



U.S. Department of Justice

Bureau of Alcohol, Tobacco,
Firearms and Explosives

Washington, DC 20226

www.atf.gov

IMPORTANT NOTICE TO FEDERAL FIREARMS LICENSEES

In the February 2005 FFL Newsletter, we notified you that we would be issuing a new version of the ATF Form 4473 (Firearms Transaction Record Part I - Over-the-Counter). The revisions reflect formatting and substantive changes that a variety of stakeholders requested. This letter highlights the major changes to the form. You should review the entire revised form including all of the Important Notices, Instructions to Transferee/Buyer, Instructions to Transferor/Seller, and Definitions.

All Federal Firearms Licensees must begin to use this form on, but not before, October 17, 2005. As of October 17, 2005, you may no longer use the previous editions (dated October 2001 and May 2005) of the Form 4473.

The significant changes to Form 4473 include:

GENERAL

- **Color.** Changed the color of the form from yellow to white. This change will ensure FFLs do not use obsolete versions of the form.
- **Blocked Format.** Streamlined the record keeping process to help ensure all required entries are accurately completed.
- **Warning Statement.** Added the Gun Control Act penalty provisions. Added the statement "Please Print".

SECTION A

- **Question 1.** Added blocks for last, first, and middle name. Clarified that buyers should write "NMN" if they have no middle name.
- **Question 3.** Clarified that persons with foreign places of birth do not need to include their city of birth.
- **Question 9.** The Unique Personal Identification Number (UPIN) is new. For purchasers approved to have information maintained about them in the FBI NICS Voluntary Appeal File, NICS will provide them with a UPIN, which the buyer should record in Question 9. The licensee may be asked to provide the UPIN to NICS or a POC State. Instruction to Transferor 6. discusses the UPIN.
- **Questions 11.k.-15.** Grouped the immigration questions together to make the form easier to follow.
- **Questions 11.l. and 12.** (formerly Questions 12.1. and 13.). Revised these questions to ensure they are properly completed.
- **Certification Statement.** Added the statement "I am aware that ATF Form 4473 contains Important Notices, Instructions, and Definitions."

SECTION B

- **Question 19.** (formerly Question 17.). Added a reference to “other qualifying event.”
- **Question 21c.** (formerly Question 19c.). Added a Cancelled block. Also, after the Delayed block, added the statement “*The firearm(s) may be transferred on _____ (MDI date provided by NICS) if State law permits (optional).*” If NICS provides a “delayed” response, NICS also will provide a Missing Disposition Information (MDI) date which calculates the 3 business days and reflects when the firearm(s) can be transferred under Federal law. States may not provide an MDI date. Instruction to Transferor 5. further discusses this change.
- **Question 21d.** (formerly Question 19d.). Added “(date)” after the Proceed and Denied blocks. Added a Cancelled block followed by “(date).”
- **Question 21e.** This question is new. If the licensee receives a response from NICS or the State after the firearm has been transferred, he must record this information in 21e.

SECTION C

- **Question 25.** (formerly Question 23.). Changed “Date” to “Recertification Date” to clarify that if the transfer of the firearm(s) takes place on a different day from the date that the transferee (buyer) signed Section A, the transferee must complete Section C immediately prior to the transfer of the firearm(s).

SECTION D

- **Section D.** Added (See Instructions to Transferor 10-11.). This statement was added to clarify that Questions 26-30. are completed immediately prior to transferring the firearm. Also for “denied” and “cancelled” NICS transactions, the person who completed Section B must complete Section D, Questions 33-35.
- **Question 32.** (formerly Question 30.). Clarified that you must record your complete 15 digit FFL Number.

INSTRUCTIONS

- **Instruction to Transferor/Seller # 1.** Contains instructions on accepting a combination of government-issued identification documents.
- **Instruction to Transferor/Seller #2.** Clarifies that the 90 days of continuous State residency for aliens must be immediately prior to the date of the sale.
- **Instruction to Transferor/Seller #3.** Allows FFLs to attach documentation establishing a nonimmigrant alien exception to the Form 4473, rather than recording the information in Question 20c.
- **Instruction to Transferor/Seller #10.** Clarifies that for “denied” and “cancelled” NICS transactions, the person who completed Section B must complete Section D, Questions 33-35.
- **Instruction to Transferor/Seller #18.** This is a new instruction that advises you or the buyer how to make changes to the Form 4473 when you discover an incomplete or improperly completed form after the firearm has been transferred.

QUESTIONS

Please contact your local ATF office with any questions you have about the revised Form 4473.