on the 4473, click **Update AXIS Record** near the top right

► This will update the customer information in AXIS with the information the customer entered on the 4473.

Review Information Entered by Customer

1. The customer information can be reviewed in a list format from this screen or click **Continue** to view in the 4473-form format

► To navigate the other pages of the 4473 form for review, click the blue arrows located at the top left and use the scroll bar as appropriate.

► If more than three firearms were selected for the 4473 they can be found on page 7 of the 4473.

2. After review reviewing the information entered by the customer, click **Continue** again
3. The screen will prompt with the following:
    a. Mark Dealer Denied if appropriate to deny the transaction
        i. Confirm the selection and click **OK** to the message the form was marked as dealer denied
        ii. Optionally, the form can be printed by clicking **Print Form**
            1. A prompt to save the form as a PDF will appear, select a location to save the file, and click **Save**
            2. The form will be saved and automatically print to the default printer of the computer

    Or

    b. Click **Back** to return to the previous screen

    Or

    c. Click **Continue** to proceed with processing the 4473

Retailer Completion of 4473 Information

On the following screens to be completed by the retailer, instruction information for each section is available on the left. These instructions can be collapsed or expanded by clicking the arrow at the top left.

1. Complete the Firearm Information and **Continue**
2. Complete the Identification Check information and click **Continue**
3. Complete the NICS Exceptions information and click **Continue**

NICS Check Section

The next steps in the process will depend on the initial response from NICS. From the NICS Check section follow these steps:

1. Click **Submit Background Check**, enter your information into the Credentials window that appears including the Contact User ID you previously setup in the NICS Portal, and click **Submit**
2. A window will appear stating the Background Search Submitted Successfully with a new status, NICS transaction number, and Brady Transfer Date
3. Click **OK** to this window and a Check Status will initiate
4. The window will update with the name of the customer and a Status of: Researching, Proceed, Deny, or Cancel, and click **OK** to close the window

► The date submitted and NICS number returned will be entered into 27.a. and 27.b. respectively.

► If Proceed, Deny, or Cancel status is returned, this will be entered into the appropriate fields in 27.c. Continue with processing the 4473 accordingly, completing the next sections as appropriate.

► If Researching is returned from NICS, the status can be checked up to once a minute by clicking the **Check Status** button. After 15 minutes with no status being returned, the status will update to Delayed. Once in a Delay status you can continue to check the status up to once a minute by clicking **Check Status**. Click **Close and Save** to exit the processing customer 4473.

Processing a Delayed 4473

When appropriate to return to the delayed customers 4473 or to update an initially processed customer 4473, from the Process Customer 4473 screen, the edit pencil in the Update Status column will be available for selection. If the 4473 was started on a previous date you will need to click the box in the middle, top portion of the screen to show past 4473s. The Status will display No Response Delayed, the Date Submitted and Time Submitted will display the date and time the 4473 was submitted. To update the Status, follow this process.

1. Click the edit pencil in the Update Status column for the customers 4473
2. Click **Check Status** up to once a minute
3. If a status is returned the respective information will be selected for 27.d. and click **Submit**

   Or

   If no update is returned after three days, clicking **Check Status** will update the status to: Open

   To procced:

   a. Click the box for no response was provide within 3 business days and click **Submit**

► After 27.d. has been updated the edit pencil in the Recertification column on the Process Customer 4473 screen will be available for selection as appropriate

4. Click the edit pencil in the Recertification column for the customers 4473 to display the window with question 30, Transferee's/Buyers' Signature, and have the customer sign in the box provided to recertify their 4473 answers
5. Enter the current date of recertification and click **Submit**
6. Click the **green arrow** to complete the process of the customers 4473, making updates to the entries as appropriate.

► Important to note: If a NICS background check is not required for the transaction, leave the NICS Check information blank and click Continue to fill in the NICS Exceptions options.

Completing Retailer Portion of 4473

Continue completing the retailer portion of the 4473 as appropriate.

1. Question 34, enter the Transferor's/Seller's Name
2. Question 35, sign in the box provided for the seller's signature using a touchscreen or Topaz signature device
3. Click **Clear** to resign as appropriate

► The Transferor's/Sellers Transaction Serial Number will be entered if utilizing the Transaction Serial Number counter available in Setup, FFL Information

4. Enter the Transaction Serial Number as appropriate and click **Continue**

► The completed 4473-form format will display for final review

► To navigate the other pages of the 4473 form to review, click the blue arrows located at the top left and use the scroll bar as appropriate

► If more than three firearms were selected for the 4473 they can be found on page 7 of the 4473.

5. After reviewing all information entered is correct, click **Continue**

► The Seller Certification statement is displayed, and this is the last opportunity for you to go back, to make any changes.

6. If satisfied with the form and to accept the Seller Certification, click **I agree with and certify the above statement**

► The disposition window will appear with the NICS number if entered previously in question 27.b. or complete as appropriate. The Transaction Serial Number will be entered if utilizing the Transaction Serial Number counter available in Setup, FFL Information, or if entered while completing the form.

7. Enter the Transaction Serial Number as appropriate
8. Select New Disposition from the drop-down list

► Note that the result selected for question 27 is also displayed next to this drop-down

9. Select the transaction to create from the drop-down list, and click **Submit**

► If a firearm on Layaway, Special Order, or Sales Order was selected for the 4473, "None" will be the only option available for Transaction to Create allowing you to complete the existing Layaway, Special Order, or Sales Order transaction at the Register.

► The transaction type will appear with the information entered

10. Make any adjustments as appropriate including adding the incoming firearm if a trade
11. Enter Outgoing Notes and/or Additional Notes as appropriate

12. Click **Submit**

- ► If the transaction type was either a Sale or a Trade, a transaction will be available at the register under the selected buyer's current tab to complete.
- ► For a "Consignment Return" or "Transfer Out", no further action is needed

Completing the Transaction at the Register

The transaction is completed at the Register using the following process.

1. From the register, select the customer
2. Click the **Current** tab
3. Under the Firearm Transactions section, click the transaction to expand
4. To cancel the transaction, click **Cancel Transaction**

   Or

   To proceed click **Move to Register**
5. The firearms will display in the register, add any other products as appropriate
6. Select the tender type(s)
7. Click **Submit**

► A register receipt will print and if the option is enabled, an 8½ x 11 Word document Firearms receipt will open that can be printed or closed according to your store policy.

Releasing a 4473 Firearm Hold

In the event a firearms transaction was not completed such as after a 4473 was started or a delay, the firearm will still be reserved for the 4473. To release a firearm that is reserved for a 4473, use the following process.

1. Open the Data Center, click **4473**, and click **Clear Firearms Hold**
2. Locate the firearm to release and click the respective selection box on the left side of the row, or multiple boxes to release multiple firearms

► If the firearm is not displayed, click the refresh icon in the top right corner.

3. Click **Release**

► Those firearms are now available for sale or to be selected for other 4473s.

Denied 4473s

To view only Denied 4473s, use the following process.

1. Open the Data Center, click **4473**, and click **Denied 4473s**

► Any 4473 denied in the last 8 weeks will be displayed.

1. Optionally, select a date range at the top center
2. Click **Submit** to display

► The information will be displayed and can be printed by clicking the respective print icon on the left for the row. A prompt to save the form as a PDF will appear, select a location to save the file, and click **Save**. The form will be saved and automatically print to the default printer for the computer.

Edit, Review, Add Documents, or Perform an Internal Audit for 4473s

To Edit, Review, Add Documents to a 4473, or Perform an Internal Audit of 4473s follow the respective process below.

► To edit or review 4473s, add additional documents to a 4473, and perform an internal audit, staff will need the 4473EStorage permission.

Each of these processes will begin with the following:

1. Open the Data Center, click **4473**, and click **All 4473s**

► In the All 4473s screen you will notice four sections: The Customer 4473 information including a column for Edit 4473, Documents, ENICS, and Review.

► Under the Documents section, the columns for 3310.4 and 3310.12 contain a checkbox that will be marked if there is a respective 3310.4 or 3310.12 generated for that record. The columns for View 3310.4 and View 3310.12 contain a magnifying glass that can be clicked to view the respective 3310.4 or 3310.12 form if applicable.

Add or View Documents Associated with a 4473

The Add Docs column can be clicked to add or view documents for the respective 4473 and the Doc Count column will display the number of documents that are attached to the 4473.

1. Locate the respective 4473 in the list you wish to add documents
2. Click the Add Docs icon for that respective row
3. Click **Add File**
4. Navigate and select the file to add
5. Click **Open**

► By default, the document will be available for an ATF review.

6. Optional, remove the checkmark from the ATF Review column if the document should not be available for viewing by an ATF IOI when performing an audit
7. Click **Submit** to close the Attach Additional Documents window

To view documents, follow this process.

1. Click the Add Docs icon in the respective column for the 4473
2. Click the View icon to view an existing document
3. Make available/not available for ATF Review, click the checkbox on or off respectively

ENICS Section

The ENICS section will display details about the employee that submitted the ENICS background check, as well as the date and time the background check was submitted.

Review Section and Edit 4473s

Under the Review Section is the column 4473 Audit View for performing an internal 4473 audit and contains a magnifying glass. The video for the audit process can be found here. The edit 4473 column contains an edit pencil that is used to edit a completed 4473. The video for the edit process can be found here.