

NY Dealer Certification / Compliance Checklist

Business Name/FFL Number

Address

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Date Inspected

Inspected By

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| 1) Has the dealer implemented a security plan? (GBL 875-b{1}) | Yes | No | <input style="width: 100%; height: 100%;" type="checkbox"/> | <input style="width: 100%; height: 100%;" type="checkbox"/> |
| 2) Are all firearms, rifles and shotguns secured, other than during business hours, in a locked fireproof safe or vault on the dealer's business premises or in a secured and locked area on the dealer's business premises? | Yes | No | <input style="width: 100%; height: 100%;" type="checkbox"/> | <input style="width: 100%; height: 100%;" type="checkbox"/> |
| 3) Is ammunition stored separately from firearms, rifles and shotguns and out of reach of customers? | Yes | No | <input style="width: 100%; height: 100%;" type="checkbox"/> | <input style="width: 100%; height: 100%;" type="checkbox"/> |
| 4) Is the dealer's business premises secured by a security alarm system that is installed and maintained by a properly licensed security alarm operator? | Yes | No | <input style="width: 100%; height: 100%;" type="checkbox"/> | <input style="width: 100%; height: 100%;" type="checkbox"/> |
| 5) Is the security alarm system capable of being monitored by a central station? | Yes | No | <input style="width: 100%; height: 100%;" type="checkbox"/> | <input style="width: 100%; height: 100%;" type="checkbox"/> |
| 6) Does the security system provide complete protection and monitoring for all accessible openings into areas containing firearms, rifles, shotguns, and/or ammunition, including doorways and windows? | Yes | No | <input style="width: 100%; height: 100%;" type="checkbox"/> | <input style="width: 100%; height: 100%;" type="checkbox"/> |
| 7) Does the security system provide partial motion and sound detection at certain other areas of the premises containing firearms, rifles, shotguns, and/or ammunition, as deemed appropriate by the licensed installer ? | Yes | No | <input style="width: 100%; height: 100%;" type="checkbox"/> | <input style="width: 100%; height: 100%;" type="checkbox"/> |
| 8) Is the dealer equipped with a video recording device at each point of sale and each entrance and exit to the premises, which shall be recorded from both the indoor and outdoor vantage point? | Yes | No | <input style="width: 100%; height: 100%;" type="checkbox"/> | <input style="width: 100%; height: 100%;" type="checkbox"/> |

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| 9) Does the dealer maintain recordings for a minimum of two years? | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| 10) Does the dealer exclude all persons under 18 years old from areas where firearms, rifles, shotguns, or ammunition are stocked or sold, unless such person is accompanied by a parent or guardian? | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| 11) Does the dealer sell or otherwise dispose of firearms, rifles, and shotguns only at the location listed on the dealer's federal firearms license or at gun shows? | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| 12) Does the dealer provide training to all new employees within 30 days of employment? | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| 13) Have all existing employees completed the training published by the New York State Police before March 3, 2023? | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| 14) Are records documenting the successful completion of the required employee training maintained for at least five years following the completion of such training by each employee? | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| 15) Do all employees complete the required training annually? | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| 16) Are dealer employees or agents under the age of 21 participating in the sale or disposition of firearms, rifles, or shotguns? | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| 17) Have all employees or agents received training before they participate in the sale or disposition of firearms, rifles, or shotguns? | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| 18) Does the dealer maintain a record book or electronic-based record of purchase, sale inventory, and other records at the dealer's place of business? | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

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| 19) Does the dealer submit a copy of records to the State Police every April and October? | Yes | No | |
| | <input type="checkbox"/> | <input type="checkbox"/> | |
| 20) Do the records include the make, model, caliber or gauge, manufacturers, name, and serial number of all firearms, rifles, and shotguns that are acquired or disposed of not later than one business day after their acquisition or disposition ? | Yes | No | |
| | <input type="checkbox"/> | <input type="checkbox"/> | |
| 21) Are monthly backups of paper records maintained in a secure container designed to prevent loss by fire, theft, or flood? | Yes | No | |
| | <input type="checkbox"/> | <input type="checkbox"/> | |
| 22) If the dealer chooses to maintain an electronic-based record system, are those records backed up on an external server or over the internet at the close of business each day? | Yes | No | |
| | <input type="checkbox"/> | <input type="checkbox"/> | |
| 23) Does the dealer record the date, name, age, occupation, and residence of any person from whom a firearm is received or to whom a firearm is delivered, and the caliber, make, model, manufacturer's name and serial number, or if none, any other distinguishing number or identification mark on such firearm? | Yes | No | |
| | <input type="checkbox"/> | <input type="checkbox"/> | |
| 24) Are all firearms, rifles and shotguns accounted for through an inventory check prepared once each month and maintained in a secure location? | Yes | No | |
| | <input type="checkbox"/> | <input type="checkbox"/> | |
| 25) Is sold firearm, rifle, and shotgun disposition information, including serial numbers, dates of sale, and identity of purchasers, maintained and available at any time to government law enforcement agencies and to the manufacturer of the weapon or its designee? | Yes | No | |
| | <input type="checkbox"/> | <input type="checkbox"/> | |
| 26) Are the records documenting the acquisition, disposition, tracing, and other transactions involving firearms, rifles and shotguns maintained for at least twenty years following each transaction? | Yes | No | |
| | <input type="checkbox"/> | <input type="checkbox"/> | |

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| | Yes | No |
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| 27) Does the dealer maintain records of criminal firearm, rifle and shotgun traces initiated by the ATF? | <input type="checkbox"/> | <input type="checkbox"/> |
| 28) Are ATF Form 4473 transaction records retained on the dealer's business premises in a secure container designed to prevent loss by fire, theft, or flood? | <input type="checkbox"/> | <input type="checkbox"/> |
| 29) Does the dealer implement and maintain sufficient internal procedures to ensure compliance with Article 39-BB of the General Business Law? | <input type="checkbox"/> | <input type="checkbox"/> |
| 30) Does the dealer annually certify to the New York State Police, by January 31 of each year, that the dealer has complied with all of the requirements of Article 39-BB of the General Business Law? | <input type="checkbox"/> | <input type="checkbox"/> |
| 31) Does the dealer provide the Division of State Police full access to the dealer's premises for periodic inspections? | <input type="checkbox"/> | <input type="checkbox"/> |

Additional Comments

Signature