C.D. Michel - S.BN. 144258
TRUTANICH • MICHEL, LLP
407 North Harbor Boulevard
San Pedro, CA 90731
Telephone: 310-548-0410
Facsimile: 310-548-4813

Attorneys for Defendants,
ANDREW'S SPORTING GOODS, INC.
dba TURNER'S OUTDOORSMAN
and S.G. DISTRIBUTING, INC.

IN THE SUPERIOR COURT OF THE STATE OF CALIFORNIA

FOR THE COUNTY OF SAN DIEGO

Judicial Council Coordination Proceeding Special Title (Rule 1550(b)) FIREARM CASES Coordinated actions: THE PEOPLE OF THE STATE OF CALIFORNIA, ex rel. the County of Los Angeles, et. al., v. ARCADIA MACHINE & TOOL, et. al., --- THE PEOPLE OF THE STATE OF CALIFORNIA, by and through JAMES K. HAHN, City Attorney of the City of Los Angeles, et. al., v. ARCADIA MACHINE & TOOL, et. al., --- THE PEOPLE OF THE STATE OF CALIFORNIA, by and through San Francisco City Attorney Louise H. Renne, v. ARCADIA MACHINE & TOOL, et. al.	JUDICIAL COUNCIL COORDINATION PROCEEDINGS NO. 4095 Superior Court of California City & County of San Francisco No. 303753 Superior Court of California County of Los Angeles No. BC210894 Superior Court of California County of Los Angeles No. BC214794 **DECLARATION OF DR. NANCY MATHIOWETZ IN SUPPORT OF DEFENDANT ANDREWS SPORTING GOODS' MOTION IN LIMINE NUMBER ONE TO EXCLUDE ANTICIPATED TRIAL TESTIMONY OF PLAINTIFFS' GUN TRACE WITNESSES GERALD A. NUNZIATO AND JOSEPH J. VINCE, JR. AND REQUEST FOR KELLY HEARING** Date: , 2003 Time: a.m. Dept. 65 Hon. Vincent. P. DiFiglia

I, Nancy A. Mathiowetz, declare as follows:

1. I have personal knowledge of them matters set forth herein and if called to testify could and would testify hereto.

2. I am an Associate Professor, Joint Program in Survey Methodology, University of Maryland and Adjunct Associate Professor and Adjunct Associate Research Scientist, University of Michigan. I received a B.S. degree from the University of Wisconsin-Madison and MS. (Biostatistics) and Ph.D. (Sociology) degrees from the University of Michigan. I conduct research, teach courses, and have provided expert testimony in federal court in the areas of survey methodology and statistics. My curriculum vitae is attached as Exhibit 1.

3. Prior to drawing any inferences from a data set, it is generally accepted practice that the analyst;

(1) Take into account the original purpose for which the data were collected,

(2) Understand the process by which the data were collected and compiled, the quality control procedures used or not used, and the resulting effects on data validity and quality,

(3) Evaluate the overall validity and quality of the data set for the purposes for which the data are to be used (e.g. the amount and effect of data errors, missing data, and duplicative data, the representativeness of the data and any anomalies in the data); and

(4) Determine the appropriate uses of the data set given the above factors.

4. **Mr. Nunziato failed to follow generally accepted procedures for database analysis**. I have reviewed the testimony and technique of Mr. Nunziato and find that his approach fails to take into account these basic steps. I have also studied the Bureau of Alcohol Tobacco and Firearms' National Firearms Tracing System (FTS) and the data supplied by Mr. Nunziato. Had Mr. Nunziato applied proper analytical procedures to evaluate the trace data, he would have found issues in all of the above categories that should have been addressed but were not. Proper evaluation and analysis of these trace databases reveals that there are serious problems, weaknesses and anomalies in these data, such that they cannot be used as Mr. Nunziato attempts to use them as the basis for inferences regarding firearm dealers. From my review of the FTS data, I find that it cannot be used for reliable statistical estimation due to the following reasons:

A. The FTS data are not collected in a manner consistent with the features of a statistical data system and therefore can not be considered reliable for the purposes of statistical estimation.

B. The firearms in the FTS data are not necessarily crime guns.

C. The FTS data do not permit unbiased comparison of trace requests across retail dealers.

5. **The FTS data are not collected in a manner consistent with features of a statistical data system**. Features of a statistical data capture system include, but are not limited to, the inclusion of quality control procedures so as to insure the collection of accurate and reliable information, especially among critical data elements. Such features include the consistent training of personnel associated with all levels of data capture, quality control for all levels of data collection and data entry, assessment of the reliability of coding systems, and the documentation of the extent of missing data within the data system. These features, in general, do not exist as part of the Firearms Tracing System. As a result, use of the FTS for statistical estimation can result in erroneous conclusions.

6. I offer an example as illustrative of the type of erroneous conclusions that may result from using the FTS for statistical estimation;

> The form used to request a trace submission (ATF F 3312.1)[1] requires the assignment of a crime code. This field is noted on the form as a required field. The back of the form includes a partial list of the possible crime codes that could be assigned; this list does not include the code for "weapons offense"— code 5299. Among all trace requests between 1990 and 2000, 42.0% are associated with code 5299, a rate three and a half times that of the next most frequently assigned code ("weapons possession," code 5212 ,which accounts for 11.8% of the trace requests). However, the code 5299 has been used as a default code for missing crime codes; unlike statistical data files in which imputed data are flagged for the data analyst, there is no flag in the FTS data file to distinguish between those traces for which code 5299 represents the actual circumstances associated with the recovered weapon and those cases for which 5299 was assigned due to missing data. Any analyst using the data would therefore be unable to separate those traces classified as weapons offenses from those trace requests for which the crime code was missing and the default value of 5299 assigned.

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[1]See Exhibit 2, Bureau of Alcohol, Tobacco, and Firearms (2002) Crime Gun Trace Reports (2000) National Report. Department of the Treasury.

7. Examination of the FTS data reveal other problems, both at the point of data capture (the original request for tracing) and with the processing of the data at the National Tracing Center, including, but not limited to, missing data and inconsistent implementation of coding schemes. For example, among those traces submitted between 1990 and 2000, at least 10 percent indicate one or more missing data elements for data elements listed as required on the trace request form. In addition, examination of the data file reveals inconsistencies in the assignment of trace result status codes. For example, among those trace requests assigned a status code of B8 indicative of a missing or invalid manufacturer name, 17.7% have a legitimate manufacturer code associated with the trace request.

8. **Not all guns submitted for tracing are crime guns**. There are at least two sources of information that indicate that not all guns submitted for tracing should be considered "crime guns." These sources include the reports and depositions of various law enforcement and BATF officials as well as the FTS data themselves. Examination of the various elements of the trace data file (specifically the trace, weapon, individual, recovery, and dealer tables) leads one to the conclusion that for a number of trace requests, the requests are associated with what I would characterize as "casting a wide net" to locate a final sale associated with a firearm for which the serial number is obliterated. If one looks at weapons for which the serial number has been obliterated, it is not uncommon to find a series of trace requests in which the serial number for the weapon varies by one digit. In these cases, the date of the trace request, the crime code associated with the weapon, the birth date of the possessor of the weapon, and other information pertaining to the recovery and submission of the trace request are all identical. Table 1 provides an illustration of such a case.[2] The nature of the requests suggest that for weapons for which the serial number is obliterated, not all trace requests are associated with a recovered weapon. In the illustrative case provided in Table 1, we see that the ten traces are all associated with weapons for which the serial numbers are obliterated; the serial numbers range from 311-96186 through 311-06186, all of the same model and caliber, all associated with the same crime code (0999,

[2]Table 1 is contained in Exhibit 3.

homicide), all recovered on the same date, same city, all in the possession of the same individual. The fact that all ten trace requests are associated with weapons for which the serial numbers are obliterated and that the serial numbers only vary by the 4th digit (from 0 to 9) indicates a series of trace requests looking for any individual in whose hands to place the gun. From the perspective of a law enforcement tool, such a broad sweeping attempt to locate the purchaser of the weapon serves the very purpose for which the FTS was created. From the perspective of statistical estimation, however, the result is a number of "fictitious" traces. Note that for this example, all ten of the serial numbers were traced to a final sale. As a result, counts of "crime guns as well as counts of "crime guns" by dealers, distributors, or manufacturer would be falsely inflated.

9. Thus, from my review of the FTS data, I can conclude that counts of weapons submitted for tracing, counts of weapons by dealers and comparisons among retail dealers are not reliable indicators of the true number or distribution of guns or handguns used in crimes.

10. **The FTS data do not permit unbiased comparison of trace requests across retail dealers.** The firearms in the FTS data base do not represent a random sample and cannot be considered representative of the universe of all firearms used by criminals nor any subset of that population. Even for those cities participating in the Youth Crime Gun Interdiction Initiative, the BATF notes "the available data do not yet constitute a fully developed statistical series from which reliable comparisons can be made from one reporting period to the next or from one participating jurisdiction to another . . .[3]" The process by which a particular firearm is submitted for tracing varies within a jurisdiction as well as across jurisdictions.[4] This process tends to favor those firearms more likely to be successfully traced.[5] The fact that some jurisdictions participate in comprehensive tracing and others do not implies that variation in the number of firearm trace requests by location is, in part, simply a function of the variation in participation in

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[3]See Exhibit 2, Bureau of Alcohol, Tobacco, and Firearms (2002) Crime Gun Trace Reports (2000) National Report. Department of the Treasury. See Appendix B, page 4

[4]See Exhibit 4, Cook and Anthony Braga (2001) "Comprehensive Firearms Tracing: Strategic and Investigative Investigative Uses of New Data on Firearms Markets." Arizona Law Review, 43: 277-301.

[5]Id.

comprehensive tracing. Even participation in comprehensive tracing does not insure consistency in the submission of all recovered firearms. Among jurisdictions participating in comprehensive tracing through the Youth Crime Gun Interdiction Initiative (YCGII), BATF finds significant variation in the extent of program implementation across jurisdictions.[6] Other jurisdictions cite problems such as the double counting of firearms (City of Oakland, 2002).[7]

11. Inconsistencies in, and the nonrandom nature of, the process by which weapons are submitted, that is, variation in the comprehensive nature of the submission of firearms across time and jurisdictions and the sub-selection of "newer" guns for submission both within and across jurisdictions results in bias in estimates, including overall counts of traced weapons, and comparisons of trace requests across retail dealers.

I swear under penalty of perjury under the laws of the State of California that the foregoing is true and correct and that this declaration is executed on April 8, 2003 at Arlington, Virginia.

Dr. Nancy Mathiowetz
DECLARANT

[6] See Exhibit 2, Bureau of Alcohol, Tobacco, and Firearms (2000) Crime Gun Trace Reports (1999) National Report. See Appendix B.

[7] "See Exhibit 5; "....increased incidence of double counting of the gun data at the National Tracing Center in Virginia, which contributes to an inaccurate skewing of the gun numbers" (City of Oakland, July 23, 2002)

EXHIBIT "1"

EXHIBIT "1"

Nancy A. Mathiowetz

Education

University of Wisconsin, Madison, Wisconsin
B.S., Sociology (with honors), 1978
University of Michigan, Ann Arbor, Michigan
M.S., Biostatistics, 1983
Ph.D., Sociology, 1988

Professional Experience

2001-	Associate Professor, Joint Program in Survey Methodology, University of Maryland; Adjunct Associate Research Scientist (Institute for Social Research) and Adjunct Associate Professor (Sociology Department). The University of Michigan
1999-	Affiliate Faculty, School of Public Affairs, University of Maryland
1995-2001	Assistant Professor, Joint Program in Survey Methodology, University of Maryland; Adjunct Assistant Research Scientist (Institute for Social Research) and Adjunct Assistant Professor (Sociology Department). The University of Michigan
1997-1998	ASA/NSF Fellowship, Bureau of Labor Statistics and Bureau of the Census
1992	Guest Professor, Zentrum fur Umfragen, Methoden und Analysen, Germany
1992-1995	Deputy Director, Division of Statistics and Research Methodology. Agency for Health Care Policy and Research
1993-1995	Adjunct Assistant Professor. Joint Program in Survey Methodology.
1990-1992	Special Assistant to the Associate Director, Statistical Design, Methodology, and Standards. U.S. Bureau of the Census.
1987-1990	Senior Research Analyst. National Center for Health Services Research
1984-1987	Senior Research Associate. Westat, Inc.
1978-1984	Research Assistant. Survey Research Center, Institute for Social Research
1977-1978	Research Assistant. National Opinion Research Center.

Books and Monographs

Nancy Mathiowetz and Gooloo Wunderlich (2000) *Survey Measurement of Work Disability: Summary of a Workshop.* Washington, D.C.: National Academy Press.

Paul Biemer, Robert Groves, Lars Lyberg, Nancy Mathiowetz, and Seymour Sudman (eds.), *Measurement Errors in Surveys*, John Wiley and Sons, 1991.

Carla E. Maffeo and Nancy A. Mathiowetz, *Evaluation of the Administrative Records in the National Medical Utilization and Expenditure Survey.* Vital and Health Statistics, Series A, No. 6, Washington, D.C.: U.S. Government Printing Office, 1988.

Nancy A. Mathiowetz and E. Pat Ward, *Linking the National Medical Expenditure Survey with the National Health Interview Survey: Analysis of Field Trials.* Vital and Health Statistics, Series 2, No. 102, Washington, D.C.: U.S. Government Printing Office, 1987.

Charles F. Cannell, Robert M. Groves, Lou J. Magilavy, Nancy A. Mathiowetz, Peter V. Miller, and Owen Thornberry, *An Experimental Comparison of Telephone and Personal Health Interview Surveys.* Vital and Health Statistics, Series 2, No. 106. Washington, D.C.: U.S. Government Printing Office, 1987.

Greg J. Duncan and Nancy A. Mathiowetz, *A Validation Study of Economic Survey Data.* Ann Arbor, Michigan: The Institute for Social Research, 1985.

Nancy A. Mathiowetz

Journal Articles, Book Chapters, and Other Publications

Nancy A. Mathiowetz (2002) "Survey Design Options for the Measurement of Persons with Work Disabilities" in G. Wunderlich, D. Rice and N. Amaldo (eds.) *The Dynamics of Disability.* Washington, D. C.: National Academy Press.

Nancy A. Mathiowetz (2001) "Methodological Issues in the Measurement of Persons with Disabilities." *Research in Social Science and Disability,* Vol. 2: 125-144.

John Bound, Charlie Brown, and Nancy Mathiowetz (2001) " Measurement Error in Survey Data" in J. Heckman and E. Leamer (eds.) *Handbook of Econometrics, Volume 5.* Amsterdam: North Holland

Nancy A. Mathiowetz, Charlie Brown, and John Bound (2001) "Measurement Error Issues in Surveys of the Low Income Population." *Data Collection on Low Income and Welfare Populations.* Washington, D.C.: National Academy Press

Robert A. Groves and Nancy A. Mathiowetz (2001) "Comment on Platek and Sarndal, 'Can the Statistician Deliver?'" *Journal of Official Statistics,* Vol 17(1): 51-54.

Nancy A. Mathiowetz and Katherine A. McGonagle (2000) "An Assessment of the Current State of Dependent Interviewing." *Journal of Official Statistics*, Vol. 16(4):401-418.

Nancy A. Mathiowetz and Sarah Dipko (2000) "A Comparison of Response Error by Adolescents and Adults." *Medical Care,* 38(4): 374-382.

Nancy A. Mathiowetz (2000) "Methodological Issues in the Measurement of Work Disability," Chapter 3 in N. Mathiowetz and G. Wunderlich (eds.) *Survey Measurement of Work Disability: Summary of a Workshop.* Washington, D.C.: National Academy Press.

Nancy A. Mathiowetz (1999) "Expressions of Respondent Uncertainty as Indicators of Response Quality." *International Journal of Public Opinion Research,* Vol. 11(3): 289-296.

Nancy A. Mathiowetz (1998) "Respondent Expressions of Uncertainty: Data Source for Imputation. *Public Opinion Quarterly*, Vol. 62: 47-56.

Nancy A. Mathiowetz (1997). Book Review. *Data Collection and Management: A Practical Guide. Public Opinion Quarterly,* Vol. 61, No. 2.

Norbert Schwarz, Nancy Mathiowetz, and Robert Belli (1996) "Assessing Satisfaction with Health and Health Care: Cognitive and Communicative Processes" in R. Warnecke (ed.) *Health Survey Research Methods.* Washington, D.C.: DHHS Publication No. (PHS) 96-1013.

Mick P. Couper, Nancy A. Mathiowetz, and Eleanor Singer (1995) "Related Households, Mail Handling, and Returns to the 1990 Census" *International Journal of Public Opinion Research*, Vol. 7(2): 172-177.

Nancy A. Mathiowetz and Tamra J. Lair (1994) "Getting Better? Changes or Errors in the Measurement of Functional Limitations" *Journal of Economic and Social Measurement*, Vol. 20:237-262.

John F. Moeller and Nancy A. Mathiowetz (1994) "Problems of Screening for Poverty Status" *Journal of Official Statistics*, Vol. 10 (3):327-337.

Eleanor Singer, Nancy A. Mathiowetz, and Mick P. Couper (1993) , "The Impact of Privacy and Confidentiality Concerns on Survey Participation: The Case of the 1990 Census" *Public Opinion Quarterly*, 57(4):465-482.

Nancy A. Mathiowetz (1992) "Errors in Reports of Occupations," *Public Opinion Quarterly*, Vol. 56:352-355.

Donna Eisenhower, Nancy A. Mathiowetz, and David Morganstein (1991) "Recall Error: Sources and Bias Reduction Techniques" in *Measurement Errors in Surveys*, P. Biemer, B. Groves, L. Lyberg, N. Mathiowetz and S. Sudman (Eds.) New York: John Wiley and Sons.

Nancy A. Mathiowetz (1991) "Discussion: Survey Quality Profiles" in *Seminar on Quality of Federal Data*, Statistical Policy Working Paper #20, Washington, D.C.: Statistical Policy Office, Office of Management and Budget.

Nancy A. Mathiowetz (1989) "Discussion: Validity of Reporting in Surveys" in J. Fowler (ed.) *Health Survey Research* Methods, Washington, D.C.: DHHS Publication No. (PHS) 89-3447.

Nancy A. Mathiowetz and Greg J. Duncan (1988) "Out of Work, Out of Mind: Response Error in Retrospective Reports of Unemployment," *Journal of Business and Economic Statistics,* Vol. 6, No.2, 221-229.

Marc L. Berk, Nancy A. Mathiowetz, Edward P. Ward, and Andrew A. White (1987) "The Effect of Prepaid and Promised Incentives: Results of a Controlled Experiment" *Journal of Official Statistics*, Vol. 3(4): 449-457.

Nancy A. Mathiowetz and Robert M. Groves (1985) "The Effects of Respondent Rules on Health Survey Reports," *American Journal of Public Health*, Vol. 75:639-644.

Robert M. Groves and Nancy A. Mathiowetz (1984) "Computer Assisted Telephone Interviewing: Effects on Interviewers and Respondents," *Public Opinion Quarterly*, Vol. 48:356-369.

Tom Smith, D. Garth Taylor, and Nancy Mathiowetz (1980) "Public Opinion and Public Regard for the Federal Government" in C. Weiss and A. Barton (eds.) *Making Bureaucracies Work.* Beverly Hills: Sage Publications.

Proceedings Papers and Presentations

Nancy A. Mathiowetz (2002) "Behavior Coding: Tool for the Evaluation of the Survey Process and Survey Questions: Session in Honor of the Contributions of Charles Cannell." Paper presented at the Annual Conference, American Association for Public Opinion Research.

Nancy A. Mathiowetz, Roger Tourangeau, and Paul Guerino (2002) "Measuring Persons with Disabilities." Paper presented at the Annual Conference, American Association for Public Opinion Research.

Nancy A. Mathiowetz, Roger Tourangeau, and Paul Guerino (2002) "Methodological Issues in the Measurement of Persons with Disabilities." Invited paper presented at the Joint Statistical Meetings, American Statistical Association, New York, New York.

Nancy A. Mathiowetz

John Moeller, Steve Cohen, Nancy Mathiowetz, and Lap-Ming Wun (2002) "Model-Based Sampling for Households with High Health Expenditures: Evaluating Accuracy and Yield with the 1997 MEPS." Paper presented at the Joint Statistical Meetings, American Statistical Association, New York, New York.

John Moeller, Steve Cohen, Nancy Mathiowetz, and Lap-Ming Wun (2001) "Model-Based Sampling for Low Income Households: An Evaluation from the 1997 Medical Expenditure Panel Survey." Paper presented at the Joint Statistical Meetings, American Statistical Association, Atlanta, Georgia.

Nancy A. Mathiowetz (2000) "Methodological Issues in the Measurement of Persons with Disabilities" Invited Paper, Joint Statistical Meetings, American Statistical Association, Indianapolis, IN

Nancy A. Mathiowetz, Mick Couper, and Dicy Butler (2000) "Characteristics of Nonrespondents and the Impact of Nonresponse: The American Travel Survey." Fifth International Conference on Social Science Methodology, Cologne, Germany

Nancy A. Mathiowetz (2000) "The Effects of Length of Recall on the Quality of Survey Data" Invited paper, Fourth Conference on Methodological Issues in Official Statistics, Stockholm, Sweden

Nancy A. Mathiowetz and Annette Gartin (2000) "The Effects of Alternative Questions on Estimates of Persons with Disabilities: An Examination of the Year 2000 Decennial Census." Paper presented at the Annual Conference, American Association for Public Opinion Research, Portland, OR

Nancy A. Mathiowetz (1999) Invited Discussant "Question Salience, Question Difficulty and Item Nonresponse in Survey Research" International Conference on Survey Nonresponse, Portland, OR

Nancy A. Mathiowetz (1999) "The Validity of Self Reported Health Measures Among Older Adults." Paper presented at the Annual Conference, American Association for Public Opinion Research.

J. Michael Dennis, Nancy A. Mathiowetz, and others (1999) "Analysis of RDD Interviews by the Number of Call Attempts: The National Immunization Survey" Paper presented at the Annual Conference, American Association for Public Opinion Research

Brian Harris-Kojetin and Nancy A. Mathiowetz (1998) "The Effects of Proxy Response on the Reporting of Race and Ethnicity" Paper presented at the Annual Conference, American Association for Public Opinion Research.

Nancy A. Mathiowetz (1997) "Optimal Times to Contact and Interview Respondents: Findings from a Face to Face Data Collection Effort." Paper presented at the Annual Conference, American Association for Public Opinion Research.

Nancy A. Mathiowetz and Sarah Dipko (1997) "Examining Patterns of Response Error: A Comparison of Reports by Teenagers and Adults." Paper presented at the Annual Conference, American Association for Public Opinion Research.

Nancy A. Mathiowetz (1997) "Measuring Non-Market Labor Using a Time-Use Methodology" Invited paper, International Conference on Time Use, Non-Market Work, and Family Well Being, U.S. Bureau of Labor Statistics.

Nancy A. Mathiowetz and James Lepkowski (1996) "The Effect of Different Time Frames on Single Interview Bounding Techniques". Paper presented at the Annual Conference, American Association for Public Opinion Research.

Nancy A. Mathiowetz

Nancy A. Mathiowetz and Linda Stinson (1996) "The Effect of Length of Recall on the Quality of Survey Data: A Meta-Analytic Approach. Paper presented at the Annual Conference, American Association for Public Opinion Research

Nancy A. Mathiowetz (1993) "An Evaluation of Alternative Missing Data Replacement Techniques." *Proceedings of the Section on Survey Research Methods*, American Statistical Association.

Eleanor Singer, Nancy Mathiowetz, and Mick Couper (1993) "The Impact of Privacy and Confidentiality Concerns on Survey Participation: The Case of the 1990 Census." Paper presented at the Annual Conference, American Association for Public Opinion Research.

Nancy A. Mathiowetz and Tamra J. Lair (1992) "Getting Better? Changes or Errors in Estimates of Functional Status." *Proceedings of the Section on Survey Research Methods*, American Statistical Association.

Nancy A. Mathiowetz (1992) "A Behavioral Paradigm for Understanding Nonresponse to the 1990 Census." Paper presented at the Annual Conference of the American Association of Public Opinion Research.

John F. Moeller and Nancy A. Mathiowetz (1991) "Catastrophic Prescription Expenditures for the Medicare Population." Paper presented at the Annual Meetings of the Gerontological Society of America.

Nancy A. Mathiowetz, Terry DeMaio, and Elizabeth Martin (1991) "Political Alienation, Voter Registration and the 1990 Census." Paper presented at the annual conference of the American Association of Public Opinion Research.

John F. Moeller and Nancy A. Mathiowetz (1990) "Problems of Screening for Poverty Status," *Proceedings of the Section on Survey Research Methods*, American Statistical Association.

Joel Leon, Tamra Lair, Pamela Farley Short, and Nancy A. Mathiowetz (1989) "1987 National Estimates of the Functionally Disabled Elderly: Policy Implications of Varying Definitions of Disability," Winter Meetings of the American Statistical Association.

Nancy A. Mathiowetz (1988) "Forgetting Events in Autobiographical Memory: Findings from a Health Care Survey," *Proceedings of the Section on Survey Research Methods*, American Statistical Association.

Nancy A. Mathiowetz (1987), "Response Error: Correlation between Estimation and Episodic Recall Tasks," *Proceedings of the Section on Survey Research Methods*, American Statistical Association.

Nancy A. Mathiowetz, Marc L. Berk, and Andrew A. White (1987) "The Effect of Changing Interviewers and Mode of Interview in a Panel Health Survey." Winter Meetings of the American Statistical Association.

Nancy A. Mathiowetz (1986) "Mode of Initial Contact for Personal Interviews: Findings from Two Experiments," *Proceedings of the Section on Survey Research Methods*, American Statistical Association.

Nancy A. Mathiowetz (1986) "Episodic Recall vs. Estimation: The Applicability of Cognitive Theory to Problems in Survey Research." Presented at Annual Meetings of the American Association of Public Opinion Research.

Nancy A. Mathiowetz (1985) "The Problem of Omissions and Telescoping Error: New Evidence from a Study of Unemployment." *Proceedings of the Section on Survey Research Methods*, American Statistical Association.

Nancy A. Mathiowetz, Doris Northrup, and Sandra Sperry (1985) "An Evaluation of Mode of Initial Contact for In-Person Interviews." Presented at Annual Meetings of the American Association of Public Opinion Research.

Nancy A. Mathiowetz and Greg J. Duncan (1984) "Temporal Patterns of Response Error in Retrospective Reports of Unemployment and Occupation," *Proceedings of the Section on Survey Research Methods*, American Statistical Association.

Nancy A. Mathiowetz and Charles F. Cannell (1980) "Coding Interviewer Behavior as a Method of Evaluating Performance," *Proceedings of the Section on Survey Research Methods*, American Statistical Association.

Robert M. Groves, Lou J. Magilavy, and Nancy A. Mathiowetz (1980) , "The Process of Interviewer Variability: Evidence from Telephone Surveys," *Proceedings of the Section on Survey Research Methods*, American Statistical Association.

Robert M. Groves, Marianne Berry, and Nancy A. Mathiowetz (1980) "Some Impacts of Computer Assisted Telephone Interviewing on Survey Methods," *Proceedings of the Section on Survey Research Methods,* American Statistical Association, 1980.

Research Reports

Nancy A. Mathiowetz (1998) "The Impact of Biannual Interviewing on Nonresponse and Measurement Error." Paper commissioned by the NLS Technical Review Committee.

Nancy A. Mathiowetz. (1994) "Autobiographical Memory and the Validity of Survey Data: Implications for the Design of the Panel Study of Income Dynamics." Paper commissioned by the PSID Technical Advisory Board.

Nancy A. Mathiowetz, Mick P. Couper, and Eleanor Singer (1994) "Where does all the Mail Go? Mail Receipt and Handling in U.S. Households." Survey Methodology Program Working Paper No. 25. Ann Arbor: University of Michigan.

John F. Moeller, Nancy A. Mathiowetz, and Steven B. Cohen (1989) *Prescription Drugs: Use and Expenditures by Medicare Beneficiaries,* Report to Congress, May, 1989.

John F. Moeller and Nancy A. Mathiowetz (1989) *Prescribed Medicines: A Summary of Use and Expenditures by Medicare Beneficiaries,* National Medical Expenditure Survey Research Findings 3, Rockville, MD, 1989.

A. Vinokur, C. Cannell, S. Eraker, F. Juster, and N. Mathiowetz (1983) *The Role of Survey Research in the Assessment of Health and Quality of Life Outcomes of Pharmaceutical Interventions.* Monograph prepared for the Pharmaceutical Manufacturers Association.

Editorial Activities

Associate Editor, *Public Opinion Quarterly*
Associate Editor, *Journal of Official Statistics*
Reviewer, *Journal of the American Statistical Association*
Reviewer, *Survey Methodology*
Reviewer, *Journals of Gerontology*
Reviewer, *Reference Manual on Scientific Evidence*, Federal Judicial Center

Teaching

Courses

Data Collection Methods in Survey Research
Questionnaire Design
Survey Management
Survey Design Seminar
Survey Practicum
Fundamentals in Survey Methodology

Graduate Student Advising

Julie Weeks, Sociology, Ph.D. Committee, 1999-2000
Jill Walston, Education Measurement and Statistics, Ph.D. Committee, 1999-2000
Jason Schuknecht, Government and Politics, Ph.D. Committee, 2000-

Invited Lectures, Short Courses and Workshops

Methodological Issues in the Measurement of Disability, United Nations, November, 2000
Survey Design for Response Quality in Household Surveys, 2000, Invited two-day workshop, Statistics Sweden (October, 2000)
Survey Management, 1999, one-day short course, Department of Agriculture
Survey Management, 1998, one-week course, Summer Institute in Survey Research Techniques, Institute for Social Research, University of Michigan
Survey Management, 1998, two-day short course, JPSM Short Course
An Introduction to Pretesting, two-day short course, 1997, JPSM Short Course
Invited Lecture, Dartmouth College, 1997
Telephone Survey Design, one-week course, Summer Institute in Survey Research Techniques, Institute for Social Research, University of Michigan
Invited Scholar, Iowa State University, 1996
Questionnaire Design, 1995, half-day course, American Association of Public Opinion Research

Professional Activities

American Statistical Association
Member, Survey Review Committee, 2001-2003
Member, Census Advisory Committee, 2000-2002
Member, Subcommittee on the Evaluation of the Census 2000 Questions on Race and Ethnicity
Member, Committee on Statistics and Disability, 2000-2002
Member, Committee on Meetings, 1997-2001
Member, E.C. Bryant Scholarship Committee, 1997-2000
Program Chair, Section on Survey Research Methods, 1995-1996
Program Chair-Elect, Section on Survey Research Methods, 1994-1995
Member, Continuing Education Committee, 1988-1990
Chair, Continuing Education Winter Conference, 1988-1989
Member, Survey Research Methods Technical Advisory Committee on SIPP, 1986-1990

Nancy A. Mathiowetz

American Association for Public Opinion Research
- Secretary-Treasurer, 1995-1996
- Chair, Education Committee, 1995-2001
- Associate Secretary-Treasurer, 1994-1995
- Membership Chair, 1990-1991
- Associate Membership Chair, 1989-1990

Advisory Committees
- National Advisory Board, Institute for Research on Poverty, University of Wisconsin, Wisconsin Works Child Support Demonstration, 1998-
- National Gambling Commission, Technical Advisory Panel, 1998
- National Longitudinal Survey of Children and Families in the Child Welfare System, Technical Advisory Panel, 1998-
- Substance Abuse and Mental Health Services Administration, Technical Advisory Committee, 1997
- National Longitudinal Surveys Technical Review Committee, Bureau of Labor Statistics, 1993-1999
- Bureau of Labor Statistics, Invited Panel Member, Questionnaire Design Advisory Conference for the Consumer Expenditure Survey and Current Population Survey, 1987

Grants Review
- Russell Sage Foundation, 2000
- College of Agriculture and Natural Resources, University of Maryland, 2000
- National Science Foundation, 1998-
- National Institute of Health, Reviewer, Mental Health AIDS and Immunology Review Committee, 1996

Reports Review
- U.S. Department of Agriculture, Reviewer, Continuing Survey of Food Intake, 1996
- National Academy of Sciences, Reviewer, Report on Survey of Scientists and Engineers, 1991

Conference Committees
- Health Survey Methods Conference, Organizing Committee, 1998-1999
- International Conference on Measurement Errors in Surveys, Organizing Committee, 1991

Miscellaneous
- Federal Committee on Statistical Methodology, Member, Subcommittee on Statistical Training, 1995-1999
- Social Science Research Council, Invited Participant, Workshop on the Cognition and Measurement of Pain, 1987
- Social Science Research Council, Invited Participant, Seminar on Effect of Theory-Based Schemas on Retrospective Data, 1987

Depositions and Trial Testimony

2003	Miles, et al v. Philip Morris, Inc.
2002	People , et al. v. Arcadia Machine and Tool, et al.
2002	Betty Bullock v. Philip Morris, Incorporated
2001	Blue Cross and Blue Shield of New Jersey, Inc. v. Philip Morris, Incorporated, et al. 98 Civ. 3287 (JBW)
1999	Disposable Contact Lens, Antitrust Litigation MDL Docket No. 1030
1998	State of Oklahoma, et al. v. R. J. Reynolds, et al.

Nancy A. Mathiowetz

Case Number CJ96-1499-L(H)

EXHIBIT "2"

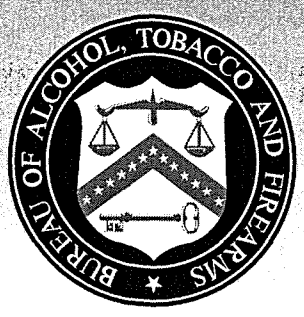
EXHIBIT "2"

Crime Gun Trace Reports (1999)
National Report

The Youth Crime Gun Interdiction Initiative

November 2000

Department of the Treasury
Bureau of Alcohol, Tobacco and Firearms



Foreword by the Director of the Bureau of Alcohol, Tobacco and Firearms

ATF established the Youth Crime Gun Interdiction Initiative (YCGII) in 1996 to focus special agent and inspector resources on reducing youth gun violence. To increase our effectiveness, we resolved to equip our investigators and their State and local counterparts with more facts about how violent youth obtained guns. We asked our colleagues in State and local law enforcement to help us systematically "follow the gun" used in crime to help identify violent criminals and their illegal suppliers by tracing all crime guns with the National Tracing Center.

These crime gun traces, which use a gun's serial number to track its transfers from manufacturer to retail purchase, lead law enforcement to sources of illegal diversion, gun traffickers, and violent criminals, and contribute to successful prosecutions. This report provides examples of successful cases against such offenders. In the past, the case an agent made with trace information would likely have been the last case using that information. Every investigator would start a new case relying on new leads. As these *Crime Gun Trace Reports* demonstrate, that era is over in law enforcement. Today, law enforcement officials can and do access, search, and analyze investigative and case information contributed by hundreds of their colleagues, to gain additional investigative leads and strategic perspective.

Recently, we examined our firearms investigative docket and learned that over a quarter of ATF's investigations into the illegal diversion of guns involved felons. This allowed us to confirm what ATF agents and their State and local colleagues have known but not previously documented — there is a sizable illegal market in firearms involving felons, juveniles, and other illegal possessors and traffickers of firearms. It includes corrupt federally licensed dealers who ignore the results of background checks, straw purchasers, unlicensed sellers, thieves, and traffickers in stolen firearms, among others.

Collecting and analyzing information from thousands of crime gun traces supplied by Federal, State, and local law enforcement are helping us gain a more precise picture of that crime gun market and provide investigative and strategic direction to enforcement aimed at gun crime. This year's reports, the third annual publication of *Crime Gun Trace Reports*, include this *National Report* and a series of individual *City Reports,* which provide complete information on the trace results in those cities. These reports are available at www.atf.treas.gov.

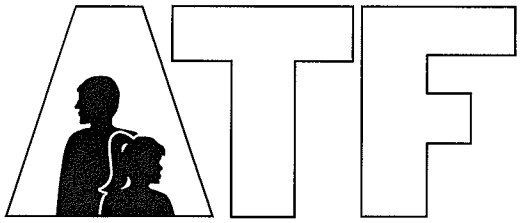
Of great value to law enforcement are the lists of guns that repeatedly show up in crimes and that do so rapidly after purchase, suggesting criminal intent associated with the original transaction. Every city has its own crime guns and patterns, reflecting local conditions, but certain local, regional, and national patterns are evident. This information permits law enforcement officials to tailor investigative strategies to the most violent criminals and juveniles, local "hot spots," and illegal sources of guns. Knowing the changing trends in crime guns is also vital to ensuring officer safety.

Crime gun tracing and its complementary tool, ballistics identification, are rapidly transforming Federal, State, and local firearms enforcement. We cannot completely stop violent criminals from using illegal means to acquire guns, but we can track their methods with greater precision than ever before, intervene to stop trafficking schemes, investigate both illegal suppliers and their criminal buyers, and fully enforce our Nation's firearms laws to deter gun criminals and hold them accountable. We are at the beginning of the new era of using available crime gun and ballistics information to solve and prevent gun crimes. We present this year's *Crime Gun Trace Reports* as an information cornerstone of our efforts to reduce violent crime, disarm the criminal, and better protect our Nation's youth.

Bradley A. Buckles

Crime Gun Trace Reports (1999)

National Report



The Youth Crime Gun Interdiction Initiative

November 2000

Department of the Treasury
Bureau of Alcohol, Tobacco and Firearms

CRIME GUN TRACE REPORTS (1999)
National Report

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1 — Introduction

This is the third year of ATF's publication of the National Tracing Center (NTC)'s *Crime Gun Trace Reports.* The reports provide extensive analyses of crime gun traces submitted in calendar year 1999 by law enforcement officials in selected cities throughout the country participating in ATF's Youth Crime Gun Interdiction Initiative. The analysis of a large number of individual traces from many similar jurisdictions helps identify consistent crime gun patterns that may not be apparent from information in a single trace or traces from a single jurisdiction or State. With information about patterns and trends, more violent criminals can be arrested more efficiently, more focused regulatory enforcement can be undertaken, and more gun crime and violence can be prevented.

Two Report Formats. Crime gun tracing as a law enforcement tool has grown sufficiently to provide the 2000 *Crime Gun Trace Reports* in two formats:

- The *National Report* provides national analysis based on findings from crime gun traces in 32 of the 79 cities in the U.S. with populations of 250,000 or more. These cities comprise 67 percent of the population of cities of this size.
- The 36 separate *City Reports* provide detailed information on the trace results in the 32 large cities and four cities with populations between 100,000 and 250,000. To provide a national context for local information, the *City Reports* also contain the *National Report.*

Information for Law Enforcement, the Firearms Industry, and the Public. The *Crime Gun Trace Reports* have three audiences. They provide crime gun information to the *Federal, State, and local law enforcement agencies* that submit trace requests, boosting their information resources for arresting gun criminals, responding to gun violence, and establishing a benchmark for crime gun measurements. They inform *federally licensed firearms dealers* of crime gun patterns, allowing them to build sounder and safer businesses. They inform the *public, Congress, and State and local authorities*, building cooperation by communicating what ATF agents, inspectors, and State and local law enforcement investigating violent criminals see in their everyday enforcement operations.

Reinforcing Law Enforcement Collaboration. As a result of the collaboration of thousands of law enforcement and regulatory personnel and the FFLs that routinely respond to the National Tracing Center's inquiries, the *Crime Gun Trace Reports* provide an overview of crime guns throughout the country in significantly greater detail than previously available. ATF's primary operational focus is on the Federal offender. By reporting trace information in standardized form, ATF intends to enable State and local law enforcement officials and FFLs, as well as other Federal officials, to evaluate the information independently and to gain perspective on their local circumstances in order to adjust enforcement and preventive strategies accordingly.

How Law Enforcement Can Use this Report. Local law enforcement executives and Federal, State, and local prosecutors and investigators can make many uses of these reports. They furnish information relating to the following questions, among others: *1. How many crime guns are being recovered from different age groups of offenders? 2. What kinds of guns are being recovered in my area? 3. What types of crimes are associated with these recovered crime guns? 4. Are the source areas in the county or State, or from out of State? 5. What types of guns are moving the fastest from the retail seller to recovery in crime? 6. Which guns may pose a special hazard to law enforcement officers?*

Using this information, law enforcement managers can decide what aspects of the firearms market deserve priority focus, by age group, by source area, or by type of crime, or any combination of these. Once these priorities are determined, information about specific crime guns and offenders can be obtained using all available investigative resources, including debriefing of arrestees, undercover and confi-

dential informant operatives; Project Online LEAD; Brady background check denial information; stolen firearms information; and special analyses by the Crime Gun Analysis Branch and equivalent analytic services in local police departments.

The combination of strategic information such as provided in these reports and investigative information will allow Federal, State, and local law enforcement officers to make the best use of available resources. Based on these factors, ATF and local law enforcement may decide to undertake criminal prosecution against traffickers, including felons, straw purchasers, firearms thieves, and unlicensed dealers, or regulatory actions against Federal firearms licensees.

Contents of the Reports. The *National* and *City Reports* include information about:

- **Highlights:** The *National* and *City Reports* each contain sections with highlights of the findings in the reports, focused on crime gun information relevant to law enforcement officials;
- **Possessors:** the age group and crimes of the crime gun possessors;
- **Crime guns:** the types, manufacturers, calibers, and, in some cities, models of the most frequently traced crime guns, including the most frequently traced crime guns for each city;
- **Gun trafficking indicators:** the time-to-crime and geographic sources of crime guns, multiple sales information, and percentage of crime guns with obliterated serial numbers;
- **Enforcement information:** successful Federal, State, and local investigations of the illegal diversion of firearms;
- **Information for law enforcement executives:** information and responses to frequently asked questions about crime gun tracing and related enforcement operations;
- **Crime gun tracing information:** number of traces submitted, degree of completeness of information provided, disposition of traces, and current and future developments in crime gun tracing; and
- **Technical information:** back-up information about the analysis, figures, and tables in the reports.

Youth Crime Gun Interdiction Initiative Cities

Atlanta	Georgia
Baltimore	Maryland
Birmingham	Alabama
Boston	Massachusetts
Bridgeport*	Connecticut
Charlotte-Mecklenburg	North Carolina
Chicago	Illinois
Cincinnati	Ohio
Cleveland	Ohio
Dallas	Texas
Denver/Aurora	Colorado
Detroit	Michigan
Gary*	Indiana
Houston	Texas
Jersey City*	New Jersey
Las Vegas	Nevada
Los Angeles	California
Louisville	Kentucky
Memphis	Tennessee
Miami	Florida
Milwaukee	Wisconsin
Minneapolis	Minnesota
New Orleans	Louisiana
New York	New York
Oakland	California
Omaha	Nebraska
Philadelphia	Pennsylvania
Phoenix	Arizona
Portland	Oregon
Richmond*	Virginia
Salinas**	California
San Antonio	Texas
San Jose	California
Seattle**	Washington
St. Louis	Missouri
Tampa	Florida
Tucson	Arizona
Washington	District of Columbia

* City reports were compiled for four cities with populations smaller than 250,000, but trace requests from these cities were not included in most of the tables in the national report. Gary, Indiana and Jersey City, New Jersey were included in the national analysis of the occurrence of specific firearm models because these cities supplied unusually complete data.

** Salinas and Seattle traced too few guns during 1999 to be included in the national report. A small number of trace requests from Seattle were included in the analysis of specific firearm models because this information was unusually complete on the traces submitted by Seattle.

The Youth Crime Gun Interdiction Initiative

The annual *Crime Gun Trace Reports* began in 1997 as part of ATF's Youth Crime Gun Interdiction Initiative (YCGII), a youth-focused firearms enforcement program that is a component of ATF's overall firearms enforcement program, the Integrated Violence Reduction Strategy. For this reason, YCGII is referred to throughout this report.

Participating jurisdictions. While many law enforcement agencies trace some crime guns, agencies participating in YCGII commit to instituting comprehensive tracing of all crime guns, providing the maximum investigative leads for law enforcement officials, and permitting optimal strategic analysis. These cities receive special support from ATF. All 36 cities with *City Reports* participate in YCGII. As more law enforcement agencies acquire crime gun tracing as an investigative tool, or implement State comprehensive crime gun tracing laws, ATF expects to include trace information from these jurisdictions in the annual *Crime Gun Trace Reports.*

National Tracing Center and Crime Gun Analysis Branch: field support. The National Tracing Division staff conducts traces, analyzes the results, provides case leads, crime gun mapping, and jurisdictional analysis for ATF agents and inspectors and for other law enforcement agencies, and prepares the *Crime Gun Trace Reports.* The YCGII staff at the National Tracing Center provides trace support for all ATF firearms enforcement programs and locally based gun enforcement initiatives. A national update on crime gun tracing is included in the *National Report*, and city information in each *City Report.*

In the field: investigations, inspections, trace support, and training. In the field, YCGII is an enforcement collaboration among Federal, State, and local law enforcement agencies, and ATF agents and inspectors. The primary role of the YCGII field staff is to conduct criminal investigations and regulatory inspections. YCGII also provides joint training in tracing, serial number restoration, and gun enforcement investigative methods to ATF agents and their State and local partners. YCGII staff also assist local law enforcement agencies to establish crime gun tracing, with technical support and training.

YCGII's special focus on juvenile and youth gun crime. As the *National Report* shows, juveniles (ages 17 and under) accounted for 9 percent of traced crime guns, and youth (ages 18-24) accounted for 34 percent of traced crime guns. The Federal Bureau of Investigation (FBI)'s *Supplemental Homicide Reports* show that gun homicides committed by juveniles and youth have declined 41 percent, from 11,657 in 1993 to 6,863 in 1998, but they still accounted for 57 percent of all gun homicides in 1998. ATF agents and inspectors participating in YCGII have a special responsibility for developing investigative information and carrying out enforcement actions involving juveniles and youth. Because juveniles are prohibited from acquiring and possessing handguns without parental involvement, some form of illegal diversion is almost always implicated in an investigation involving a juvenile's possession of a handgun, making crime handgun tracing especially critical. The *Crime Gun Trace Reports,* therefore, focus throughout on the variations in the crime guns and sources of illegal supply to juveniles, youth, and adults.

Following the Gun to Successful Firearms Enforcement

Crime gun tracing. Crime gun tracing is a law enforcement tool developed by ATF to investigate violations of the Nation's firearms laws. A crime gun trace identifies the Federal firearms licensee (FFL) who is the original retail seller of the firearm and the firearm's retail purchaser by tracking the manufacturer, caliber, and serial number on transfer documentation from the manufacturer or importer through the wholesaler to the retail seller and first purchaser. *A crime gun trace alone does not mean that an FFL or firearm purchaser has committed an unlawful act. Crime gun trace information is used in combination with other investigative facts in regulatory and criminal enforcement.* Crime gun tracing has three primary purposes:

- **Identifying individual armed criminals for prosecution.** Like a fingerprint or other identifying evidence, a crime gun trace is used in individual cases to link a firearm offender to his or her weapon, or identify the illegal supplier of a firearm to the criminal, juvenile, or other person prohibited from possessing a firearm. Such investigative work is conducted by local officials and by ATF.
- **Proactive local investigative and strategic analysis to target armed violent criminals and gun traffickers for prosecution.** When officials in a jurisdiction trace all recovered crime guns, law enforcement officials are able to detect patterns in the buying and selling of crime guns in their areas (pattern and trend analysis). This information combined with other indicators leads to the arrest of additional traffickers and armed felons and to regulatory enforcement actions against Federal firearms licensees violating the firearms laws and trafficking illegally. Analysis and mapping of local crime gun patterns is done by ATF at the Crime Gun Analysis Branch and in the field and by State and local law enforcement officials with access to ATF's Online LEAD crime gun information system, or using State firearms information systems.
- ***Crime Gun Trace Reports* to assist law enforcement officials in placing local crime guns in a regional and national strategic enforcement context.** Analysis of all available comprehensive trace information, locally and nationally, informs Federal, State, and local authorities of the source and market areas for crime guns, and other regional patterns. This information enables ATF to target criminal and regulatory resources, and assist Federal, State, and local law enforcement officials to develop national, regional, and local strategic responses to gun crime. ATF is uniquely qualified to conduct such analysis because it is the repository for crime gun traces and related information from all jurisdictions that trace crime guns.

Ballistics identification in relation to crime gun tracing. Many agencies are now using both crime gun tracing and ballistics identification to support firearm investigations. An expended cartridge or bullet may be recovered in addition to or in the absence of a crime gun. Once entered in an imaging database, the recovered cartridge or bullet can be matched to previously entered ballistics images to identify repeat uses of the same firearm. Currently, ballistics images also can provide the basis for a crime gun trace only if the firearm with which they are associated has been previously traced and a cartridge or bullet from that firearm entered into a local database of the National Integrated Ballistics Information Network. Ballistics Imaging technology does not automatically submit the crime gun to be traced through the National Tracing Center. In the future, expansion of the crime gun tracing system to include trace information derived from ballistics images as well as recovered firearms will allow additional firearms crimes to be solved and a more complete understanding of how violent offenders and prohibited persons illegally obtain firearms.

2 — General Findings

2–1 Introduction

This chapter presents seven sections of analysis of crime gun information submitted by participating jurisdictions. It contains tables and figures that describe: *first*, characteristics of crime gun possessors; *second*, the relationship between crime gun purchasers and crime gun possessors; *third*, the types of crime guns possessed, by type, caliber, manufacturer, and model; *fourth*, the relationships between possessor's age, weapon type, and the speed with which crime guns move from first retail sale to criminal use and recovery by law enforcement; *fifth*, the geographic sources of traced firearms; *sixth*, the number of crime guns with obliterated serial numbers; and *seventh*, information about multiple sales and crime guns.

Following the Gun to the Criminal and the Criminal Supplier. This section of the report provides an overview of key crime gun patterns, based on the collection and analysis of thousands of traces, to assist law enforcement officials at the Federal, State, and local levels in assessing the local crime gun problem and deciding how best to deploy limited criminal and regulatory enforcement resources against gun criminals.

National Findings. These general findings are based on 64,637 crime gun trace requests from the 32 jurisdictions participating in the Youth Crime Gun Interdiction Initiative that have a population of 250,000 inhabitants or more. These jurisdictions comprise 48 percent of the 67 U.S. jurisdictions with a population over 250,000; the population of these 32 jurisdictions is more than two-thirds of the 47 million persons living in U.S. cities having over 250,000 inhabitants. While not yet meeting the program's long-term goal of complete national geographic coverage, this sample provides a reasonable basis for national analyses of crime gun trace information. To give perspective on the national findings, variations among cities are highlighted throughout.

Presentation by Possessor Age Group. To show age differences in crime gun information, this report puts the 64,637 trace requests into three age groups—*juveniles* (ages 17 & under), *youth* (ages18-24), and *adults* (ages 25 & older). The total for all age groups is also included, and some of the analyses also provide information about the trace requests for which age is unknown.

Annual Reports. For the first time, ATF is presenting these findings on a calendar year basis. This comprehensive crime gun trace information from a large number of jurisdictions complements the Federal Bureau of Investigation (FBI) *Uniform Crime Reports*, the *National Crime Victimization Survey* of the Bureau of Justice Statistics, ATF's reporting on firearms commerce and firearms investigations,[3] and other efforts to improve understanding of violent crime in the United States.

[3] *Following the Gun: Enforcing Federal Laws Against Firearms Traffickers*, Department of the Treasury, Bureau of Alcohol, Tobacco and Firearms, June 2000; *Commerce in Firearms in the United States (1999)*, Department of the Treasury, Bureau of Alcohol, Tobacco and Firearms, February 2000.

2–2 Age of Possessors

Possessor Age Information. Information on the age of the crime gun possessor was included in 40,730 (63 percent) of the 64,637 trace requests received from participating jurisdictions.

Ages 18 to 20. As displayed in *Figure 1*, the single most frequent age of crime gun possessors was 19, followed closely by ages 20 and 18. There was a significant increase in the number of traces from 131 at age 13 to 2,204 at age 19. Each year, more than 14,000 crime guns are recovered from individuals between the ages of 18 and 24, the peak years for being a crime gun possessor. The number of crime gun trace requests drops steadily from 1,699 at age 24 to 895 for possessors at age 30, and at the age of 50, there were only 298 trace requests.[4]

Juvenile, Youth, and Adult Crime Guns. As presented in *Table 1*, among the trace requests for which the possessor's age was known, adult possession accounted for almost 57 percent of the trace requests, youth possession accounted for 34 percent, and the juvenile category accounted for over 9 percent.

City Variations. The age distribution of crime gun possessors can vary considerably from the national averages across cities. In certain cities, firearms were recovered predominantly from adults. For example, adults comprised 82 percent of gun possessors in *San Jose, CA*; 72 percent of the gun possessors in *Miami, FL;* 71 percent of the gun possessors in *Houston, TX;* and 70 percent of the gun possessors in *Cleveland, OH* and *Phoenix, AZ.* In other cities, firearms were most frequently recovered from youth. Youth comprised 48 percent of the gun possessors in *Jersey City, NJ*; 47 percent of the gun possessors in *Washington, DC* and *Charlotte-Mecklenburg, NC*; and 46 percent of the gun possessors in *Boston, MA.*

Juvenile and Youth Crime Guns Remain a Problem. The FBI's *Supplemental Homicide Reports* show that gun homicides committed by juveniles and youth have declined 41 percent, from 11,657 in 1993 to 6,863 in 1998. They remain a significant problem, however, accounting for 57 percent of all gun homicides in 1998 for which the age of the offender is known. Juveniles alone accounted for 12 percent of these homicides in 1998.[5]

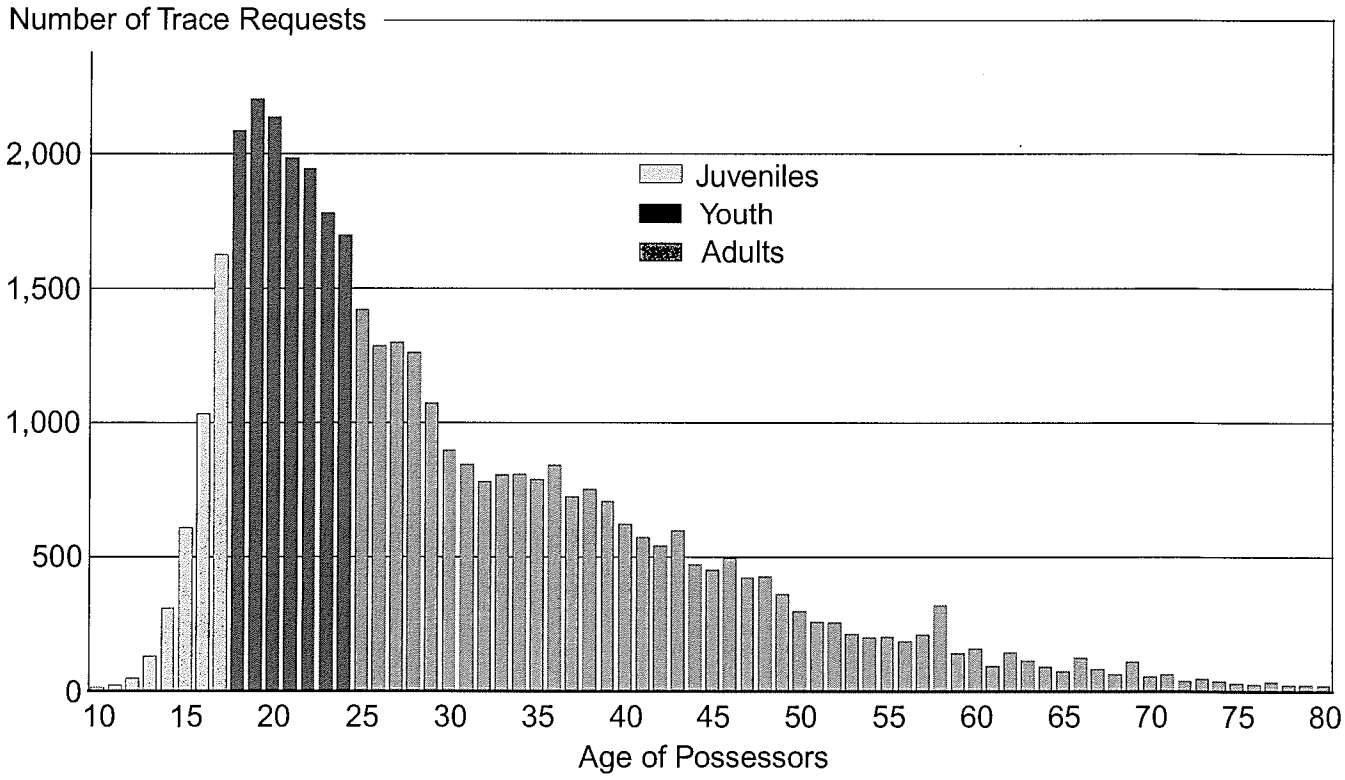
Parallel with Violent Crime Data. While ATF crime gun tracing is not complete, crime gun information closely parallels data gathered on violent crime from other sources. In 1998, according to the FBI's *Uniform Crime Reports*, for those offenders where an age is known, individuals 18 years of age were arrested more frequently than persons of any other age for murder, forcible rape, robbery, and aggravated assault. Individuals 19 years of age were the next most likely to be arrested for murder, rape, and aggravated assault, and individuals 20 years of age were ranked third for murder and aggravated assault. Individuals ages 18 to 20 accounted for 30 percent of all persons arrested for murder, 14 percent for forcible rape, 22 percent for robbery, and 12 percent for aggravated assault.[6]

[4] For a detailed listing of the number of trace requests by age, see Appendix B, Technical Note 6.

[5] James A. Fox and Marianne W. Zawitz, *Homicide Trends in the U.S.*, Bureau of Justice Statistics, February 1, 2000, pg 87.

[6] FBI *Uniform Crime Reports 1998*, Table 38, p. 220.

Figure 1: Age of Crime Gun Possessor



This graph is based on 40,635 trace requests that indicate the possessor's age.
Possessors younger than 10 and older than 80 are not included in this graph.

Table 1: Age Group of Crime Gun Possessor

Trace Requests for which Possessor's Age can be Determined		40,730	100.0%
Crime Gun Trace Requests with:			
Juvenile Possessor	(Ages 17 & Under)	3,790	9.3%
Youth Possessor	(Ages 18-24)	13,838	34.0%
Adult Possessor	(Ages 25 & Older)	23,102	56.7%

2–3 When the Crime Gun Purchaser Is the Crime Gun Possessor

Most Crime Guns Are Not Possessed by Their First Purchasers. In about 89 percent (19,196 of 21,594) of the trace requests where the crime gun possessor and the purchaser are known, they are not the same individuals. There is little variation by firearm type. This shows the importance of a full investigation of the chain of possession of crime guns.

Transfers of a Firearm beyond the Initial Purchase by a Retail Customer Usually Cannot Be Followed to the Criminal Possessor Using Serial Numbers and Transfer Documentation Alone. Federal law does not require unlicensed sellers to perform Brady background checks or maintain transfer records for tracing, and firearm owners are not required to keep a record of the serial number of their firearms or to report lost or stolen firearms. Therefore, it is generally impossible for a National Tracing Center (NTC) crime gun trace alone to identify purchasers beyond the initial retail purchaser. If a crime gun is not recovered from its original purchaser, it has been transferred at least once in the secondary market, that is, by someone other than an FFL. These transfers may be lawful or unlawful. The crime gun may have been transferred by a straw purchaser; re-sold by an unlicensed seller or as a used gun by an FFL; borrowed, traded, or given as a gift; stolen by its criminal possessor; or stolen and trafficked, among other possibilities.

Investigative Methods for Tracking the Chain of Transfers from Retail Sale to the Crime Gun Possessor. *FFL reporting to the NTC.* ATF, in 2000, began requiring certain FFLs who failed to cooperate with crime gun traces as well as those with 10 or more crime gun traces with a time-to-crime of 3 years or less, to report certain firearms transaction information to the NTC to permit crime gun tracing. *State documentation.* States may impose additional firearm transfer documentation requirements that law enforcement agencies may use to trace firearms purchased in-State. *Investigative tracing.* For traces of crime guns recovered from juveniles and traces involving certain crimes, ATF agents, often working with State and local law enforcement officials in YCGII cities, will follow the gun through the chain of possession to an illegal supplier by performing an investigative trace. Investigative tracing uses interviews and other investigative techniques to track the gun through the entire chain of transfers to the criminal possessor. Investigative tracing is a resource-intensive investigative method that is not practicable for all gun crimes.

2–4 Firearm Type, Caliber, Manufacturer, and Model

Trace Request Information. Trace requests are required to include the *type, caliber, manufacturer,* and *serial number* of the crime gun because this information is necessary to trace a firearm from manufacturer and wholesale distributor to the point of sale. Information about the particular *model* of the firearm is not required but is provided consistently in some jurisdictions and is proving useful. (See Appendix C, ATF Firearm Trace Request Form.)

Classification in this Report. Generally, crime guns described in this report are classified by the different kinds of information provided on the ATF trace form. For some of the tables and figures in this report, firearms are placed into two basic groups: *handguns* and *long guns*. Handguns include *semiautomatic pistols, revolvers*, and *derringers*. Long guns include *shotguns* and *rifles*. All other firearms are accounted for in an "*Other*" category.

Patterns in Types of Crime Guns. Classifying crime guns by type, caliber, manufacturer, and model allows law enforcement to differentiate among firearms. When large numbers of trace requests are analyzed, the patterns in crime gun types emerge. With more comprehensive information, more complete analysis is possible. In this report, different patterns are highlighted by focusing separately on type, caliber, manufacturer, and model.

Targeting Criminals, Protecting Officer Safety. Detailed information about crime guns enables law enforcement to target criminal and regulatory resources on the sources of those crime guns. As criminals shift illegal sources, law enforcement officials can target the new sources, and deter and make more difficult criminal acquisition. Knowledge of what crime guns criminals are using is also an important consideration for State and local law enforcement in assessing potential departmental safety measures.

Firearm Type

Handguns, Especially Semiautomatic Pistols. As displayed in *Figure 2* and *Table 2*, traced crime guns are largely handguns (77 percent) and, among handguns, largely semiautomatic pistols, which alone account for half (50 percent) of all crime guns traced.

Juveniles and Youth with Handguns, Adults with More Long Guns. The dominance of handguns and semiautomatic pistols is especially present among juveniles and youth. Semiautomatic pistols are more prevalent among juveniles (57 percent) and youth (60 percent) than among adults (47 percent). A substantial portion of firearm traces, 21 percent, involves a shotgun or a rifle, but juveniles or youth infrequently possess these long guns. Adults are nearly twice as likely (24 percent) as juveniles (13 percent) to possess a recovered long gun.

Unknown Age Group Resembles Adults. When the age of the crime gun possessor is unknown, the distribution of firearm types among trace requests is similar to the distribution among crime guns recovered from adults; semiautomatic pistols are the most common crime gun but a substantial proportion of long guns is also found.

City Variations. The distribution of semiautomatic pistols, revolvers, shotguns, and rifles among adult, youth, and juvenile possessors was remarkably stable across participating cities, but there were some important differences in a few cities.

- For example, 97 percent of the firearms submitted for tracing by the *Atlanta, GA* Police Department were handguns. Semiautomatic pistols were clearly the weapon of choice in Atlanta; 79 percent of youth recoveries, 72 percent of juvenile recoveries, and 69 percent of adult recoveries in Atlanta were semiautomatic pistols.
- Trace requests in *Phoenix, AZ* and *Philadelphia, PA* also revealed a high percentage of semiautomatic pistol recoveries across all age groups.
- In some cites, there were higher percentages of semiautomatic pistol recoveries in only one age group. For example, 67 percent of guns recovered from youth in *Milwaukee, WI* and 61 percent of guns recovered from youth in *Portland, OR* were semiautomatic pistols.
- Revolvers were the most frequently recovered firearms from juveniles in *Houston, TX* (40 percent) and in *Tampa, FL* (47 percent).
- Long guns were also more frequently recovered from youth and juveniles in *San Jose, CA; Houston, TX;* and *San Antonio, TX* when compared with participating cities overall.

Figure 2: Major Gun Types by Age Group of Possessor

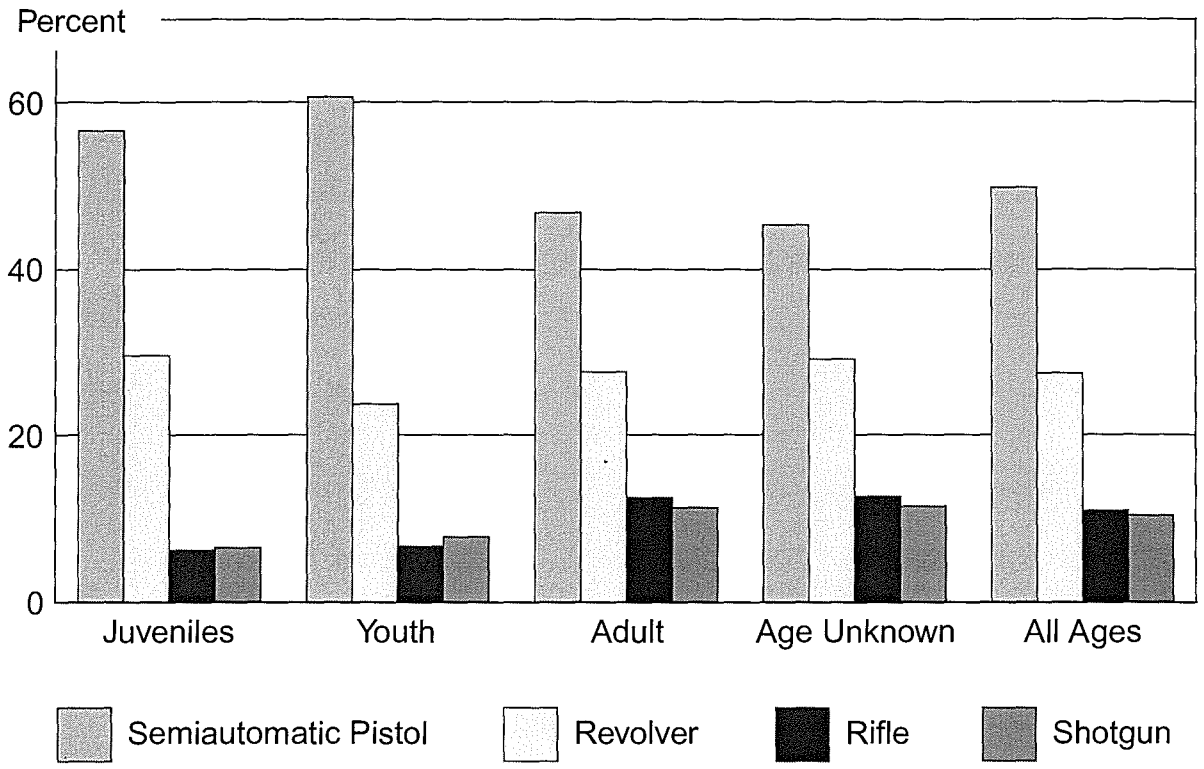


Table 2: Firearm Type by Age Group of Possessor

Firearm Type	Juveniles (ages 17 & under)		Youth (ages 18-24)		Adult (ages 25 & over)		Age Unknown		All Ages	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
All Firearm Types	3,790	100.0	13,838	100.0	23,102	100.0	23,907	100.0	64,637	100.0
Semiautomatic Pistol	2,149	56.7	8,351	60.3	10,777	46.6	10,814	45.2	32,091	49.6
Revolver	1,119	29.5	3,296	23.8	6,385	27.6	6,941	29.0	17,741	27.4
Rifle	231	6.1	938	6.8	2,902	12.6	3,023	12.6	7,094	11.0
Shotgun	246	6.5	1,092	7.9	2,626	11.4	2,764	11.6	6,728	10.4
Other	45	1.2	161	1.2	412	1.8	365	1.5	983	1.5

Type and Caliber/Gauge of Firearms

Most Frequently Traced Handguns and Long Guns by Type and Caliber. *Table 3* and *Figure 3* rank handgun types and calibers for which the most trace requests were submitted for individual age groups and all ages combined. *Table 4* and *Figure 4* rank long gun types and calibers by the most frequent to the tenth most frequent for all age groups.

Four Main Handguns. When crime guns are described by type and caliber, they are notably concentrated. As shown in *Table 3*, four handgun types and calibers accounted for 62 percent of all handgun trace requests:

- 9mm semiautomatic pistols
- .38 caliber revolvers
- .380 caliber semiautomatic pistols
- .25 caliber semiautomatic pistols

Youth and 9mm Semiautomatic Pistols. While the 9mm semiautomatic pistol is the most frequent handgun type among all age groups (23 percent), this is especially so among youth, where this one handgun type accounted for 28 percent of all trace requests.

Table 3: Top Ten Handguns by Type and Caliber and by Age Group of Possessor

Handgun Type and Caliber		**Juvenile** (ages 17 & under) Number	Percent
Semiautomatic Pistol	9mm	629	19.0
Semiautomatic Pistol	.380	528	16.0
Semiautomatic Pistol	.25	483	14.6
Revolver	.38	457	13.8
Revolver	.22	272	8.2
Semiautomatic Pistol	.22	216	6.5
Revolver	.32	186	5.6
Revolver	.357	151	4.6
Semiautomatic Pistol	.45	112	3.4
Semiautomatic Pistol	.32	92	2.8
All Handguns		3,308	100.0

Handgun Type and Caliber		**Youth** (ages 18-24) Number	Percent
Semiautomatic Pistol	9mm	3,260	27.6
Semiautomatic Pistol	.380	1,780	15.1
Revolver	.38	1,499	12.7
Semiautomatic Pistol	.25	1,124	9.5
Semiautomatic Pistol	.45	771	6.5
Revolver	.357	713	6.0
Revolver	.22	575	4.9
Semiautomatic Pistol	.22	532	4.5
Semiautomatic Pistol	.40	477	4.0
Semiautomatic Pistol	.32	316	2.7
All Handguns		11,791	100.0

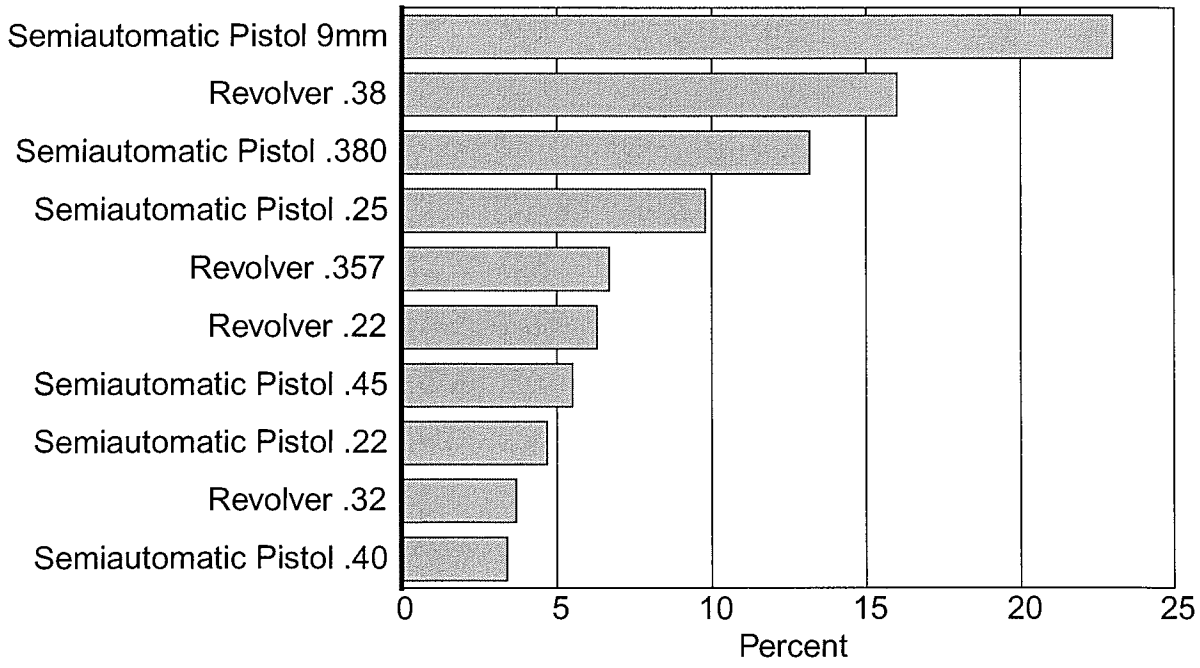
Handgun Type and Caliber		**Adult** (ages 25 & over) Number	Percent
Semiautomatic Pistol	9mm	3,976	22.7
Revolver	.38	2,903	16.6
Semiautomatic Pistol	.380	2,212	12.6
Semiautomatic Pistol	.25	1,570	9.0
Revolver	.357	1,334	7.6
Revolver	.22	1,076	6.1
Semiautomatic Pistol	.45	983	5.6
Semiautomatic Pistol	.22	739	4.2
Semiautomatic Pistol	.32	631	3.6
Semiautomatic Pistol	.40	625	3.6
All Handguns		17,526	100.0

Handgun Type and Caliber		**Age Unknown** Number	Percent
Semiautomatic Pistol	9mm	3,815	21.2
Revolver	.38	3,249	18.0
Semiautomatic Pistol	.380	2,164	12.0
Semiautomatic Pistol	.25	1,764	9.8
Revolver	.22	1,289	7.2
Revolver	.357	1,213	6.7
Semiautomatic Pistol	.45	904	5.0
Semiautomatic Pistol	.22	876	4.9
Revolver	.32	745	4.1
Semiautomatic Pistol	.40	545	3.0
All Handguns		18,024	100.0

Table 3: Top Ten Handguns by Type and Caliber and by Age Group of Possessor (Continued)

Handgun Type and Caliber		All Ages	
		Number	Percent
Semiautomatic Pistol	9mm	11,680	23.0
Revolver	.38	8,108	16.0
Semiautomatic Pistol	.380	6,684	13.2
Semiautomatic Pistol	.25	4,941	9.8
Revolver	.357	3,411	6.7
Revolver	.22	3,212	6.3
Semiautomatic Pistol	.45	2,770	5.5
Semiautomatic Pistol	.22	2,363	4.7
Revolver	.32	1,878	3.7
Semiautomatic Pistol	.40	1,699	3.4
All Handguns		50,676	100.0

Figure 3: Top Ten Handguns by Type and Caliber for All Ages



Type and Caliber/Gauge of Firearms (Continued)

Two Main Long Guns. As shown in *Table 4* and *Figure 4*, there is even greater concentration among long guns recovered as crime guns than among handguns. Two long gun types, the 12 gauge shotgun and the .22 caliber rifle, accounted for 12 percent of all trace requests and more than 57 percent of all long gun trace requests.

Juveniles and Youth. The concentration of the 12 gauge shotgun and .22 caliber rifle is greater within the juvenile (66 percent) and youth (61 percent) age groups than among adults (56 percent).

Table 4: Top Ten Long Guns by Type and Caliber/Gauge by Age Group of Possessor

Long Gun Type and Caliber/Gauge		**Juvenile** (ages 17 & under) Number	Percent
Shotgun	12 GA	187	39.2
Rifle	.22	129	27.0
Shotgun	20 GA	39	8.2
Rifle	7.62mm	28	5.9
Shotgun	.410 GA	14	2.9
Rifle	9mm	10	2.1
Rifle	.223	7	1.5
Rifle	.30-30	7	1.5
Rifle	.30	7	1.5
Shotgun	16 GA	6	1.3
All Long Guns		477	100.0

Long Gun Type and Caliber/Gauge		**Youth** (ages 18-24) Number	Percent
Shotgun	12 GA	856	42.2
Rifle	.22	374	18.4
Rifle	7.62mm	262	12.9
Shotgun	20 GA	143	7.0
Rifle	9mm	72	3.5
Rifle	.223	55	2.7
Shotgun	.410 GA	51	2.5
Rifle	.30-30	45	2.2
Rifle	.30	35	1.7
Shotgun	16 GA	32	1.6
All Long Guns		2,030	100.0

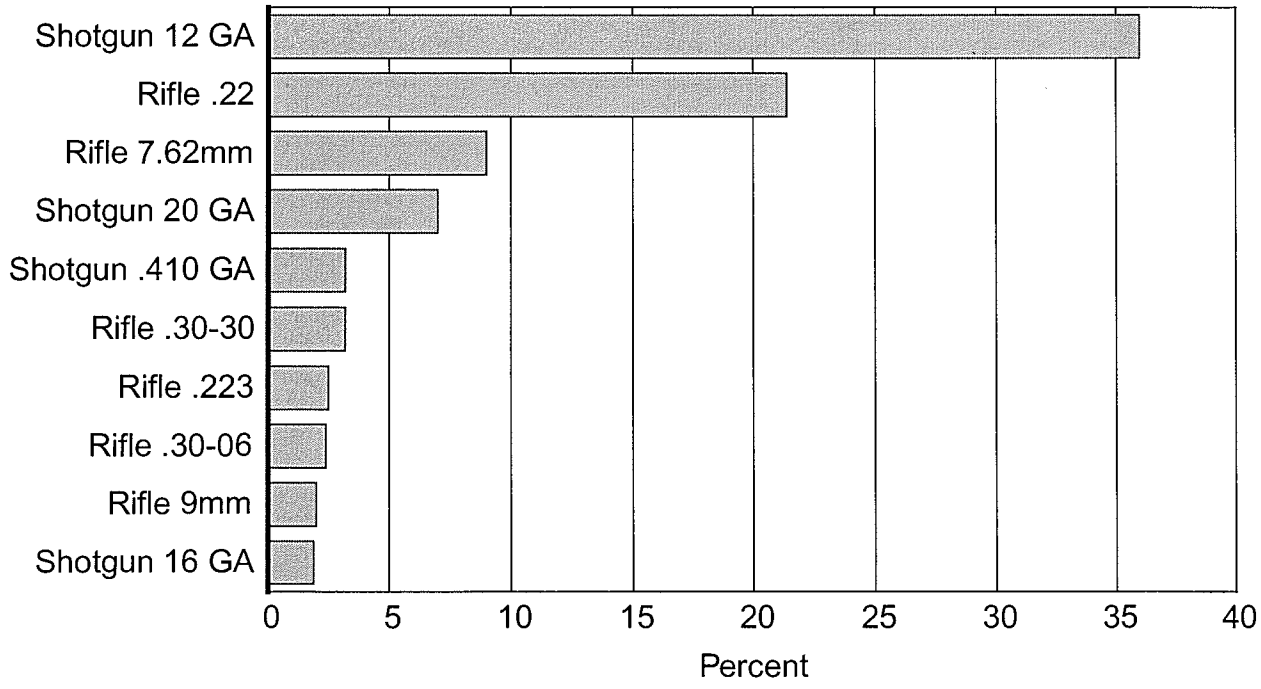
Long Gun Type and Caliber/Gauge		**Adult** (ages 25 & over) Number	Percent
Shotgun	12 GA	1,938	35.1
Rifle	.22	1,128	20.4
Rifle	7.62mm	468	8.5
Shotgun	20 GA	367	6.6
Rifle	.30-30	207	3.7
Shotgun	.410 GA	181	3.3
Rifle	.30-06	161	2.9
Rifle	.223	138	2.5
Shotgun	16 GA	111	2.0
Rifle	.30	106	1.9
All Long Guns		5,528	100.0

Long Gun Type and Caliber/Gauge		**Age Unknown** Number	Percent
Shotgun	12 GA	2,000	34.6
Rifle	.22	1,330	23.0
Rifle	7.62mm	486	8.4
Shotgun	20 GA	413	7.1
Shotgun	.410 GA	202	3.5
Rifle	.30-30	185	3.2
Rifle	.223	139	2.4
Rifle	.30-06	138	2.4
Shotgun	16 GA	120	2.1
Rifle	.30	104	1.8
All Long Guns		5,787	100.0

Table 4: Top Ten Long Guns by Type and Caliber/Gauge by Age Group of Possessor (Continued)

Long Gun Type and Caliber/Gauge		All Ages	
		Number	Percent
Shotgun	12 GA	4,981	36.0
Rifle	.22	2,961	21.4
Rifle	7.62mm	1,244	9.0
Shotgun	20 GA	962	7.0
Shotgun	.410 GA	448	3.2
Rifle	.30-30	444	3.2
Rifle	.223	339	2.5
Rifle	.30-06	327	2.4
Rifle	9mm	279	2.0
Shotgun	16 GA	269	1.9
All Long Guns		13,822	100.0

Figure 4: Top Ten Long Guns by Type and Caliber/Gauge for All Ages



Manufacturer, Caliber/Gauge, and Type of Firearms

Most Frequently Traced Firearms, Handguns, and Long Guns. *Table 5* ranks frequently traced *firearms* by manufacturer, caliber/gauge, and type for each age group. *Table 6* ranks revolvers and semiautomatic pistols for all age groups by the frequency with which they occur in firearm trace requests and *Table 7* ranks shotguns and rifles.

Crime Guns Concentrated. Ten firearms by manufacturer, caliber, and type accounted for 24 percent (15,211) of all trace requests (64,637). Over 1,500 different firearms and 87 calibers accounted for the remaining crime guns (49,426).

Most Frequently Traced Crime Guns. Smith & Wesson .38 revolvers (2,968 trace requests) top the list for *all age groups combined* and ranked in the top three crime guns traced in each age group. Among *juveniles* and *youth*, the Lorcin Engineering .380 semiautomatic pistol was the firearm most frequently traced. Among *adults* and *all age groups combined*, this same firearm is the second most frequently listed. The only long gun in the top 10 traced firearms among *all age groups combined* was the Mossberg 12 gauge shotgun (1,287 trace requests). Among *adults*, the Marlin .22 caliber rifle ranked ninth (370 trace requests).

Table 5: Top Ten Crime Guns by Manufacturer, Caliber/Gauge, and Type by Age Group of Possessor

Juvenile (ages 17 & under)

Manufacturer	Caliber/Gauge	Type of Crime Gun	Number of Crime Guns	Percent of Crime Guns
Lorcin Engineering	.380	Semiautomatic Pistol	165	4.4
Smith & Wesson	.38	Revolver	160	4.2
Raven Arms	.25	Semiautomatic Pistol	138	3.6
Davis Industries	.380	Semiautomatic Pistol	92	2.4
Bryco Arms	.380	Semiautomatic Pistol	90	2.4
Bryco Arms	9mm	Semiautomatic Pistol	87	2.3
Lorcin Engineering	.25	Semiautomatic Pistol	79	2.1
Smith & Wesson	9mm	Semiautomatic Pistol	67	1.8
Ruger	9mm	Semiautomatic Pistol	64	1.7
Lorcin Engineering	9mm	Semiautomatic Pistol	57	1.5

Table 5: Top Ten Crime Guns by Manufacturer, Caliber/Gauge, and Type by Age Group of Possessor (Continued)

Youth (ages 18-24)

Manufacturer	Caliber/Gauge	Type of Crime Gun	Number of Crime Guns	Percent of Crime Guns
Lorcin Engineering	.380	Semiautomatic Pistol	541	3.9
Ruger	9mm	Semiautomatic Pistol	520	3.8
Smith & Wesson	.38	Revolver	504	3.6
Smith & Wesson	9mm	Semiautomatic Pistol	349	2.5
Bryco Arms	9mm	Semiautomatic Pistol	329	2.4
Bryco Arms	.380	Semiautomatic Pistol	321	2.3
Davis Industries	.380	Semiautomatic Pistol	318	2.3
Raven Arms	.25	Semiautomatic Pistol	303	2.2
Smith & Wesson	.357	Revolver	270	2.0
Mossberg	12GA	Shotgun	255	1.8

Adult (ages 25 & over)

Manufacturer	Caliber/Gauge	Type of Crime Gun	Number of Crime Guns	Percent of Crime Guns
Smith & Wesson	.38	Revolver	1,007	4.4
Lorcin Engineering	.380	Semiautomatic Pistol	619	2.7
Ruger	9mm	Semiautomatic Pistol	573	2.5
Smith & Wesson	.357	Revolver	508	2.2
Mossberg	12GA	Shotgun	499	2.2
Smith & Wesson	9mm	Semiautomatic Pistol	498	2.2
Raven Arms	.25	Semiautomatic Pistol	465	2.0
Taurus	.38	Revolver	406	1.8
Marlin	.22	Rifle	370	1.6
Rossi	.38	Revolver	368	1.6

All Ages

Manufacturer	Caliber/Gauge	Type of Crime Gun	Number of Crime Guns	Percent of Crime Guns
Smith & Wesson	.38	Revolver	2,968	4.6
Lorcin Engineering	.380	Semiautomatic Pistol	1,911	3.0
Ruger	9mm	Semiautomatic Pistol	1,636	2.5
Raven Arms	.25	Semiautomatic Pistol	1,394	2.2
Smith & Wesson	9mm	Semiautomatic Pistol	1,376	2.1
Smith & Wesson	.357	Revolver	1,335	2.1
Mossberg	12GA	Shotgun	1,287	2.0
Bryco Arms	.380	Semiautomatic Pistol	1,134	1.8
Davis Industries	.380	Semiautomatic Pistol	1,107	1.7
Bryco Arms	9mm	Semiautomatic Pistol	1,063	1.6

Manufacturer, Caliber/Gauge, and Type of Firearms (Continued)

City Variations. The top 10 firearms were well represented among the most frequently recovered firearms in all participating cities, but the specific mix of firearms in a particular city could differ from the national top 10 crime guns. Local law enforcement agencies should be aware that manufacturers and calibers of firearms not listed in the overall top 10 crime guns may comprise an important part of the local illegal gun market for a particular age group within their city. Three firearms were not represented in the overall top 10 recovered crime guns for any age group, but were frequently recovered crime guns in many jurisdictions:

- the North China Industries 7.62mm rifle, a firearm frequently recovered from adults, youth, and/or juveniles in 12 cities (*Birmingham, AL; Charlotte-Mecklenburg, NC; Dallas, TX; Detroit, MI; Gary, IN; Jersey City,NJ; New Orleans, LA; Portland, OR; Tucson, AZ; Richmond, VA; San Antonio, TX;* and *St. Louis, MO*);
- the Glock G.m.b.H. 9mm semiautomatic pistol, a firearm frequently recovered from adults, youth, and/or juveniles in 10 cities (*Boston, MA; Bridgeport, CT; Denver/Aurora, CO; Gary, IN; Los Angeles, CA; Louisville, KY; Las Vegas, NV; Miami, FL; Philadelphia, PA;* and *Phoenix, AZ*); and
- the Hi-Point 9mm semiautomatic pistol, a firearm frequently recovered from adults, youth, and/or juveniles in seven cities (*Atlanta, GA; Baltimore, MD; Cincinnati, OH; Cleveland, OH; Philadelphia, PA; Tampa, FL;* and *Tucson, AZ*).

Most Frequently Traced Handguns. As shown in *Table 6*, 10 handguns by manufacturer, type, and caliber accounted for 29 percent (14,918) of handgun trace requests (50,676). Three handguns manufactured by Smith & Wesson, the .38 caliber and .357 caliber revolvers and the 9mm semiautomatic pistol, ranked in the top 10 most frequently traced handguns. Two handguns manufactured by Bryco Arms, the .380 caliber and the 9mm semiautomatic pistol, are also included in the top 10 most frequently traced handguns.[7]

Most Frequently Traced Long Guns. As shown in *Table 7*, 10 long guns accounted for 45 percent (6,240) of all long gun trace requests (13,822). Among all age groups, the Mossberg 12 gauge shotgun represented 9 percent of long gun trace requests. The imported North China Industries 7.62mm rifle constituted 6 percent (873) of all long gun trace requests, the third most frequent trace requests for long guns among all age groups.

[7] See Section 4-4 for a discussion of manufacturer ranking when the specific model of firearm is considered, in contrast to a ranking of firearms by *manufacturer and caliber*, as here.

Manufacturer, Caliber/Gauge, and Type of Firearms (Continued)

Table 6: Top Ten Handguns by Manufacturer, Caliber, and Type

Handguns				
Manufacturer	Caliber	Type of Crime Gun	Number of Crime Guns	Percent of Crime Guns
Smith & Wesson	.38	Revolver	2,968	5.9
Lorcin Engineering	.380	Semiautomatic Pistol	1,911	3.8
Ruger	9mm	Semiautomatic Pistol	1,636	3.2
Raven Arms	.25	Semiautomatic Pistol	1,394	2.8
Smith & Wesson	9mm	Semiautomatic Pistol	1,376	2.7
Smith & Wesson	.357	Revolver	1,335	2.6
Bryco Arms	.380	Semiautomatic Pistol	1,134	2.2
Davis Industries	.380	Semiautomatic Pistol	1,107	2.2
Bryco Arms	9mm	Semiautomatic Pistol	1,063	2.1
Taurus	.38	Revolver	994	2.0
All Handguns			50,676	100.0

Table 7: Top Ten Long Guns by Manufacturer, Caliber/Gauge, and Type

Long Guns				
Manufacturer	Caliber/Gauge	Type of Crime Gun	Number of Crime Guns	Percent of Crime Guns
Mossberg	12 GA	Shotgun	1,287	9.3
Marlin	.22	Rifle	907	6.6
North China Industries	7.62mm	Rifle	873	6.3
Remington Arms	12 GA	Shotgun	705	5.1
Winchester	12 GA	Shotgun	639	4.6
Savage	12 GA	Shotgun	448	3.2
Remington Arms	.22	Rifle	396	2.9
Ruger	.22	Rifle	360	2.6
Winchester	.22	Rifle	338	2.4
Maverick Arms	12 GA	Shotgun	287	2.1
All Long Guns			13,822	100.0

Manufacturer, Model, Caliber/Gauge, and Type of Firearms

New Specificity. Information on the specific models of crime guns is being provided for the first time this year. *Tables 8a and 8b* specify traced handguns and long guns by manufacturer's model, based on data from nine cities where traces reported the model at least 75 percent of the time: *Atlanta, GA; Charlotte-Mecklenburg, NC; Gary, IN; Jersey City, NJ; Miami, FL; New Orleans, LA; Omaha, NE; Richmond, VA;* and *Seattle, WA.*

Significance of Model Information. Manufacturer and caliber information focus law enforcement on the major types of crime guns. Model information allows law enforcement to identify crime guns with greater specificity. Manufacturers that have been in business for many years have produced numerous models of firearms in certain frequently traced calibers. Other manufacturers are more recently established, out of business, and/or have manufactured only a few models. Therefore, when crime gun information is available by manufacturer only, the role of some models of crime gun may not be apparent. When model information is available, the placement of particular manufacturers' firearms on the list of most frequently traced firearms can change substantially.

Handgun Models. As shown in *Table 8a*, the most frequently traced handgun model overall and in each possessor age group is the Lorcin Engineering L380 .380 caliber semiautomatic pistol. The second most frequently traced handgun is the Lorcin Engineering L9 9mm semiautomatic pistol. By contrast, while the Smith & Wesson .38 caliber revolver was the most frequently traced firearm by manufacturer and caliber (*Table 5*), no single model appears with comparable frequency. When model information is included, the Ruger 9mm semiautomatic pistol that appeared in third place on *Table 5* is shown to be two different weapons, the Model P95 and the Model P89, among the most frequently traced handgun models. Raven Arms .25 caliber semiautomatic pistols, among the top 10 crime guns by manufacturer and caliber (*Table 5*), include the Model MP25, the fourth most frequently traced model. Bryco Arms .380 caliber and 9mm semiautomatic pistols appeared on the top 10 lists for juveniles and youths (*Table 5*); by model, the Model 9, Model 38, and Model 48 were among the top 10 youth crime guns, with the latter also a most frequently traced crime gun among juveniles and overall. Among youth, nine of the top 10 crime guns are 9mm or .380 caliber, with the exception of the Smith & Wesson Sigma .40 caliber semiautomatic pistol. By model, an addition to the top 10 for all age groups is the Hi-Point C 9mm semiautomatic pistol.

Table 8a: Top Ten Handguns by Manufacturer, Model, Caliber, and Type by Age Group of Possessor, for Selected Cities

Juvenile (ages 17 & under)

Manufacturer	Model	Caliber	Type	Number	Percent of Guns
Lorcin Engineering	L380	.380	Semiautomatic Pistol	23	7.0
Raven Arms	MP25	.25	Semiautomatic Pistol	11	3.4
Davis Industries	P380	.380	Semiautomatic Pistol	9	2.8
Lorcin Engineering	L25	.25	Semiautomatic Pistol	7	2.1
Charter Arms	Undercover	.38	Revolver	6	1.8
Lorcin Engineering	L9	9mm	Semiautomatic Pistol	6	1.8
Smith & Wesson	36	.38	Revolver	6	1.8
Bryco Arms	48	.380	Semiautomatic Pistol	5	1.5
Bryco Arms	9	9mm	Semiautomatic Pistol	5	1.5
Hi-Point	C	9mm	Semiautomatic Pistol	5	1.5
Total with Model Information				327	100.0

Table 8a: Top Ten Handguns by Manufacturer, Model, Caliber, and Type by Age Group of Possessor, for Selected Cities (Continued)

Youth (ages 18-24)

Manufacturer	Model	Caliber	Type	Number	Percent of Guns
Lorcin Engineering	L380	.380	Semiautomatic Pistol	96	5.4
Lorcin Engineering	L9	9mm	Semiautomatic Pistol	65	3.7
Ruger	P95	9mm	Semiautomatic Pistol	49	2.8
Davis Industries	P380	.380	Semiautomatic Pistol	36	2.0
Hi-Point	C	9mm	Semiautomatic Pistol	34	1.9
Ruger	P89	9mm	Semiautomatic Pistol	33	1.9
Bryco Arms	9	9mm	Semiautomatic Pistol	29	1.6
Bryco Arms	48	.380	Semiautomatic Pistol	28	1.6
Bryco Arms	38	.380	Semiautomatic Pistol	27	1.5
Smith & Wesson	Sigma	.40	Semiautomatic Pistol	26	1.5
Total with Model Information				1,775	100.0

Adult (ages 25 & over)

Manufacturer	Model	Caliber	Type	Number	Percent of Guns
Lorcin Engineering	L380	.380	Semiautomatic Pistol	142	5.0
Ruger	P89	9mm	Semiautomatic Pistol	74	2.6
Raven Arms	MP25	.25	Semiautomatic Pistol	62	2.2
Lorcin Engineering	L9	9mm	Semiautomatic Pistol	59	2.1
Davis Industries	P380	.380	Semiautomatic Pistol	48	1.7
Ruger	P95	9mm	Semiautomatic Pistol	41	1.4
Taurus	85	.38	Revolver	37	1.3
Rossi	M68	.38	Revolver	33	1.2
Hi-Point	C	9mm	Semiautomatic Pistol	32	1.1
Glock G.m.b.H.	22	.40	Semiautomatic Pistol	31	1.1
Total with Model Information				2,854	100.0

All Ages

Manufacturer	Model	Caliber	Type	Number	Percent of Guns
Lorcin Engineering	L380	.380	Semiautomatic Pistol	411	5.1
Lorcin Engineering	L9	9mm	Semiautomatic Pistol	199	2.5
Ruger	P89	9mm	Semiautomatic Pistol	167	2.1
Raven Arms	MP25	.25	Semiautomatic Pistol	158	1.9
Davis Industries	P380	.380	Semiautomatic Pistol	153	1.9
Ruger	P95	9mm	Semiautomatic Pistol	128	1.6
Hi-Point	C	9mm	Semiautomatic Pistol	105	1.3
Bryco Arms	48	.380	Semiautomatic Pistol	98	1.2
Taurus	85	.38	Revolver	93	1.1
Lorcin Engineering	L25	.25	Semiautomatic Pistol	90	1.1
Total with Model Information				8,106	100.0

Long Gun Models. As shown in *Table 8b*, consistent with manufacturer information shown in *Table 7*, the Marlin 60 .22 caliber rifle was the most frequently traced long gun for adults, followed by the Mossberg 500 12 gauge shotgun. Also included on the adult list was the Colt AR15 .223 caliber rifle. Among *youth*, the North China Industries SKS 7.62mm rifle led the list, followed by the Mossberg 500 12 gauge shotgun, and the very similar Maverick Arms 88 12 gauge shotgun. Also on the list: the Remington 870 12 gauge shotgun; the North China Industries MAK90 rifle and SKS 7.62mm rifle; and the Hi-Point 995 9mm rifle.

Officer Safety. ATF is providing officer safety information relating to crime guns for the first time this year in order to assist State and local law enforcement managers in assessing potential departmental safety measures. *Table 8b* shows that for all age groups, the North China Industries Model SKS 7.62mm caliber rifle is the rifle model most frequently encountered by law enforcement officers. The North China Industries Model MAK90 7.62mm caliber rifle is also encountered in significant numbers, and the Colt Model AR15 .223 caliber rifle is among the long guns most frequently recovered from adult possessors.[8] These rifles, as well as most other rifles, will pose an enhanced threat to law enforcement, in part, because of their ability to expel projectiles at velocities that are capable of penetrating the type of soft body armor typically worn by the average police officer.

Table 8b: Top Ten Long Guns by Manufacturer, Model, Caliber/Gauge, and Type by Age Group of Possessor, for Selected Cities

Juvenile (ages 17 & under)

Manufacturer	Model	Caliber/Gauge	Type	Number	Percent of Guns
North China Industries	SKS	7.62mm	Rifle	8	19.5
Ruger	10/22	.22	Rifle	5	12.2
Mossberg	500	12 GA	Shotgun	4	9.8
Ithaca Gun Company	37	12 GA	Shotgun	2	4.9
Total with Model Information				327	100.0

[8] The North China Industries model SKS 7.62 has been barred from importation into the United States since May 1994 when the President banned the importation of munitions from China. Letter to Secretary of the Treasury Lloyd M. Bentsen from Secretary of State Warren Christopher, May 28, 1994.

The Colt AR-15 is a semiautomatic assault weapon as defined in the Gun Control Act of 1968. 18 U.S.C. 921(a)(30). It is generally unlawful to possess or transfer these firearms. 18 U.S.C. 922(v)(1). This prohibition, however, does not apply to any AR-15 that was lawfully possessed on or before Sept. 13, 1994. 18 U.S.C. 921(v)(2).

The North China Industries MAK90 has been barred from importation since May 1994 when the President banned the importation of munitions from China. In addition, in 1998, it was determined that this firearm was not generally recognized as particularly suitable for sporting purposes and, therefore, could not be legally imported into the United States. 18 U.S.C. 925(d)(3). *Department of the Treasury Study on the Sporting Suitability of Modified Semiautomatic Assault Weapons*, April 1998, Department of the Treasury.

Table 8b: Top Ten Long Guns by Manufacturer, Model, Caliber/Gauge, and Type by Age Group of Possessor, for Selected Cities (Continued)

Youth (ages 18-24)

Manufacturer	Model	Caliber/Gauge	Type	Number	Percent of Guns
North China Industries	SKS	7.62mm	Rifle	33	13.3
Mossberg	500	12 GA	Shotgun	28	11.3
Maverick Arms	88	12 GA	Shotgun	15	6.0
Remington Arms	870	12 GA	Shotgun	13	5.2
North China Industries	MAK90	7.62mm	Rifle	11	4.4
Hi-Point	995	9mm	Rifle	10	4.0
Winchester	1300	12 GA	Shotgun	6	2.4
Marlin	60	.22	Rifle	4	1.6
Ruger	10/22	.22	Rifle	4	1.6
Universal Firearms	M1	.30	Rifle	4	1.6
Total with Model Information				248	100.0

Adult (ages 25 & over)

Manufacturer	Model	Caliber/Gauge	Type	Number	Percent of Guns
Marlin	60	.22	Rifle	33	6.2
Mossberg	500	12 GA	Shotgun	32	6.0
Remington Arms	870	12 GA	Shotgun	22	4.1
North China Industries	SKS	7.62mm	Rifle	18	3.4
Ruger	10/22	.22	Rifle	12	2.2
Hi-Point	995	9mm	Rifle	11	2.1
Winchester	94	.30-30	Rifle	11	2.1
Maverick Arms	88	12 GA	Shotgun	10	1.9
Colt	AR15	.223	Rifle	9	1.7
North China Industries	MAK90	7.62mm	Rifle	9	1.7
Total with Model Information				536	100.0

All Ages

Manufacturer	Model	Caliber/Gauge	Type	Number	Percent of Guns
Mossberg	500	12 GA	Shotgun	105	6.5
North China Industries	SKS	7.62mm	Rifle	97	6.0
Remington Arms	870	12 GA	Shotgun	68	4.2
Marlin	60	.22	Rifle	66	4.1
Maverick Arms	88	12 GA	Shotgun	49	3.0
Ruger	10/22	.22	Rifle	41	2.5
Hi-Point	995	9mm	Rifle	34	2.1
North China Industries	MAK90	7.62mm	Rifle	31	1.9
Winchester	1300	12 GA	Shotgun	29	1.8
Winchester	94	.30-30	Rifle	20	1.2
Total with Model Information				1,609	100.0

2-5 Time-to-Crime

Time-to-Crime. An important consideration in understanding firearms trafficking is the length of time from a firearm's first retail sale by a Federal firearm licensee (FFL) to its recovery by law enforcement as a crime gun. A short time-to-crime can be an indicator of illegal firearms trafficking. Focusing on these firearms alone can produce significant trafficking trends and patterns. Investigating crime guns with short time-to-crime allows law enforcement to seek out sources of crime guns and disrupt the flow of illegal firearms trafficking.

Limitation on Time-to-Crime Information for Used Crime Guns. Since an NTC trace generally extends only to the first retail purchaser, a trace of a gun sold used by an unlicensed seller or FFL usually will not show a fast time-to-crime, even if it was recovered by law enforcement shortly after its most recent transfer. Therefore, the time-to-crime measure as an indicator of trafficking is clearest when applied to guns sold new by FFLs.

Percentage of Traces with Time-to-Crime. To compute time-to-crime, both the date the firearm was recovered and the date it was purchased from a retail FFL must be known. Sufficient information to compute a time-to-crime was provided for 50 percent (32,573) of the crime gun traces (64,637). These traces are analyzed in this section.

Reporting Median Time-to-Crime. Throughout this report, the average time-to-crime for specific guns, for age groups, and for other sets of traces is reported by the median. The median is the actual time-to-crime value of the middle gun in a group when all of the guns in that group have been sorted in order by time-to-crime. The median is a particularly useful measure of central tendency when a variable has a small subset of cases with extreme values; such as the case with time-to-crime.

Many New Crime Guns. The illegal market in guns involves new guns, used guns, and stolen guns. *Figure 5* displays the cumulative percent of crime guns by years since purchase, and shows that nearly a third (32 percent, 10,275) of recovered crime guns for which a time-to-crime could be computed (32,597) had been purchased for the first time within 3 years of their recovery. Since these crime guns were all recovered in 1999, nearly one-third of the crime guns with known time-to-crime entered firearm commerce in 1996 or later.

Many Very Short Time-to-Crime Guns. Crime guns with very short time-to-crime represent a priority for further investigation, as the original transaction may have involved illegal diversion that is continuing. As shown in *Figure 6*, about 15 percent (4,791) of the crime guns recovered in 1999 for which a time-to-crime could be computed had a time-to-crime of 12 months or less. Another 9 percent (2,930) of the recovered crime guns had a time-to-crime of over 1 year and up to 2 years.[9]

Relatively Short Time-to-Crime for All Crime Guns. As shown in *Figure 5*, half of the crime guns recovered in 1999 had a time-to-crime of 5.7 years or less.[10] This is a relatively short period of time. Gun owners surveyed in 1994 indicated that they had owned their firearm an average of 13 years.[11]

[9] The exact numbers and percents for *Figures 5 and 6* can be found in Appendix B, Technical Note 7. Additional time-to-crime estimates are included in Appendix B, Technical Note 8.

[10] Calculation of time-to-crime in years is based on an initial calculation of the number of days between purchase date and recovery date. Days-to-crime is converted to years by dividing by 365.25, and rounded to one decimal point.

[11] Phillip J. Cook and Jens Ludwig, *Guns in America*, Police Foundation 1997.

Figure 5: Cumulative Percentage of Traced Crime Guns by Time-to-Crime

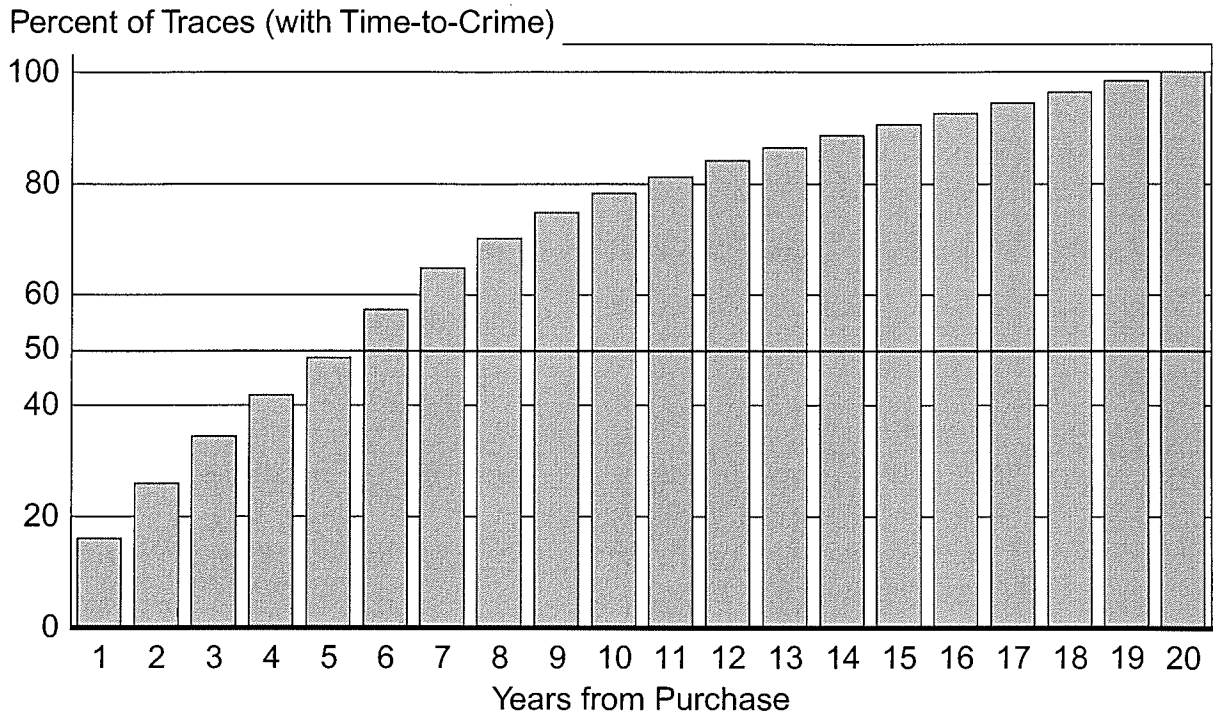
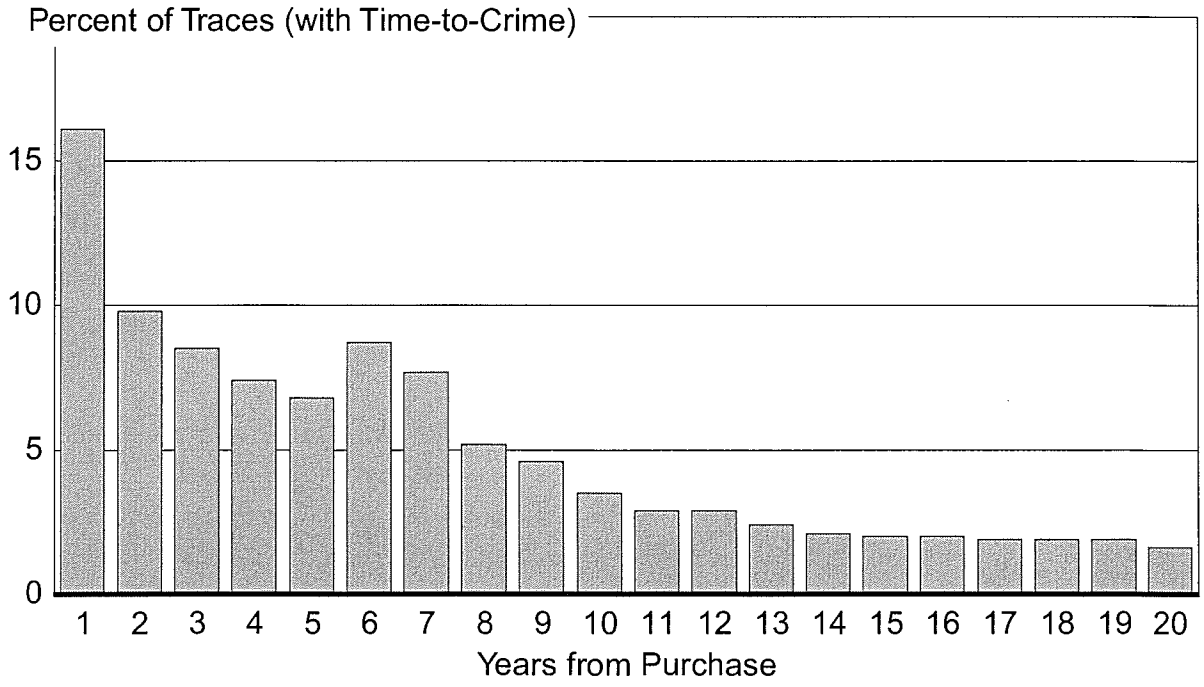


Figure 6: Percentage of Traced Crime Guns by Time-to-Crime



Time-to-Crime by Firearm Type and Age Group of Possessor

Variation by Firearm Type and Age Group. Time-to-crime varies with the type of firearm and the age of the possessor.

Semiautomatic Pistols in Contrast to Revolvers. As shown in *Table 9* and *Figure 7*, while the median time-to-crime for semiautomatic pistols (21,095) is 4.3 years, for revolvers (7,912) the median time-to-crime is 11.7 years.

Juvenile, Youth, and Adult Crime Guns Contrasted. As shown in *Table 9*, the median time-to-crime for crime guns possessed by *youth* is 4.8 years, a year and a half shorter than for crime guns possessed by *juveniles* (6.3 years), and a little less than a year shorter than for *adults* (5.6 years).

Juveniles. As shown in *Table 9* and *Figure 8*, juveniles tend to possess firearms that have a long time-to-crime. Their median time-to-crime is the longest of all age groups, and this is true if the firearm in their possession is a semiautomatic pistol, a revolver, or a rifle. Revolvers recovered by law enforcement from juveniles have a median time-to-crime of more than 15 years. An exception to the pattern is that the small number of shotguns and "Other" firearms possessed by juveniles have a shorter time-to-crime than other age groups.

Shortest and Longest Time-to-Crime Guns. As shown in *Table 9*, semiautomatic pistols recovered from youth have the shortest median time-to-crime, 3.6 years (5,620 traces). Thus, half of the semiautomatic pistols recovered from youth in 1999 were sold in 1995 or later. The longest median time-to-crime is observed for revolvers possessed by juveniles, 15.3 years (433 traces). Time-to-crime information alone cannot determine whether these recovered semiautomatic pistols were obtained through illegal diversion or purchased new from FFLs by youth crime gun possessors. This is the type of question that law enforcement officials must further investigate. Since nearly 89 percent of all traced crime guns changed hands at least once before recovery by law enforcement, it can be assumed that illegal diversion plays a significant role in youth crime gun acquisition.

City variations. The median time-to-crime for recovered crime guns varied across the YCGII cities. Certain cities had a median time-to-crime that was notably shorter than the YCGII city average of 5.7 years. These cities included *Gary, IN* (2.9 years); *Atlanta, GA* (3.2 years); *Portland, OR* (3.2 years); *St. Louis, MO* (3.2 years); and *Milwaukee, WI* (3.6 years). Other cities had a median time-to-crime that was much longer than the YCGII city average. These cities included *New York, NY* (7.2 years); *Oakland, CA* (7.3 years); *Boston, MA* (7.6 years); *Jersey City, NJ* (7.8 years); and *San Jose, CA* (8.9 years).

Table 9: Median Time-to-Crime in Years by Firearm Type and Age Group of Possessor

Type of Weapon	Juvenile (Ages 17 & Under)	Youth (Ages 18-24)	Adult (Ages 25 & Older)	Age Unknown	All Ages
Semiautomatic Pistol	5.2	3.6	4.3	4.8	4.3
Revolver	15.3	11.6	10.6	12.4	11.7
Rifle	8.6	5.7	7.1	7.9	7.0
Shotgun	6.0	5.8	7.6	8.0	7.1
Other	5.1	7.4	6.0	7.0	6.3
Total	6.3	4.8	5.6	6.1	5.7

Figure 7: Median Time-to-Crime by Firearm Type

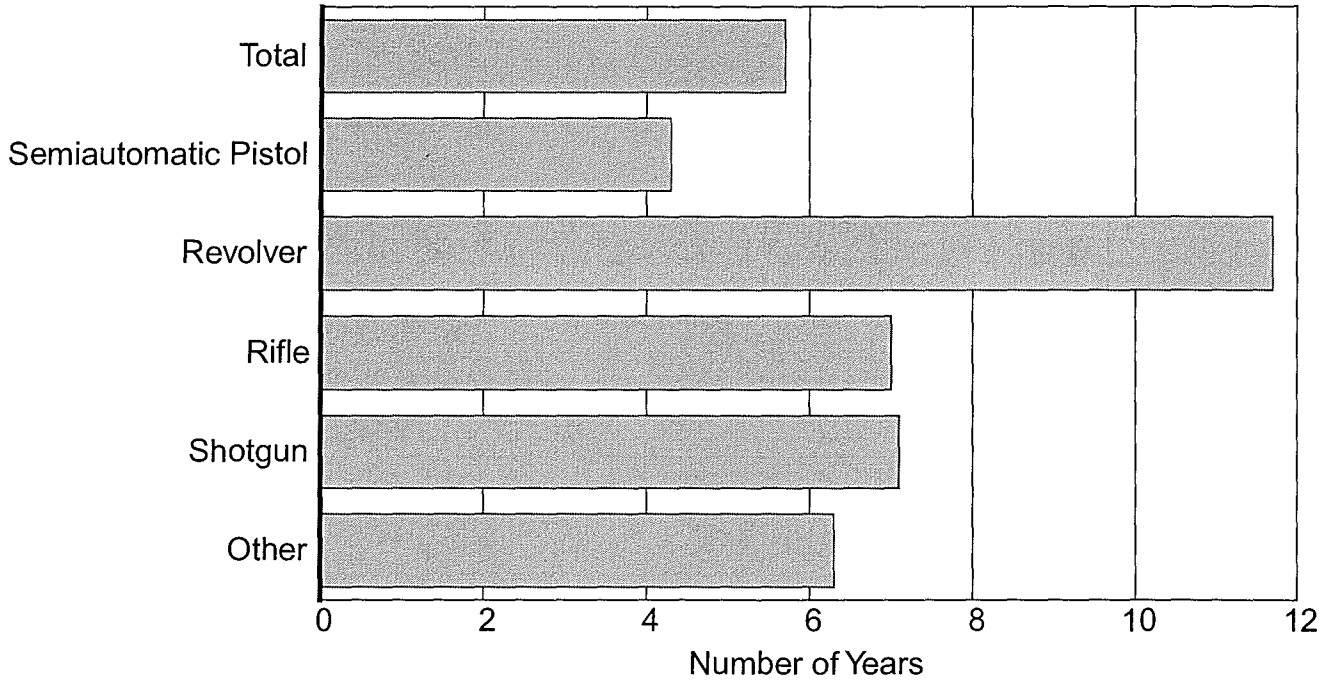
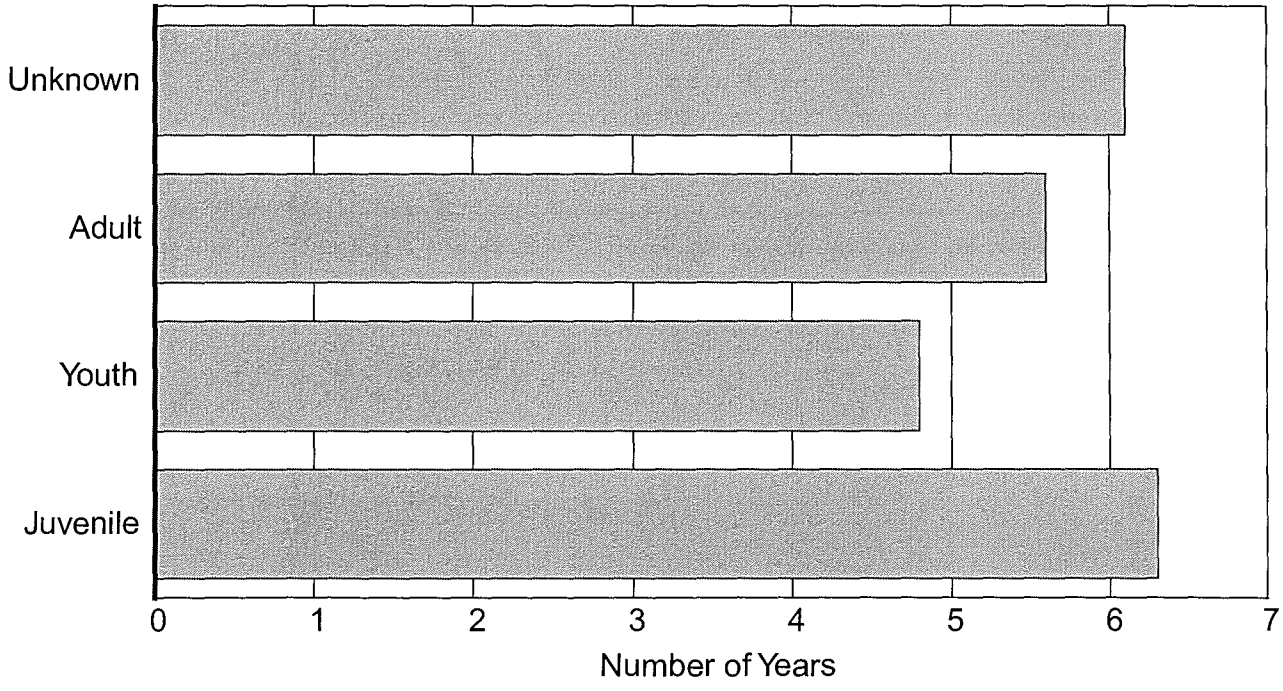


Figure 8: Median Time-to-Crime by Age Group of Possessor



Top Ten Crime Guns by Manufacturer, Caliber, Type, and Time-to-Crime

Time-to-Crime Varies Significantly Among Crime Guns. As shown in *Table 10*, there are significant differences in time-to-crime among crime guns classified by manufacturer.

Short Time-to-Crime Guns. As shown in *Table 10*, Bryco Arms 9mm semiautomatic pistols had the fastest median time-to-crime for all ages combined, just over 1.5 years, and 68 percent (526 of 770) had a time-to-crime of 3 years or less; the shortest time-to-crime was 0 days. Bryco Arms .380 caliber semiautomatic pistols had a slightly longer time-to-crime of 2.5 years; 54 percent (499 of 917) of these crime guns had a time-to-crime of 3 years or less. Other firearms with relatively fast median time-to-crime include the Ruger 9mm semiautomatic pistol, median time-to-crime of nearly 3 years; and the Lorcin Engineering .380 semiautomatic pistol, median time-to-crime of 3.5 years.

Longer Time-to-Crime Guns. As shown in *Table 10*, the Smith & Wesson .38 caliber revolver had a median time-to-crime of just over 13 years; only 10 percent of the Smith and Wesson .38 caliber revolvers had a median time-to-crime of 3 years or less. The Smith & Wesson .357 caliber revolver had a median time-to-crime of just over 12 years, and the Smith & Wesson 9mm semiautomatic pistol had a median time-to-crime of just over 4.5 years. Only 2 percent of the Raven Arms .25 caliber semiautomatic pistols had a median time-to-crime of 3 years or less. In the case of this firearm, long time-to-crime can be correlated to its production history; Raven Arms stopped manufacturing firearms in 1991.[12] Therefore, many of these firearms were likely to have been re-sold as used by FFLs and/or transferred by unlicensed persons.

Long Gun Time-to-Crime. As shown in *Table 10*, the Mossberg 12 gauge shotgun, the only long gun among the most frequently traced firearms, had a median time-to-crime of 5.5 years; 32 percent of these guns had a time-to-crime of 3 years or less.

Table 10: Time-to-Crime for Top Ten Crime Guns by Age Group of Possessor

Juvenile (ages 17 & under)			Number of Crime Guns		Median Time-to-Crime in	Time-to-Crime of 3 Years or less		Fastest Case (in
Manufacturer	Caliber	Type of Crime Gun	All	With Time-to-Crime*	Years	Number	Percent**	days)***
Lorcin Engineering	.380	Semiautomatic Pistol	165	118	3.5	50	42.4	1
Smith & Wesson	.38	Revolver	160	47	15.3	3	6.4	231
Raven Arms	.25	Semiautomatic Pistol	138	110	12.1	5	4.5	31
Davis Industries	.380	Semiautomatic Pistol	92	75	6.0	11	14.7	59
Bryco Arms	.380	Semiautomatic Pistol	90	69	2.8	38	55.1	2
Bryco Arms	9mm	Semiautomatic Pistol	87	63	1.6	41	65.1	5
Lorcin Engineering	.25	Semiautomatic Pistol	79	53	6.2	16	30.2	9
Smith & Wesson	9mm	Semiautomatic Pistol	67	42	6.1	13	31.0	71
Ruger	9mm	Semiautomatic Pistol	64	41	4.0	14	34.1	7
Lorcin Engineering	9mm	Semiautomatic Pistol	57	43	1.6	31	72.1	12

* Time-to-crime can only be calculated when a trace is completed and a recovery date is submitted.

** The denominator used to calculate this result is the total number of trace requests where a time-to-crime was established.

*** A time-to-crime of 0 days indicates the recovery of a firearm during or immediately following a sale from a Federal firearms licensee.

[12] Fjestad, S. P., *Blue Book of Gun Values, 2000.* 21st ed. p. 1011. Minneapolis, MN: Bluebook Publications.

Table 10: Time-to-Crime for Top Ten Crime Guns by Age Group of Possessor (Continued)

Youth (ages 18-24)

Manufacturer	Caliber	Type of Crime Gun	Number of Crime Guns: All	Number of Crime Guns: With Time-to-Crime*	Median Time-to-Crime in Years	Time-to-Crime of 3 Years or less: Number	Time-to-Crime of 3 Years or less: Percent**	Fastest Case (in days)***
Lorcin Engineering	.380	Semiautomatic Pistol	541	430	3.6	186	43.3	3
Ruger	9mm	Semiautomatic Pistol	520	393	2.2	234	59.5	1
Smith & Wesson	.38	Revolver	504	168	13.1	16	9.5	38
Smith & Wesson	9mm	Semiautomatic Pistol	349	237	4.3	92	38.8	1
Bryco Arms	9mm	Semiautomatic Pistol	329	234	1.2	167	71.4	2
Bryco Arms	.380	Semiautomatic Pistol	321	255	2.0	148	58.0	0
Davis Industries	.380	Semiautomatic Pistol	318	248	5.2	83	33.5	1
Raven Arms	.25	Semiautomatic Pistol	303	217	12.2	6	2.8	238
Smith & Wesson	.357	Revolver	270	145	13.4	17	11.7	9
Mossberg	12GA	Shotgun	255	172	4.3	71	41.3	0

Adult (ages 25 & over)

Manufacturer	Caliber	Type of Crime Gun	Number of Crime Guns: All	Number of Crime Guns: With Time-to-Crime*	Median Time-to-Crime in Years	Time-to-Crime of 3 Years or less: Number	Time-to-Crime of 3 Years or less: Percent**	Fastest Case (in days)***
Smith & Wesson	.38	Revolver	1,007	351	12.6	45	12.8	2
Lorcin Engineering	.380	Semiautomatic Pistol	619	526	3.7	224	42.6	0
Ruger	9mm	Semiautomatic Pistol	573	478	3.3	223	46.7	4
Smith & Wesson	.357	Revolver	508	326	11.9	52	16.0	6
Mossberg	12GA	Shotgun	499	327	5.9	84	25.7	13
Smith & Wesson	9mm	Semiautomatic Pistol	498	355	5.0	114	32.1	7
Raven Arms	.25	Semiautomatic Pistol	465	331	11.0	2	0.6	44
Taurus	.38	Revolver	406	266	6.0	74	27.8	2
Marlin	.22	Rifle	370	198	12.4	31	15.7	12
Rossi	.38	Revolver	368	251	6.2	62	24.7	21

All Ages

Manufacturer	Caliber	Type of Crime Gun	Number of Crime Guns: All	Number of Crime Guns: With Time-to-Crime*	Median Time-to-Crime in Years	Time-to-Crime of 3 Years or less: Number	Time-to-Crime of 3 Years or less: Percent**	Fastest Case (in days)***
Smith & Wesson	.38	Revolver	2,968	960	13.1	101	10.5	2
Lorcin Engineering	.380	Semiautomatic Pistol	1,911	1,522	3.5	667	43.8	0
Ruger	9mm	Semiautomatic Pistol	1,636	1,303	2.9	658	50.5	1
Raven Arms	.25	Semiautomatic Pistol	1,394	991	11.6	19	1.9	1
Smith & Wesson	9mm	Semiautomatic Pistol	1,376	942	4.6	324	34.4	1
Smith & Wesson	.357	Revolver	1,335	802	12.1	115	14.3	6
Mossberg	12GA	Shotgun	1,287	837	5.5	265	31.7	0
Bryco Arms	.380	Semiautomatic Pistol	1,134	917	2.5	499	54.4	0
Davis Industries	.380	Semiautomatic Pistol	1,107	876	5.6	232	26.5	0
Bryco Arms	9mm	Semiautomatic Pistol	1,063	770	1.6	526	68.3	0

* Time-to-crime can only be calculated when a trace is completed and a recovery date is submitted.

** The denominator used to calculate this result is the total number of trace requests where a time-to-crime was established.

*** A time-to-crime of 0 days indicates the recovery of a firearm during or immediately following a sale from a Federal firearms licensee.

Manufacturer, Model, Caliber/Gauge, Type of Firearms, and Time-to-Crime

Limited Model Information. *Table 11a* shows time-to-crime for the most frequently traced firearms by specific model. Traces are analyzed from nine cities: *Atlanta, GA; Charlotte-Mecklenburg, NC; Gary, IN; Jersey City, NJ; Miami, FL; New Orleans, LA; Omaha, NE; Richmond, VA;* and *Seattle, WA.* Models vary greatly in their time-to-crime.

Short Time-to-Crime Youth Handgun Models. Youth crime guns are heavily concentrated in the medium and high caliber semiautomatic pistols with relatively short time-to-crime. As shown in *Table 11a*, 7 of the 10 most frequently traced youth crime gun models have a median time-to-crime of less than 2 years. These short time-to-crime gun models are overwhelmingly 9mm and .380 caliber semiautomatic pistols, including the Lorcin Engineering L9 (0.6 year), the Ruger P95 (1.1 years), the Hi-Point C (0.8 year), the Bryco Arms 9 (0.5 year), the Bryco Arms 48 (0.5 year), and the Bryco Arms 38 (1.5 years). In addition, the more powerful Smith & Wesson Sigma .40 caliber semiautomatic has an extremely fast median time-to-crime of 0.8 years. Due to their short time-to-crime, many of these guns that were seized from a youth who did not purchase them have the potential to provide valuable trafficking leads.

Mixed Time-to-Crime for Adult Handgun Models. As shown in *Table 11a*, the most frequently traced adult crime guns are a more varied mix of firearms with typically a longer median time-to-crime. The Lorcin Engineering L9 (1 year), the Ruger P95 (1 year), and the Hi-Point C (1.2 years) have a time-to-crime of less than 2 years. The other medium caliber semiautomatic pistols, including the Ruger P89 (3.9 years), the Lorcin Engineering L380 (3.1 years), and the Davis Industries P380 (5.8 years) all have a longer time-to-crime. The list also includes the Raven Arms MP25 with a 10.9 year median time-to-crime, and the Taurus 85 and Rossi M68 with a median time-to-crime of 6.4 and 3.6 years, respectively. The Glock G.m.b.H. 22 has a significantly longer time-to-crime (2.9 years) than its counterpart on the youth list, the Smith & Wesson Sigma (0.8 years).

Mixed Time-to-Crime for Juvenile Handgun Models. Juveniles resemble adults more than youths in the models of handgun that they possess, but juvenile crime guns tended to have a longer time-to-crime than adult crime guns. As shown in *Table 11a*, the most frequently traced juvenile crime guns included fewer medium caliber, short time-to-crime semiautomatic pistols than the youth list, and included more small caliber weapons, and more revolvers with a longer time-to-crime. Several of the medium caliber semiautomatic pistols, including the Lorcin Engineering L380, (3.1 years) and the Lorcin Engineering L9 (1.5 years) have a median time-to-crime that is longer than in the youth and adult categories. There are two .25 caliber semiautomatic pistols, the Raven Arms MP25 (8.6 years) and the Lorcin Engineering L25. (6.3 years). The list also contains a pair of .38 caliber revolvers, the Charter Arms Undercover (18.2 years) and the Smith & Wesson 36 (16.6 years). Those with a shorter median time-to-crime, the Bryco Arms 9 semiautomatic pistol (0.2 year), the Bryco Arms 48, (1.1 years) and the Hi-Point C semiautomatic pistol (2.2 years), also tend to have a short time-to-crime in other age categories.

Time-to-Crime Among Long Gun Models. As shown in *Table 11b*, the long gun models for adults with the shortest median time-to-crime and, therefore, greatest investigative potential are the Hi-Point 995 rifle and the Maverick 88 shotgun, 1.2 and 2.0 years time-to-crime, respectively. Adults and youth are similar in their involvement with long guns, though youth long guns have somewhat shorter time-to-crime. Among the shortest time-to-crime youth models, the Winchester 1300 shotgun had a median time-to-crime of 0.2 years, and the Mossberg 500 shotgun had a median time-to-crime of 3.9 years. Long gun models most frequently recovered from adults or youth include rifles that are primarily sporting designs, the Marlin 60, the Ruger 10/22, and the Winchester 94, with a median time-to-crime of greater than 10 years.

Table 11a: Top Ten Handguns by Manufacturer, Model, Caliber, and Type by Age Group of Possessor with Median Time-to-Crime, for Selected Cities

Juvenile (ages 17 & under)

Manufacturer	Model	Caliber	Type	Median	Number
Lorcin Engineering	L380	.380	Semiautomatic Pistol	3.1	23
Raven Arms	MP25	.25	Semiautomatic Pistol	8.6	11
Davis Industries	P380	.380	Semiautomatic Pistol	6.4	9
Lorcin Engineering	L25	.25	Semiautomatic Pistol	6.3	7
Charter Arms	Undercover	.380	Revolver	18.2	6
Lorcin Engineering	L9	9mm	Semiautomatic Pistol	1.5	6
Smith & Wesson	36	.38	Revolver	16.6	6
Bryco Arms	48	.380	Semiautomatic Pistol	1.1	5
Bryco Arms	9	9mm	Semiautomatic Pistol	0.2	5
Hi-Point	C	9mm	Semiautomatic Pistol	2.2	5

Youth (ages 18-24)

Manufacturer	Model	Caliber	Type	Median	Number
Lorcin Engineering	L380	.380	Semiautomatic Pistol	2.6	96
Lorcin Engineering	L9	9mm	Semiautomatic Pistol	0.6	65
Ruger	P95	9mm	Semiautomatic Pistol	1.1	49
Davis Industries	P380	.380	Semiautomatic Pistol	6.0	36
Hi-Point	C	9mm	Semiautomatic Pistol	0.8	34
Ruger	P89	9mm	Semiautomatic Pistol	4.4	33
Bryco Arms	9	9mm	Semiautomatic Pistol	0.5	29
Bryco Arms	48	.380	Semiautomatic Pistol	0.5	28
Bryco Arms	38	.380	Semiautomatic Pistol	1.5	27
Smith & Wesson	Sigma	.40	Semiautomatic Pistol	0.8	26

Adult (ages 25 & over)

Manufacturer	Model	Caliber	Type	Median	Number
Lorcin Engineering	L380	.380	Semiautomatic Pistol	3.1	142
Ruger	P89	9mm	Semiautomatic Pistol	3.9	74
Raven Arms	MP25	.25	Semiautomatic Pistol	10.9	62
Lorcin Engineering	L9	9mm	Semiautomatic Pistol	1.0	59
Davis Industries	P380	.380	Semiautomatic Pistol	5.8	48
Ruger	P95	9mm	Semiautomatic Pistol	1.0	41
Taurus	85	.38	Revolver	6.4	37
Rossi	M68	.38	Revolver	3.6	33
Hi-Point	C	9mm	Semiautomatic Pistol	1.2	32
Glock G.m.b.H.	22	.40	Semiautomatic Pistol	2.9	31

Table 11a: Top Ten Handguns by Manufacturer, Model, Caliber, and Type by Age Group of Possessor with Median Time-to-Crime, for Selected Cities (Continued)

All Ages					
Manufacturer	Model	Caliber	Type	Median	Number
Lorcin Engineering	L380	.380	Semiautomatic Pistol	3.0	411
Lorcin Engineering	L9	9mm	Semiautomatic Pistol	0.9	199
Ruger	P89	9mm	Semiautomatic Pistol	4.3	167
Raven Arms	MP25	.25	Semiautomatic Pistol	10.3	158
Davis Industries	P380	.380	Semiautomatic Pistol	5.8	153
Ruger	P95	9mm	Semiautomatic Pistol	1.0	128
Hi-Point	C	9mm	Semiautomatic Pistol	1.6	105
Bryco Arms	48	.380	Semiautomatic Pistol	0.9	98
Taurus	85	.38	Revolver	6.2	93
Lorcin Engineering	L25	.25	Semiautomatic Pistol	5.5	90

Table 11b: Top Ten Long Guns by Manufacturer, Model, Caliber/Gauge, and Type by Age Group of Possessor with Median Time-to-Crime, for Selected Cities

Juvenile (ages 17 & under)					
Manufacturer	Model	Caliber/Gauge	Type	Median	Number
North China Industries	SKS	7.62mm	Rifle	4.8	8
Ruger	10/22	.22	Rifle	2.3	5
Mossberg	500	12 GA	Shotgun	4.6	4

Youth (ages 18-24)					
Manufacturer	Model	Caliber/Gauge	Type	Median	Number
North China Industries	SKS	7.62mm	Rifle	5.1	33
Mossberg	500	12 GA	Shotgun	3.9	28
Maverick Arms	88	12 GA	Shotgun	1.3	15
Remington Arms	870	12 GA	Shotgun	6.6	13
North China Industries	MAK90	7.62mm	Rifle	4.7	11
Hi-Point	995	9mm	Rifle	0.9	10
Winchester	1300	12 GA	Shotgun	0.2	6
Marlin	60	.22	Rifle	4.5	4
Ruger	10/22	.22	Rifle	6.0	4

Table 11b: Top Ten Long Guns by Manufacturer, Model, Caliber/Gauge, and Type by Age Group of Possessor with Median Time-to-Crime, for Selected Cities (Continued)

Adult (ages 25 & over)

Manufacturer	Model	Caliber/Gauge	Type	Median	Number
Marlin	60	.22	Rifle	10.3	33
Mossberg	500	12 GA	Shotgun	8.4	32
Remington Arms	870	12 GA	Shotgun	5.8	22
North China Industries	SKS	7.62mm	Rifle	4.6	18
Ruger	10/22	.22	Rifle	11.5	12
Hi-Point	995	9mm	Rifle	1.2	11
Winchester	94	30-30	Rifle	17.1	11
Maverick Arms	88	12 GA	Shotgun	2.0	10
Colt	AR15	.223	Rifle	6.3	9
North China Industries	MAK90	7.62mm	Rifle	4.6	9

All Ages

Manufacturer	Model	Caliber/Gauge	Type	Median	Number
Mossberg	500	12 GA	Shotgun	5.0	105
North China Industries	SKS	7.62mm	Rifle	4.9	97
Remington Arms	870	12 GA	Shotgun	6.7	68
Marlin	60	.22	Rifle	9.5	66
Maverick Arms	88	12 GA	Shotgun	1.6	49
Ruger	10/22	.22	Rifle	10.8	41
Hi-Point	995	9mm	Rifle	1.0	34
North China Industries	MAK90	7.62mm	Rifle	5.1	31
Winchester	1300	12 GA	Shotgun	3.3	29
Winchester	94	30-30	Rifle	18.0	20

2–6 Geographic Sources of Traced Firearms

Most Crime Guns Originally Purchased from Local Federal Firearms Licensees. As shown in *Table 12*, about 62 percent of crime guns were first purchased from FFLs in the State in which the guns were recovered by law enforcement officials.

Differences Among Age Groups with Crime Gun Geographic Sources. As *Table 12* shows, while in-State crime guns predominated for all age groups, this is more so for adult crime gun possessors than for youth or juveniles.

Youth Crime Gun Geographic Sources. As shown in *Table 12*, more youth crime guns (40 percent) than adult crime guns (34 percent) were first purchased from out-of-State FFLs.

Many In-State Crime Guns Come from Nearby Counties. As shown in *Table 13*, the source FFLs were within the same counties as the recovery cities for over a quarter of the crime guns (26 percent), nearly 11 percent of source FFLs were in adjacent counties in the same State or a neighboring State (9 percent).

Juvenile Crime Gun Geographic Sources. Crime guns recovered from juveniles were more likely (46.8 percent) than guns recovered from youth or adults to come from out-of-State FFLs.

City Variations. Cities vary significantly in the geographic sources of crime guns.

- Six cities had 80 percent or more of their traceable crime guns first sold by FFLs in the State in which the city was located: *Birmingham, AL; Gary, IN; Houston, TX; Miami, FL; New Orleans, LA*; and *San Antonio, TX.*
- Four of these six cities (*Birmingham, AL; Gary, IN; Houston, TX;* and *Miami, FL*) had at least 40 percent of their in-State traceable crime guns originated from the county in which the recovery city was located. *Houston, TX* had the highest percentage of in-State crime guns originating from the same county (69 percent).
- For five cities, FFLs in the State where the city is located were the source of fewer than half of traced crime guns: *Boston, MA; Detroit, MI; Jersey City, NJ; Las Vegas, NV;* and *New York City, NY.*
- *Boston, MA; Jersey City, NJ; and New York City, NY* had a noteworthy number of guns originating both from within their respective States and from southern States such as Virginia, North Carolina, Georgia, and Florida.
- Many of the traceable crime guns recovered in *Detroit, MI* were first sold at FFLs in Michigan (47 percent); however, a noteworthy percentage of traceable crime guns were also first sold at FFLs in Ohio (12 percent).
- *Chicago, IL* is part of both regional and national patterns. Of guns recovered in *Chicago*, 9 percent were first sold by FFLs in the neighboring State of Indiana. Many guns originated with FFLs in the South, with Mississippi supplying 8 percent. FFLs in Kentucky, Florida, Alabama, and Arkansas supplied an additional 8 percent.
- *Las Vegas, NV* had a notable number of guns from California FFLs (23 percent). Under half (49 percent) of the firearms were purchased from FFLs in Nevada.
- As a result of strict regulations on the sale and possession of firearms in *Washington DC*, FFLs in Maryland and Virginia were the sources of 55 percent of the traceable crime guns recovered in Washington, DC.

Table 12: Intrastate and Interstate Sources of Crime Guns

Number	Juvenile (ages 17 & under)	Youth (ages 18-24)	Adult (ages 25 & over)	All Ages
In-State	1,199	5,422	9,808	24,504
Out-of-State	1,056	3,646	5,013	15,293
Total	2,255	9,068	14,821	39,797

Percent	Juvenile (ages 17 & under)	Youth (ages 18-24)	Adult (ages 25 & over)	All Ages
In-State	53.2	59.8	66.2	61.6
Out-of-State	46.8	40.2	33.8	38.4
Total	100.0	100.0	100.0	100.0

Table 13: County, State, and Interstate Sources of Crime Guns

Juvenile (ages 17 & under)

Source	Total	Percent
Within Same County	528	23.4
Adjoining County	145	6.4
Other County-Same State	526	23.3
Adjoining County-Other State	43	1.9
Other County-Other State	1,013	44.9
Total with Known Source	2,255	100.0

Adult (ages 25 & over)

Source	Total	Percent
Within Same County	4,245	28.6
Adjoining County	1,404	9.5
Other County-Same State	4,159	28.1
Adjoining County-Other State	238	1.6
Other County-Other State	4,775	32.2
Total with Known Source	14,821	100.0

Youth (ages 18-24)

Source	Total	Percent
Within Same County	2,421	26.7
Adjoining County	814	9.0
Other County-Same State	2,187	24.1
Adjoining County-Other State	148	1.6
Other County-Other State	3,498	38.6
Total with Known Source	9,068	100.0

All Ages

Source	Total	Percent
Within Same County	10,305	25.9
Adjoining County	3,561	8.9
Other County-Same State	10,638	26.7
Adjoining County-Other State	649	1.6
Other County-Other State	14,644	36.8
Total with Known Source	39,797	100.0

Regional and National Geographic Source Patterns

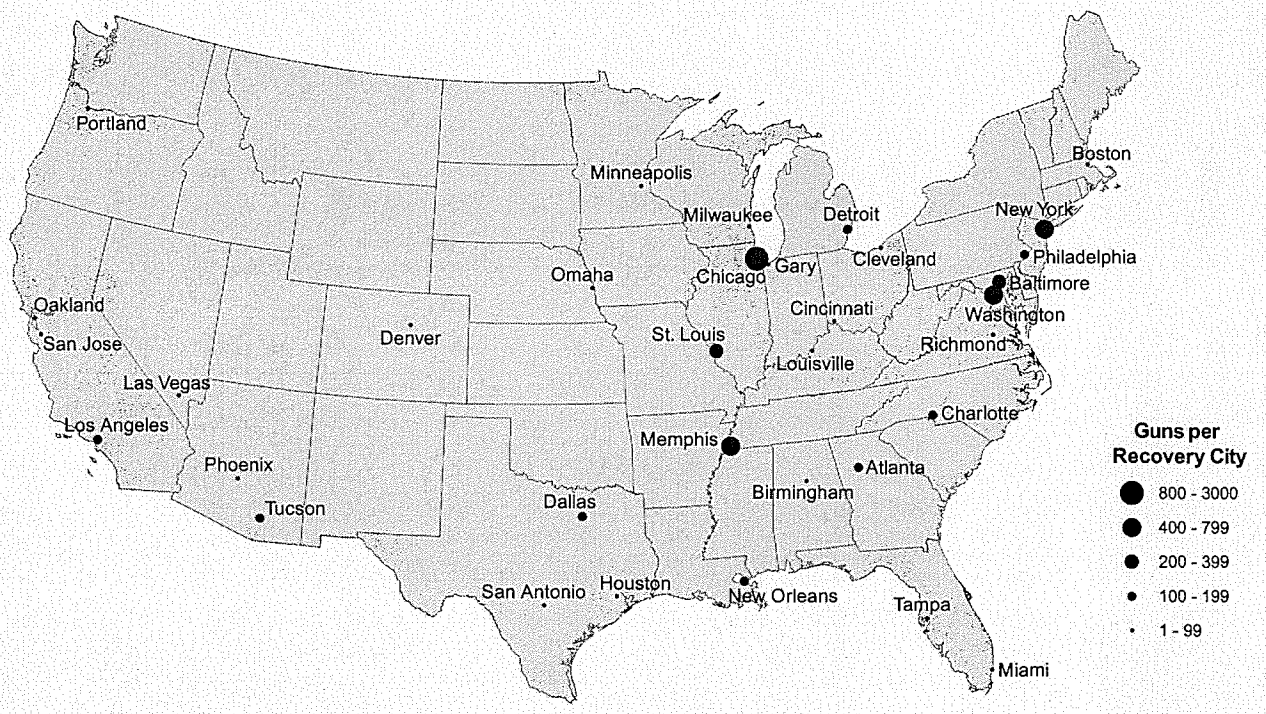
Source to Recovery Patterns. The State that contains a city is generally its most important source of crime guns. Many guns move from regional and national sources, however. *Figures A and B* show the relative contribution of these sources. Regional trafficking consists of guns moving to a city from a neighboring State, while national trafficking involves guns moving from more distant States.

Regional Patterns. *Figure 9* shows that in 16 of the cities, the crime guns were originally purchased in significant numbers at FFLs in States in the region in which the city is located: *Atlanta, GA; Baltimore, MD; New York, NY; St. Louis, MO; Chicago, IL; Dallas, TX; Portland, OR; Tucson, AZ; Cincinnati, OH; Charlotte-Mecklenburg, NC; Detroit, MI;* and *Washington, DC.*

Figure 9

Regional Trafficking Patterns, 1999

Number of Recovered Crime Guns Traced to Federal Firearms Licensees in Neighboring States, for Each Recovery City



Department of the Treasury
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Crime Gun Analysis Branch

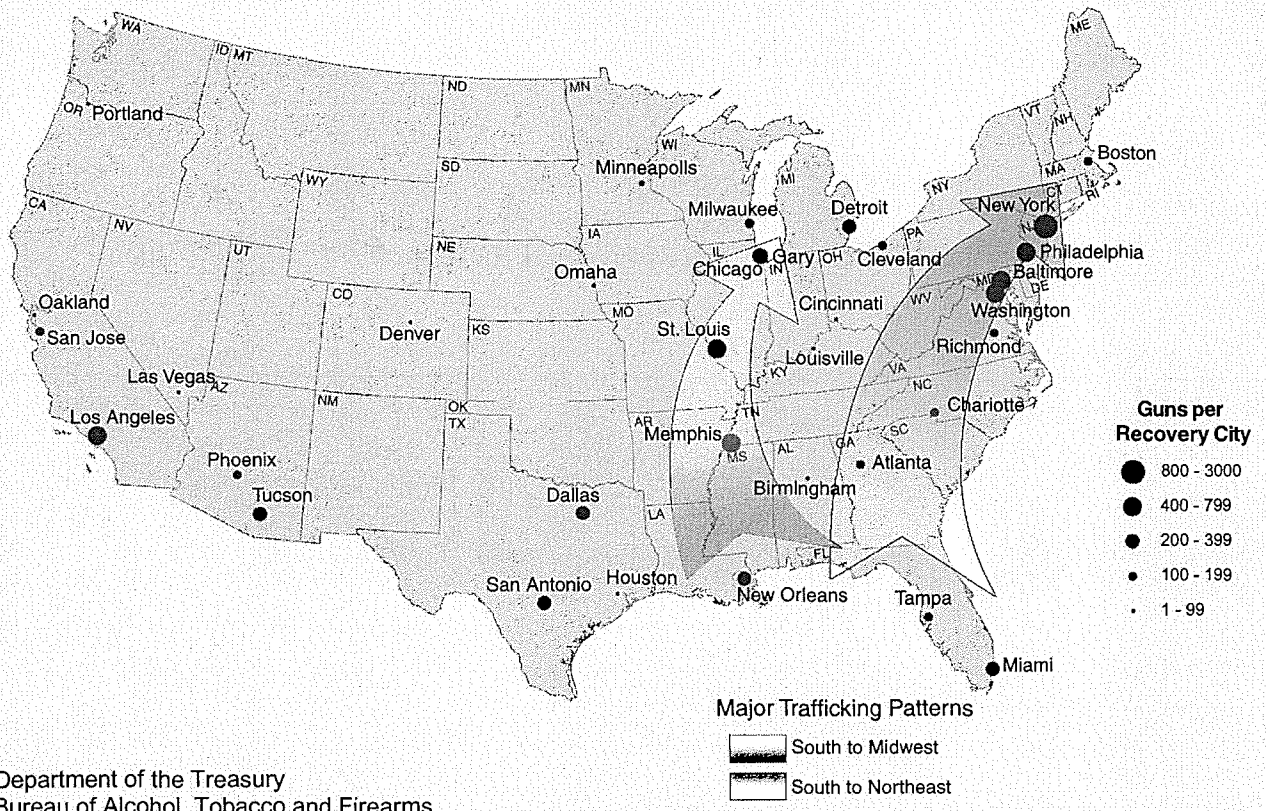
Regional and National Geographic Source Patterns (Continued)

Two National Patterns. *Figure 10* illustrates that some cities form part of larger national patterns. The most important interstate pattern is a south-north pattern along the East Coast, of crime guns first purchased at FFLs in the South, and recovered by law enforcement in *Washington, DC; Baltimore, MD; Philadelphia, PA;* and *New York, NY.* There is also a central south-north pattern, with guns first sold by FFLs in the South being recovered in *Memphis, TN; St. Louis, MO;* and especially *Chicago, IL.*

Figure 10

National Trafficking Patterns, 1999

Number of Recovered Crime Guns Traced to Federal Firearms Licensees in States Outside Local Region, for Each Recovery City



Department of the Treasury
Bureau of Alcohol, Tobacco and Firearms
Crime Gun Analysis Branch

2–7 Crime Guns with Obliterated Serial Numbers

Results of Traces from Eleven Cities. Since tracing of crime guns with obliterated serial numbers is not conducted consistently by law enforcement agencies, this report presents information from 11 cities which submitted requests for at least 85 of their crime guns with obliterated serial numbers: *Baltimore, MD; Boston, MA; Chicago, IL; Detroit, MI; Los Angeles, CA; Memphis, TN; Milwaukee, WI; New York City, NY; Philadelphia, PA; St. Louis, MO;* and *Washington, DC.* No rifles, shotguns, or combination guns were included in this analysis because some older long guns were manufactured without serial numbers. Unique serial numbers were not mandated on all firearms until passage of the Gun Control Act (GCA) in 1968, and it is not always possible to distinguish certain pre-GCA firearms from post-GCA firearms with the information provided.

Characteristics of Crime Guns with Obliterated Serial Numbers. As shown in *Table 14*, in the 11 cities that were analyzed, 9 percent of semiautomatic pistols and nearly 5 percent of revolvers traced had obliterated serial numbers. Only a handful of derringers (29 of 519) had their serial numbers obliterated.

Obliteration Is Far More Common Among Youth and Juvenile Crime Guns. As shown in *Table 14*, obliteration is more common among crime guns recovered from youth and juveniles than from adults. Ten percent of semiautomatic pistols recovered from youth and juveniles had obliterated serial numbers. There is little variation by possessor's age in the percentage of revolvers with obliterated serial numbers.

Tracing Crime Guns with Obliterated Serial Numbers. The obliteration of the serial number on a crime gun is a key criminal indicator of trafficking, because it shows that someone in the chain of possession assumes that the gun will be used for a crime, may have to be discarded by a criminal, or may be recovered by the police. If an obliterated serial number can be restored by a trained firearms examiner, tracing can proceed, with the result of possibly identifying participants in a serious criminal conspiracy. The tracing of guns with obliterated serial numbers is not conducted consistently by law enforcement agencies, however; not all jurisdictions are aware of the potential to restore and trace guns with obliterated serial numbers, and not all jurisdictions have the resources to do so. *Even if the serial number is not restored, ATF urges law enforcement agencies to submit informational traces so that information on firearm type, possessors, their associates, and recovery locations can be analyzed for trafficking leads.*

Federal Felony - 5 Years' Imprisonment. Possession of a gun with an obliterated serial number is itself a Federal felony punishable by 5 years' imprisonment. Law enforcement should keep this in mind when debriefing individuals found in possession of guns with obliterated serial numbers.

Table 14: Obliterated Serial Number Firearms, for Selected Cities

All Handguns for Eleven Selected Cities

	Juvenile (ages 17 & under)	Youth (ages 18-24)	Adult (ages 25 & over)	All Ages
Semiautomatic Pistol	1,612	5,489	6,472	20,262
Revolver	866	2,365	3,838	11,791
Derringer	30	93	212	519
Total	2,508	7,947	10,522	32,572

Handguns with Obliterated Serial Numbers

	Juvenile (ages 17 & under)	Youth (ages 18-24)	Adult (ages 25 & over)	All Ages
Semiautomatic Pistol	164	565	381	1,827
Revolver	45	133	166	553
Derringer	0	9	3	29
Total	209	707	550	2,409

Percentage of Handguns Having Obliterated Serial Numbers

	Juvenile (ages 17 & under)	Youth (ages 18-24)	Adult (ages 25 & over)	All Ages
Semiautomatic Pistol	10.2	10.3	5.9	9.0
Revolver	5.2	5.6	4.3	4.7
Derringer	0.0	9.7	1.4	5.6
Total	8.3	8.9	5.2	6.8

2–8 Multiple Sales

Multiple Sales Behind 22 Percent of Traced Handguns. National Tracing Center processing of multiple sales report data, with the potential for use in combination with the Firearms Tracing System, was implemented in late 1998. This is the first year ATF has been able to provide specific data on handguns recovered in crime that were first sold in multiple sales. For all 32 cities combined, multiple sales handguns accounted for 22 percent (525) of all handguns first sold at retail in 1999 and traced in 1999 (2,378).

Link Between Multiple Sales and Obliteration. Among all traced handguns, those originally purchased in multiple sales transactions were particularly likely to have obliterated serial numbers. Multiple sales handguns made up 51 percent (18) of all traced handguns with obliterated serial numbers that were first sold at retail in 1999 and were the subject of a trace request that same year (35). This means that, among handguns both sold and traced in 1999, those recovered and traced with obliterated serial numbers were 2.3 times as likely to have been from a multiple sale (51 percent) as were all handguns together (22 percent). Additional attention will be given to this issue as more data on multiple sales and better data on obliteration becomes available.

3 — Enforcement Information

The trace information collected and analyzed in the annual *Crime Gun Trace Reports* is used in Federal, State, and local investigations of the illegal diversion of firearms, particularly involving felons, youth offenders, and juveniles. During the period 1996-1998, approximately 60 percent of ATF's firearms trafficking investigations involved crime gun tracing and 68 percent involved State and local law enforcement agencies.[13]

Recent Investigations Involving Trafficked Firearms. During the first 2 quarters of Fiscal Year 2000, ATF's 23 Field Divisions initiated 874 illegal firearms trafficking investigations, involving 231 youth and juvenile firearms possessors, 161 youth and juvenile firearms traffickers, 54 youth and juvenile straw purchasers, and 11 youth and juvenile firearms burglars. Nearly 40 percent (348) of these investigations have been forwarded by ATF agents to Federal, State, and local prosecutors for prosecution. These 348 investigations yielded a total of 460 defendants, including 205 illegal firearms possessors, 133 illegal firearms traffickers, 101 straw purchasers, 16 corrupt licensed dealers, and 11 firearms burglars. ATF agents estimated that some 14,600 firearms were trafficked in these 874 firearms trafficking investigations. Because 60 percent of the investigations are still in progress, it is likely that the ATF agents will uncover higher numbers of trafficked firearms as their investigations develop further. Based on previous analysis, ATF has found that nearly a quarter of its trafficking investigations involve convicted felons illegally buying, selling, or possessing firearms. During the first 2 quarters of Fiscal Year 2000, ATF agents also initiated 242 investigations into *prohibited persons in possession of firearms* (18 U.S.C. Sec. 922(g)).

The Illegal Market in Firearms. Trace information and analysis of cases are contributing to a more precise picture of the structure of the illegal firearms market that supplies guns to criminals, unauthorized juveniles, and other prohibited persons. This section describes aspects of the illegal market illuminated by crime gun tracing and cases developed as part of the Youth Crime Gun Interdiction Initiative, the youth-focused component of ATF's firearms enforcement program.

Trafficking and Illegal Diversion of Firearms. Virtually all crime guns start off as legally owned firearms. For this reason, the term "firearms trafficking," in contrast to the common reference to drug trafficking, refers to the illegal diversion of a legal product from lawful commerce into unlawful commerce, often for profit. ATF also uses the term "diversion." A broader term than trafficking, diversion encompasses any movement of firearms from the legal to illegal marketplace through an illegal method or for an illegal purpose. For example, a criminal who steals a firearm from a Federal firearms licensee (FFL) for his own personal use is participating in the illegal diversion of firearms, but he is not a trafficker. Thus, while the theft of firearms may involve a criminal stealing one or more firearms for his own use, or may involve subsequent trafficking, addressing stolen firearms is an important part of a firearms trafficking strategy because theft constitutes one means of the illegal supply of firearms.

Types of Trafficking. Firearms trafficking includes:

- **Trafficking in *new* firearms**, interstate and intrastate, including by federally licensed firearms dealers, large-scale straw purchasers or straw purchasing rings, or small-scale straw purchasers from gun stores, gun shows, or other premises;
- **Trafficking in *secondhand* firearms**, interstate and intrastate, including by licensed firearms dealers, including pawnbrokers; large-scale straw purchasers or

[13] *Following the Gun: Enforcing Federal Laws Against Firearms Traffickers*, Department of the Treasury, Bureau of Alcohol, Tobacco and Firearms, June 2000.

straw purchasing rings; or small-scale straw purchasers, unlicensed sellers, including at gun shows, flea markets, or through newspaper ads, gun magazines, the Internet, and personal associations, and bartering and trading within criminal networks; and

- **Trafficking in new and secondhand *stolen* firearms**, involving guns stolen from federally licensed dealers, including pawnbrokers, manufacturers, wholesalers, and importers, theft from common carriers, home invasions, and vehicle theft.

Case Examples

Trafficking in New and Secondhand Firearms by Corrupt Federal Firearms Licensee. *St. Louis, Missouri.* ATF analyses of firearms trace data revealed that hundreds of crime guns were traced to Marshal's Gun Shop, a Federal firearms licensee. From January 1988 though March 1999, approximately 611 crime guns were traced back to Marshal's. Although some were secondhand guns, most were new. They included Mossberg 12 gauge shotguns, Davis Industries .380 and 9mm caliber semiautomatic pistols, Lorcin Engineering .380 caliber semiautomatic pistols, Smith & Wesson .38 caliber revolvers, Ruger 9mm caliber semiautomatic pistols, Glock G.m.b.H. .40 and .45 caliber semiautomatic pistols, Maverick Arms 12 gauge shotguns, and North China Industries 7.62x39mm caliber rifles.

Many of these guns were recovered from youth under the age of 24 and in different States. Over 200 were sold through straw purchases to convicted felons, gang members, youth, and juveniles. Several of the trafficked firearms were subsequently recovered in a variety of crimes, including drug violations, unlawful use of a weapon, homicides, robberies, and assaults.

On August 5, 1999, the 69-year-old owner of the gun store pled guilty to violations of 18 U.S.C. Sec. 922 (m), *knowingly making false entries in required records,* and was sentenced to 6 months' imprisonment and 3 years' supervised release. The two employees pled guilty to violations of 18 U.S.C. Sec. 922 (m) in Spring 1999 and were sentenced to 3 years' supervised release.

Interstate Trafficking by Large-Scale Straw Purchaser Buying from an Unlicensed Gun Show Dealer. *Philadelphia, Pennsylvania.* This investigation began on May 8, 1998, as a result of a request by the Philadelphia School Board Investigations Unit to trace two firearms recovered on school grounds. In the early morning hours of December 14, 1997, Philadelphia Police Officers arrested two 18-year-old males for discharging firearms in the schoolyard of William Penn High School. Both firearms had the serial numbers obliterated. The Philadelphia Police Firearms Identification Unit was able to restore the serial numbers of the firearms. ATF then initiated a trace of the firearms and determined that an individual residing in Greensboro, North Carolina, purchased both firearms just 48 hours prior to their recovery.

During the course of the investigation, which involved both crime gun tracing and Project LEAD, ATF uncovered a trafficking conspiracy. The individuals trafficked an estimated 50-70 firearms purchased from an unlicensed dealer at gun shows. In addition to these recoveries, three additional firearms with obliterated serial numbers purchased by the Philadelphia defendant were recovered by the Philadelphia Police in firearms offenses. The defendants from whom the firearms were recovered were ages 19, 24, and 25. One additional firearm was recovered by the New York City Police Department.

By infiltrating the organization, an undercover operative was able to purchase approximately 24 firearms from this organization. The type of firearms included: 15 Lorcin Engineering 9mm caliber semiautomatic pistols, three Intratec 9mm caliber semiautomatic pistols, one Glock G.m.b.H .357 SIG caliber semiautomatic pistol, one Llama .45 caliber semiautomatic pistol, one Bryco Arms 9mm caliber semiautomatic pistol, one Hi-Point 9mm caliber rifle, and two North China Industries 7.62x39mm caliber rifles. All of the undercover purchases took place in Philadelphia. All but two of the purchased firearms had serial numbers obliterated.

On March 2, 1999, a resident of West Philadelphia and the purchaser of the firearms from Greensboro, North Carolina, were indicted by a Federal Grand Jury in the Eastern District of Philadelphia for *conspiring to engage in the business of dealing in firearms without a license, aiding and abetting, and receiving firearms while under indictment.*

On March 10, 1999, the Philadelphia Firearms Trafficking Task Force arrested them both for firearms violations. On April 23, 1999, the Philadelphia defendant pled guilty to *conspiracy* (18 U.S.C. Sec. 371), *engaging in the business of dealing firearms without a license* (18 USC 922 (a)(1)(A)), *aiding and abetting* (18 U.S.C. Sec. 2), *and unlawful interstate shipment of firearms* (18 U.S.C. Sec. 922 (n)). On September 24, 1999, he was sentenced to 46 months' incarceration, 3 years' supervised release, $500 fine, and 100 hours of community service. On July 28, 1999, the North Carolina defendant pled guilty to *conspiracy* (18 U.S.C. Sec. 371), *engaging in the business of dealing firearms without a license* (18 U.S.C. Sec. 922 (a)(1)(A)), and *aiding and abetting* (18 U.S.C. Sec. 2). He was sentenced on October 29, 1999, to 24 months' imprisonment, 3 years' supervised release, a $500 fine, and a $200 special assessment fee.

In-State Trafficking in New Firearms by Small-Scale Family Member Straw Purchaser for Juvenile Gang Offenders. *Milwaukee, Wisconsin.* Between 1997 and 1998, guns recovered in various crimes and police actions were traced and entered into Project LEAD. The incidents included a search warrant for drugs, a search warrant for a suspect in a shooting, and recovery of a gun when a suspect pursued by police discarded the weapon. In partnership with the Milwaukee Police Department, ATF reviewed the Multiple Sales Database and found that these firearms were purchased as part of multiple sales. ATF subsequently examined the business records of the FFL where the guns were purchased. In February 1999, a 21-year-old made a multiple purchase of three handguns from the FFL and ordered four more handguns. After he took delivery of the four handguns, he was interviewed. He admitted that he had solicited his uncle to straw purchase handguns for himself and his cousin when they were underage. The uncle had straw purchased 11 handguns for his nephews, both at the time under the age of 21 and members of street gangs. The new firearms included Keltec Industries Inc. 9mm caliber semiautomatic pistols, a Heritage Manufacturing 9mm caliber semiautomatic pistol, a Tanfoglio .45 caliber semiautomatic pistol, a Star .45 caliber semiautomatic pistol, a Taurus .45 caliber semiautomatic pistol, a Lorcin Engineering .380 caliber semiautomatic pistol, a Haskell .45 caliber semiautomatic pistol, a Tanfoglio 9mm caliber semiautomatic pistol, a Tanfoglio .45 caliber semiautomatic pistol, and a Bryco Arms 9mm caliber semiautomatic pistol. The cousin was a member of the Black Gangster Disciples and wanted firearms to continue a "gang war" with members of the Vice Lords. The cousin, while armed with one of the firearms acquired by his uncle, was killed by members of the Vice Lords.

The 21-year-old defendant pled guilty to *conspiracy* (18 U.S.C. Sec. 371) and to *falsifying ATF Form 4473* (18 U.S.C. 922 (a)(6)) and cooperated with the Government. In September 1999, he was sentenced to 15 months' imprisonment and 3 years' supervised release. The uncle, who had no prior criminal record, was found guilty of *conspiracy* (18 U.S.C. Sec. 371) and *falsifying ATF Form 4473* (18 U.S.C. Sec. 922 (a)(6)) for his straw purchase activities. In October 1999, he was sentenced to 37 months' imprisonment, 3 years' supervised release, and fined $1,000.

Trafficking in New and Secondhand Firearms by Unlicensed Seller and Convicted Felon through Magazines and Gun Shows. *Louisville, Kentucky.* ATF regulatory inspectors examined an FFL's multiple sales and business records and found that certain individuals had acquired 70 firearms in 2 years. NCIC and Project LEAD searches showed that 11 of the 70 firearms had been recovered by the Louisville Police Department or traced. These firearms, some of which were recovered in the possession of youth, included semiautomatic pistols such as the Raven Arms .25 caliber, the Ruger 9mm caliber, the Davis Industries .32 caliber, the Colt .380 caliber, as well as .38 caliber revolvers made by Smith & Wesson.

In March 1997, ATF initiated a case against a convicted felon and another individual. The investigation showed that they had purchased the new and secondhand firearms from nearby FFLs and resold the firearms in-State and out-of-State at gun shows and through a local trade publication, the "Bargain Mart." At times, the men placed up to 20 ads offering firearms for sale every week. ATF agents executed two search warrants in June 1997 at the defendants' residences and seized approximately 64 firearms.

One defendant pled guilty to *conspiracy* (18 U.S.C. Sec. 371), *engaging in the business of dealing in firearms without a license* (18 U.S.C. Sec. 922 (a)(1)(A)), and *sale of a firearm to a prohibited person* (18 U.S.C. Sec. 922 (d)). In February 1999, he was sentenced to 6 months' home incarceration and 3 years' probation. He received a downward departure of seven levels in his sentence as a result of the cooperation he provided to the Government. The second defendant pled guilty to *conspiracy* (18 U.S.C. Sec. 371), *engaging in the business of dealing in firearms without a license* (18 U.S.C. 922 (a)(1)(A)), and *felon in possession* (922 (g)). On August 28, 1998, he was sentenced to 24 months' imprisonment and 3 years' supervised release.

In-State and Interstate Trafficking in Firearms Stolen by Juvenile and Adult from Residences. *Cincinnati, Ohio.* In November 1998, a juvenile and an adult stole 15 firearms from a residence in Fairfield, Ohio. With the help of three other juveniles, the firearms were sold to an individual who was subsequently arrested for receiving stolen property. This individual admitted selling at least 13 of the firearms to individuals in Cincinnati and other areas of Ohio as well as West Virginia. Most of the stolen firearms have been recovered and subsequently traced by ATF. Further investigation conducted by the Fairfield, Ohio Police Department and ATF revealed that the juveniles had been involved in many home burglaries, some of which involved the theft of additional firearms.

The stolen firearms included: a North China Industries SKS 7.62x39mm caliber rifle, a North China Industries MAK- 90 7.62x39mm caliber rifle, a Sears, Robuck & Company, JC Higgins brandname .30-06 caliber rifle, a Remington .35 caliber rifle, a Remington 16 gauge shotgun, a Mossberg .410 gauge shotgun, a Savage/Stevens .22 caliber rifle, a Savage/Stevens 16 gauge shotgun, a WW II Japanese 7.7mm military rifle, an unidentified Marakov type 9x18mm caliber semiautomatic pistol, a Smith & Wesson .38 caliber revolver, a Smith & Wesson .32 caliber revolver, a Taurus .357 caliber revolver, a Ruger .22 caliber pistol, and a Harrington & Richardson, Inc. .32 caliber revolver. The juveniles, as well as the adult who participated in the theft of the 15 firearms, were all prosecuted in State Court. In September 1999, the individual who trafficked the firearms to Ohio and West Virginia pled guilty in Federal Court to a violation of 18 U.S.C. Sec. 922 (a)(5), *illegal transportation of firearms.* In January 2000, he was sentenced to 180 days' home incarceration and 3 years' probation.

Interstate Bartering and Trading New and Secondhand Firearms Stolen from Federally Licensed Fierarms Dealer for Drugs. *Cincinnati, Ohio.* In April 1999, Cincinnati police officers stopped a vehicle and arrested four individuals from Kentucky and two Cincinnati residents. The four individuals aged 16, 18, 21, and 27, were transporting 26 handguns. The recovered firearms were run through NCIC records by Kentucky State Police, which revealed these new and secondhand guns had been stolen 2 days earlier from a federally licensed gun dealer in Flemingsburg, Kentucky. A 23-year-old co-conspirator was subsequently arrested and it was learned that the individuals were transporting the guns from Kentucky into Cincinnati, Ohio, for the purpose of trading them for drugs.

The handguns recovered in their vehicle were: an IMI .40 caliber semiautomatic pistol, a Smith & Wesson .22 caliber semiautomatic pistol, a Sig Sauer 9mm caliber semiautomatic pistol, a Smith & Wesson 9mm caliber semiautomatic pistol, a Smith & Wesson .22 caliber semiautomatic pistol, an FEG .380 caliber semiautomatic pistol, a Llama 9mm caliber semiautomatic pistol, a Bersa .380 caliber semiautomatic pistol, an Auto Ordnance .45 caliber semiautomatic pistol, a Ruger 9mm

caliber semiautomatic pistol, a Beretta .40 caliber semiautomatic pistol, an FEG .380 caliber semiautomatic pistol, an Accu-Tek .380 caliber semiautomatic pistol, a Charter Arms .22 caliber revolver, a Smith & Wesson .38 caliber revolver, a Smith & Wesson .357 caliber revolver, a Taurus .357 caliber revolver, a Rossi .38 caliber revolver, a Colt .357 caliber revolver; a Smith & Wesson .38 caliber revolver, an AMT .40 caliber pistol, a Smith & Wesson 9mm caliber semiautomatic pistol, a Smith & Wesson .357 caliber revolver, a Smith & Wesson .38 caliber revolver, and a Colt .44 Magnum caliber revolver. Three of the four co-defendants from Kentucky pled guilty to carrying concealed weapons and possession of stolen property in the Court of Common Pleas, Cincinnati, Hamilton County, Ohio. Their sentences ranged from 18 months to 7 years. The 23-year-old co-conspirator pled guilty in Federal Court to violations of 18 U.S.C. Sec. 922 (u), *theft from an FFL,* and 18 U.S.C. Sec. 2, *aiding and abetting.* He received 18 months' incarceration.

4 — Information for Law Enforcement Executives

This section answers frequently asked questions from law enforcement executives about the Youth Crime Gun Interdiction Initiative, comprehensive tracing, and ATF's firearms enforcement programs.

What is a crime gun trace?

A crime gun trace by ATF's National Tracing Center (NTC) seeks to identify the Federal firearms licensees (FFLs) who first came in contact with the firearm, i.e. manufacturer, wholesaler, retailer, and the individual who first purchased the firearm from the retail dealer.

In addition, for certain FFLs, the NTC may also be able to provide trace information for firearms re-sold as used guns and subsequently recovered by law enforcement. Finally, ATF special agents and their State and local counterparts sometimes conduct investigative traces which seek to identify the complete chain of possessors from initial retail purchase to recovery by law enforcement.

What is the investigative value of a crime gun trace?

A firearms trace acts as an avenue to obtain additional investigative leads which may tie the suspect to the firearm itself, and to other crimes otherwise unknown if the gun had not been traced. *The appearance of an FFL or a first purchaser in association with a crime gun or in association with multiple crime guns does not show that either the FFL or first purchaser has committed unlawful acts. Rather, such information may provide a starting point for further and more detailed investigations.*

How does my agency submit a crime gun trace request to the NTC?

Traces can be submitted by fax (1-800-578-7223). In emergencies, trace requests can be made by telephone (1-800-788-7133). Trace forms can be obtained by calling the ATF Distribution Center (703-455-7801), by calling your local ATF office, or through the Internet at www.atf.treas.gov.

Will my department be charged for an NTC trace?

The NTC will trace any and all crime guns submitted for tracing at no charge.

What is *comprehensive* crime gun tracing?

Comprehensive crime gun tracing occurs when law enforcement authorities in a given jurisdiction routinely submit the serial number, manufacturer, model, caliber, and weapon type of all firearms recovered in their jurisdiction to ATF's NTC.

For more complete analysis, law enforcement authorities may submit information on the possessor of the firearm (when there is a possessor), associate (any individual who may be associated with the possessor at the time of recovery), and recovery date and address.

What is the investigative value to my department of comprehensive crime gun tracing?

Large numbers of traces can be analyzed to develop proactive leads to gun traffickers, armed offenders, and illegal possessors of firearms. When the NTC compiles comprehensive crime gun trace information for a law enforcement agency, it can furnish information relating to the following questions: *1. What kinds of guns are being recovered in my area? 2. What types of crimes are associated with these recovered crime guns? 3. Who are the dealers that are the source of crime guns recovered in my area? 4. Who are the individuals supplying firearms to the criminals and juveniles in my area? 5. Where are the recovery locations? 6. Are the source areas in the county or the State, or from out-of-State? 7. Where should my resources be concentrated to stem the flow of firearms to my streets?*

5 — Progress and Plans: The Strategic Use of Crime Gun Information

This section describes the progress made in comprehensive crime gun tracing during the past year. Crime gun tracing is voluntary for most law enforcement agencies. Through the Youth Crime Gun Interdiction Initiative (YCGII) and other firearms enforcement programs, ATF in 1996 began a concerted effort to work with other law enforcement organizations to maximize the utility of this critical investigative tool. To develop and encourage crime gun tracing, ATF continues to strive to improve the tracing process, the quantity, quality, and delivery of crime gun information, and related investigative services to ATF agents and their State and local partners.

5-1 Level and Quality of Crime Gun Tracing

Number of Crime Guns Traced. The number of firearm traces submitted to the National Tracing Center (NTC) increased from 197,537 traces in 1998 to 206,070 traces in 1999, a 4 percent increase. Law enforcement officials in the 38 participating YCGII cities submitted approximately 66,787 crime gun trace requests between January 1, 1999 and December 31, 1999, 32 percent of the total number of crime gun trace requests submitted to the NTC during this period. The 12 new YCGII cities submitted 11,885 trace requests.

Comprehensive Crime Gun Tracing. Police departments that join the YCGII make a commitment to trace *all* crime guns recovered in their jurisdictions in order to maximize investigative leads and permit analysis of local crime gun patterns by age group. While other law enforcement agencies are making similar commitments and meeting them successfully, the annual *Crime Gun Trace Reports* currently include only YCGII cities. ATF makes a special effort to ensure the accuracy of the information collected for these reports. While the NTC cannot determine definitively whether all recovered crime guns are being traced, an evaluation can be made based on the number of trace requests, the tracing infrastructure in the law enforcement agencies, and on information obtained from local officials. On this basis, the NTC determined that during 1999, 24 of the 38 cities participating in YCGII were tracing comprehensively. These cities were *Baltimore, MD; Boston, MA: Charlotte-Mecklenburg, NC; Chicago, IL; Cincinnati, OH; Cleveland, OH; Dallas, TX; Gary, IN; Jersey City, NJ; Memphis, TN; Miami, FL; Milwaukee, WI; Minneapolis, MN; New Orleans, LA; New York, NY; Philadelphia, PA; Portland, OR; Richmond, VA; San Antonio, TX; San Jose, CA; St. Louis, MO; Tampa, FL; Tucson, AZ;* and *Washington, DC.* Of the remaining 14 cities, 12 cities provided a sufficiently substantial number of traces for a city-based analysis, and two cities submitted insufficient trace requests to complete a *City Report* but were included in the *National Report.* In each *City Report*, *Table H* reports each city's number of trace submissions.

State Comprehensive Crime Gun Tracing Laws. Four States recently have enacted firearms tracing laws: California (California Penal Code section 11108.3 (1998)), Connecticut (Connecticut General Statute. sec. 54-36n (1998)), North Carolina (114-10. Division of Criminal Statistics, Session Laws 1999-225, s. 1(1999)) and Illinois (720 ICLS 5/24-8 (1998)) (juvenile crime guns only). Maryland is instituting Statewide comprehensive tracing by Executive Order 01.01.1998.20. Comprehensive tracing has been achieved in New Jersey through the initiative of law enforcement authorities. ATF is working with appropriate authorities in these States to assist in implementing their tracing laws.

Number of Completed Traces. The NTC is continually improving its ability to diagnose the reasons for missing crime gun trace information to learn what type of crime gun information is most consistently missing or inaccurately reported, and to determine whether the failure to match serial numbers is due to oblit-

eration, faulty recording, incorrect Federal Firearms Licensee (FFL) records, or data mismanagement. This effort is shown in *Tables I and J* of the *City Reports*, and summarized nationally here.

Increased FFL identification rate. For trace requests where the NTC initiated a trace, the NTC identified Federal firearms licensees for 75 percent (44,369) of crime guns. This represents an improvement over the 66 percent rate reported in 1998's *Crime Gun Trace Reports.*

Obstacles to identifying purchasers. As in 1998, the NTC identified retail purchasers for over half (52 percent, 35,006) of the crime guns. Where a trace was initiated by the NTC, purchasers were not identified for several reasons, including:

- problem with crime gun serial number (13 percent)
- records on this crime gun unavailable (7 percent)
- problem with importer name (7 percent)
- problem with manufacturer name (4 percent)
- records not available (1 percent)
- expiration of 20-year record retention requirement (1 percent).

Uninitiated traces. The NTC did not initiate a trace for about a tenth (11 percent, 7,513) of the trace requests, for several reasons, including:

- firearms manufactured before 1969 and not traceable through Out-of-Business records (9 percent)
- trace request submitted for informational purposes only (2 percent)
- other reasons (0.5 percent)

The initiation of 90 percent of the trace requests from YCGII jurisdictions is an improvement over prior years and this improvement is attributable, in part, to a policy instituted by the NTC in 1999 of initiating traces on all crime gun trace requests, including older firearms that were previously untraced.

Other limitations. With sufficient information about the crime gun, the NTC can identify the first retail purchaser of crime guns. In most cases, it cannot identify retail purchasers of crime guns re-sold by FFLs as used guns, or of crime guns acquired as used guns from unlicensed sellers. As a result of the structure of the firearms laws, an NTC trace usually stops at the first retail purchase of the firearm recovered by law enforcement.

5-2 Investigative Support for State and Local Law Enforcement Agencies

Trace Analysis, Mapping, and Investigative Support. The NTC Crime Gun Analysis Branch (CGAB) has been increasingly active in responding to requests from law enforcement agencies for assistance in developing strategic overviews of the local crime gun problem and in law enforcement investigations and regulatory inspections. In 1999, the CGAB completed over 30 crime gun mapping requests, including 10 YCGII cities; 130 requests for crime gun trace information; 650 requests for queries of the Firearms Tracing System (FTS) concerning individuals; 600 requests for queries concerning FFLs; 230 proactive referrals to investigators on suspected firearms traffickers; 20 presentations in 1999 on crime gun trace analysis through crime gun mapping and Online LEAD to YCGII cities, and prepared the *Crime Gun Trace Reports.*

Field Resource: Online LEAD. Online LEAD is the current version of Project LEAD, ATF's crime gun trafficking information system. In 1999, the number of ATF investigators using Online LEAD increased from less than 100 to approximately 1,400 users. In November 1999, Online LEAD was deployed to all ATF field offices to enable ATF agents, inspectors, and local task force officers to access crime gun trace and related multiple sales information directly from their desktop computers using the ATF Intraweb, with over 200 users from YCGII cities receiving access. ATF investigators in all locations can now access not only local but all nationwide crime gun information, facilitating

regional and interstate investigations. Also in 1999, the NTC added a number of enhancements to make the system more user friendly, including additional information fields and queries aimed at the local investigator.

New Features in the *Crime Gun Trace Reports*. This year's reports are provided on a calendar year basis for the first time. ATF is presenting a *National Report* for the first time, based on traces from a significant number of cities with a population of 250,000 or more. Other significant improvements include the addition of: analysis of models of crime guns for nine cities that provided adequate information (*National Report*); new information relevant to officer safety (*National* and *City Reports*) and on crime guns purchased in multiple sales (*National Report*); maps showing crime gun sources (*National* and *City Reports*); reporting on instances where the purchaser is the crime gun possessor (*City Reports, Table A*); median time-to-crime (*City Reports, Table E*); county level geographic source information (*City Reports, Table G*); trace completion rates for possessor age, recovery location, manufacturer, and importer (*City Reports, Table H*); and additional analysis of reasons for lack of trace completion (*City Reports, Table J*).

Training: Firearms Tracing and Illegal Trafficking Investigations. In 1999, ATF developed a training CD-ROM to help train Federal, State, and local law enforcement officers participating in YCGII in firearms identification and tracing procedures. ATF field agents learned how to use the YCGII Instructor CD-ROM and then delivered it locally. Because of the important role of firearms trafficking investigations in the reduction of violent crime, the International Association of Chiefs of Police, in a program funded by the Department of Justice's Bureau of Justice Assistance, in 1999 continued to provide training at the NTC for police departments interested in starting comprehensive crime gun tracing and trafficking enforcement programs.

Training: Restoration of Obliterated Serial Numbers. ATF continues to work with police departments and law enforcement laboratories to restore obliterated serial numbers on crime guns and to develop local coordinated enforcement efforts to trace and proactively target leads derived from recovered crime guns with obliterated serial numbers. ATF has developed a 3-day session of instructional and hands-on training for State and local investigators and firearm examiners covering the importance of restoring obliterated serial numbers and tracing those firearms. Thirteen schools were held in fiscal year 2000, five in YCGII cities.

5-3 Improvements in the Tracing Process and Tracing Support for State and Local Law Enforcement Agencies

Currently, a routine firearm trace takes an average of 10 and a half business days to complete. Urgent traces are completed within 24 hours. In 1999, ATF continued to take steps to shorten the time it takes to complete a routine trace, and facilitate law enforcement agencies' ability to submit and receive trace information.

The Transition to Paperless Tracing. The NTC supports the receipt of batches of trace requests via electronic file transfer from Federal, State, and local law enforcement agencies. This firearms tracing process was designed specifically for those agencies which are already utilizing some type of automated system, i.e., property, incident, or ballistics database. The process simply involves the user extracting the data the NTC requires to initiate a firearms trace, creating a formatted data file, and then sending that "batch" of data via a modem to the NTC. This system was designed to decrease the turnaround time for routine traces, report the trace results faster, cut down on the number of errors, and offer a user-friendly alternative to manual trace request submission.

In 1999, the NTC made ETSS available to all ATF Field Offices by downloading the software from the NTC page on the ATF Intraweb. Upon request, law enforcement agencies can upload ETSS by CD-ROM. Currently 62 State and local law enforcement agencies, including agencies in 35 of the 38 YCGII cities, have ETSS access.

Access 2000: Firearms Industry Cooperation. Access 2000 is an ATF produced system that allows a manufacturer, importer, or wholesaler to download a subset of their firearms data into a stand-alone personal computer. ATF tracers can then dial up and query on a specific serial number in order to obtain a disposition on the firearm. Access 2000 also allows 24-hour access to manufacturer, importer, or wholesaler records and is, therefore, particularly useful for urgent traces. The system speeds the trace process from 1 to 3 days by eliminating the step of calling or faxing the manufacturer, importer, or wholesaler and waiting for the results of the crime gun's disposition, while also reducing firearms industry trace-related costs. In 1999, use of Access 2000 increased from 6 to 10 manufacturers and/or wholesalers, and now includes 9 manufacturers: Beretta U.S.A. Corp., H&R 1871 Inc., Smith & Wesson, Taurus, Heckler & Koch, Marlin, Mossberg, Colt, and Glock G.m.b.H.; and two major wholesalers: RSR Wholesale Guns and Davidson's Supply Company.

Multiple Sales Records and Crime Gun Tracing. The NTC continues to use multiple sales records to speed crime gun tracing. FFLs are required by law to report multiple sales transactions of handguns and to forward those records to the NTC. To facilitate crime gun tracing, the NTC began maintaining multiple sales information in a Multiple Sales Database linked to the FTS. When a crime gun trace request is received, the serial number is entered into the FTS. If the serial number entered matches a serial number in the Multiple Sales Database, the crime gun trace request can be closed immediately with the multiple sales purchaser information without time-consuming telephone calls to FFLs. In 1999, approximately 3 percent of 1999 YCGII traces were completed with purchaser information from a multiple sales transaction. Because the Multiple Sales Database was established in November 1998, and there may be a delay of several years before a crime gun is traced, the NTC anticipates resolving more traces through the multiple sales database in the future.

Out-of-Business Records Imaging and Crime Gun Tracing. The NTC is also using FFL Out-of-Business records to speed crime gun tracing. When an FFL discontinues business, the FFL is required by law to forward business records within 30 days to the Out-of-Business Records Center (OBRC) located at the NTC. OBRC receives and microfilms the acquisition and disposition records and ATF Form 4473's from all firearm transactions completed by FFLs who have discontinued business. OBRC processed records for 6,356 FFLs from January 1, 1999 to December 31, 1999. In this time period, over 8 percent of all crime gun traces were completed with information from an out-of-business dealer. To speed and increase traces completed through out-of-business records, the NTC is shifting from a microfilm to an imaging system that can link firearm serial numbers to the FTS. When a crime gun serial number is entered into the FTS, the serial number automatically will be checked against the Out-of-Business records as well as the Multiple Sales Database and previously entered crime gun trace information. If there is a match on the imaged serial number, NTC personnel can immediately pull it from the microfilmed Out-of-Business records to complete the firearm disposition to either an FFL or a final retail purchaser. The NTC expects this improvement to speed tracing and enable the completion of additional older crime gun traces, including used firearms re-sold by out-of-business FFLs.

5-4 Future Developments

Investigative Tracing for Juvenile Crime Guns. ATF is instituting a new investigative policy requiring special agents in all YCGII cities to conduct investigative traces on all crime guns recovered from juveniles and youth up to age 21. Investigative traces are traces that go beyond the first retail purchaser through the chain of possession until the crime gun reaches the crime gun possessor. After its initial retail purchase, a crime gun may be transferred repeatedly before being used in a crime. For instance, it may be re-sold by an unlicensed seller, stolen, and then re-sold to an

FFL, and re-sold again. In an investigative trace, special agents attempt to track the full chain of possession to determine how the juvenile obtained the firearms, to build a case against any illegal suppliers. Analysis of juvenile investigative trace information will increase our understanding of how juveniles obtain crime guns.

Support for Additional Law Enforcement Agencies. ATF plans to provide comprehensive tracing support and trace analysis reporting through YCGII to all cities with populations of 250,000 or more and to other jurisdictions with special firearms crime problems. Twelve new cities will be added in 2000. ATF plans to assign additional agents to YCGII sites to follow up on investigative leads. ATF also plans to provide tracing software and training to 250 additional law enforcement agencies.

Electronic Trace Returns (ETR). To reduce trace response time, the NTC in 1999 began development of ETR to provide ATF field offices and law enforcement agencies with electronic trace results in addition to printed trace reports. Currently, Federal, State, and local law enforcement can submit trace requests electronically, but can only receive individual trace responses via a hard copy on paper. (Upon request by law enforcement agencies, the NTC will extract all of a jurisdiction's trace requests from the Firearms Tracing System and provide them on disk.) ETR will apply only to those sites submitting trace request data electronically. ETR is expected to be available by the end of 2000 and will reduce routine trace response time by 2 to 3 days.

Expanded Access 2000. To speed tracing, ATF will dedicate additional resources to sign up more manufacturers, importers, and wholesalers to respond to NTC trace queries electronically through Access 2000, allowing 24-hour access to FFL records. ATF expects an additional 7 to 10 manufactures, importers and wholesalers to join the system by October 2001.

Firearms Identification Guide. To address the problem of unsuccessful traces due to faulty information on the trace request form, the NTC is developing a CD-ROM that will train the law enforcement community in firearms identification. The CD will contain graphic illustrations, historical data, and specifications on the 100 most frequently traced firearms. The CD is intended to be a stand-alone training aid that can be utilized by everyone from entry level personnel to senior investigators to crime laboratories. The CD can also be used to print hard copy material for handouts and presentations.

Improved Electronic Trace Submission. ETSS Version 2.6, which will be released in the beginning of fiscal year 2001, will afford the users with the capability to link the database to their local server. This will allow ETSS to be installed on numerous machines while at the same time capturing all trace request data in one centralized database. A user's guide for Version 2.6 will be provided.

Regional Crime Gun Centers. To ensure comprehensive crime gun tracing, and to support coordinated investigations that follow a crime gun's history, ATF is planning to increase the number of regional crime gun centers. Equipped with the best information hardware and software, a crime gun center is used by ATF and State and local investigators and analysts to develop investigative leads on armed criminals and gun traffickers and develop local and regional trend and pattern analysis and crime gun mapping to assist in local violence reduction strategies. The New York Crime Gun Center, the first, has sent over 340 viable leads to investigators in over 20 States, many of them resulting in firearms violations investigations and arrests of firearms traffickers. Two additional centers are underway in Chicago and Washington, DC. ATF is reviewing this project to establish models that can be replicated based on the demographics of particular areas, and looks to greatly expand this concept.

Used Crime Gun Trace Information. The NTC in 2000 began requiring certain FFLs who failed to cooperate with crime gun traces as well as those with 10 or more crime gun traces with a time-to-crime of 3 years or less, to report certain firearms transaction information to the

NTC to permit crime gun tracing. For those FFLs, the NTC is now able to trace certain firearms sold used by FFLs that were recovered in crime. This information will be incorporated into crime gun tracing reporting in the future.

Ballistics Identification and Crime Gun Tracing. Many State and local law enforcement agencies have installed ballistics imaging systems as part of the growing National Integrated Ballistics Identification Network (NIBIN). In some cases, an image of the cartridge case or the bullet can be linked to a serial number and permit a crime gun trace. Such traces are not yet included systematically in the Firearms Tracing System or the annual *Crime Gun Trace Reports.* As this information becomes available, ATF will make related crime gun and ballistics information available in an integrated and accessible investigative information system as well as in related reports.

Appendix A

Glossary

ASSOCIATE

Any person or persons who can be linked to the possessor of the crime gun at the time of its recovery by law enforcement.

ATF FORM 3310.4, MULTIPLE SALES REPORT

A form completed by all Federal Firearms Licensees (FFLs) whenever they transfer two or more handguns within 5 consecutive business days to the same individual. The completed form contains full identifying information concerning the purchaser, the firearms, the date of transfer, and the FFL. FFLs are required by Federal law to forward this form to the National Tracing Center either by fax or mail by the close of business on the day on which the sale occurs. 18 U.S.C., Chapter 44, § 923 (g)(3).

ATF NATIONAL TRACING CENTER DIVISION (NTC)

The Division includes the National Tracing Branch (NTB) and the Crime Gun Analysis Branch (CGAB). The NTB works with law enforcement entities and the firearms industry to trace the origin and initial sale history of a firearm recovered by law enforcement officials in the United States or abroad. In some instances, the NTB traces crime guns that are sold as used guns by FFLs. The NTB is also the repository for all FFL out-of-business records and multiple sales records. The CGAB provides investigative leads to ATF field personnel, houses the FFL lost and stolen firearms reports, supports the worldwide law enforcement community by identifying firearms traffickers who supply firearms to criminals and juveniles, and prepares maps, trends, and pattern analyses, including the annual *Crime Gun Trace Reports.*

CALIBER

The diameter of a projectile intended to be expelled from a firearm or the dimension of the bore of a given firearm.

COLLECTOR

Any person who acquires, holds, or disposes of firearms as curios or relics.

COMPREHENSIVE TRACING

The tracing by law enforcement of all recovered crime guns in a geographic area (e.g., town, county, metropolitan area, or State). Trace information is used to maximize investigative leads for use in identifying illegal firearms traffickers and violent criminals, and to analyze crime gun trends and patterns.

CRIME GUN

A crime gun is any firearm that is illegally possessed, used in a crime, or suspected to have been used in a crime. An abandoned firearm may also be categorized as a crime gun if it is suspected it was used in a crime or illegally possessed.

DEALER

Any person engaged in the business of selling firearms at wholesale or retail, or any person engaged in the business of repairing firearms or of making or fitting special barrels, stocks, or trigger mechanisms to firearms, or any licensee who is a pawnbroker.

ELECTRONIC TRACE SUBMISSION SYSTEM (ETSS)

ETSS can be a stand-alone or part of a networked, multi-user system that enables ATF Field Offices and other law enfocement organizations to capture firearm trace related data. This data is exported from ETSS and the batch file is then electronically sent for processing to the National Tracing Center (NTC).

"ENGAGED IN THE BUSINESS"

A person is "engaged in the business" as a dealer in firearms if he or she devotes time, attention, and labor to dealing in firearms as a regular course of trade or business with the principal objective of livelihood and profit through the repetitive purchase and resale of firearms. The term does not include a person who makes occasional sales, exchanges, or purchases of firearms for the enhancement of a personal collection or for a hobby, or who sells all or part of his or her personal collection of firearms.

FEDERAL FIREARMS LICENSEE (FFL)

Any persons, including a partnership, corporation, or business entity, holding a valid license issued by ATF that allows them or their employees to "engage in the business" of dealing, manufacturing, importing, repairing or pawnbrokering firearms. By law, all FFLs must keep records of their firearms transactions and forward all their records to ATF upon going out of business.

FIREARM SERIAL NUMBER

The Gun Control Act of 1968 requires that an individual serial number be affixed to firearms manufactured or imported into the United States. This unique serial number is one of several key elements used in accurately identifying a firearm and tracing it to the FFL who first sold it to an unlicensed purchaser.

FIREARM TRACE

The systematic process of tracking a recovered crime gun's history from its source (manufacturer/importer) through the chain of distribution (wholesaler/retailer) to the individual who first purchases the firearm.

FIREARM TRACE REQUEST

Information submitted to the NTB by the law enforcement community to solve individual crimes and acquire illegal trafficking information. Requests may be submitted by telephone (high priority/urgent), facsimile, mail, or as an electronic file through several different formats. ATF trace request forms require specific information to include, but not limited to, a description of the firearm, the individuals possessing or associated with the firearm, the recovery location, and the underlying offense that brought the crime gun to the attention of law enforcement.

FIREARM TYPE

The NTC categorizes firearms into a number of types that include, but are not limited to, pistols, revolvers, derringers, shotguns, rifles, combination firearms, machine guns, destructive devices, and unknown gun type. Firearms are generally described by identifying the firearm type, manufacturer, and caliber. This information, together with additional data such as the serial number and model, are used to accurately trace a firearm.

SEMIAUTOMATIC PISTOL

Any repeating pistol which utilizes a portion of the energy of a firing cartridge to extract the fired cartridge case and chamber the next round, and which requires a separate pull of the trigger to fire each cartridge.

PISTOL

A weapon originally designed, made, and intended to fire a projectile (bullet) from one or more barrels when held in one hand, and having (a) a chamber(s) as an integral part(s) of, or permanently aligned with, the bore(s); and (b) a short stock designed to be gripped by one hand and at an angle to and extending below the line of the bore(s).

REVOLVER

A projectile weapon of the pistol type, having a breechloading chambered cylinder so arranged that the cocking of the hammer or movement of the trigger rotates it and brings the next cartridge in line with the barrel for firing.

DERRINGER

The term "derringer" has no legal definition, but for the purposes of this report it is interpreted as any one of a variety of small pocket or palm size pistols having one or more barrels.

RIFLE

A weapon designed or redesigned, made or remade, and intended to be fired from the shoulder, and designed or redesigned and made or remade to use the energy of the explosive in a fixed metallic cartridge to fire only a single projectile through a rifled bore for each single pull of the trigger.

SHOTGUN

A weapon designed or redesigned, made or remade, and intended to be fired from the shoulder, and designed or redesigned and made or remade to use the energy of the explosive in a fixed shotgun shell to fire through a smooth bore either a number of ball shot or a single projectile for each single pull of the trigger.

COMBINATION GUN

A multi-barreled firearm designed or redesigned, made or remade, and intended to be fired from the shoulder having two or more different caliber barrels. Such firearms generally exhibit some combination of rifled barrels and smoothbore shotgun barrels.

MACHINEGUN

This term includes, in part, any weapon which shoots, is designed to shoot, or can be readily restored to shoot, automatically more than one shot, without manual reloading, by a single function of the trigger. The term shall also include the frame or receiver of any such weapon.

DESTRUCTIVE DEVICE

This term includes, in part, any type of weapon by whatever name known which will, or which may be readily converted to, expel a projectile by the action of an explosive or other propellant, and which has any barrel with a bore of more than one-half inch in diameter.

IMPORTER

Any person engaged in the business of importing or bringing firearms or ammunition into the United States for purposes of sale or distribution. The term shall include any person who engages in such business on a part-time basis.

INVESTIGATIVE TRACE

Investigative traces are traces that go beyond the first retail purchaser through the chain of possession until the crime gun reaches the crime gun possessor. After its initial retail purchase, a crime gun may be transferred repeatedly before being used in a crime. Further information regarding the crime gun's trail is obtained by ATF field personnel and/or other members of the law enforcement community.

MANUFACTURER

Any person engaged in the business of manufacturing firearms or ammunition for purposes of sale or distribution. The term shall include any person who engages in such business on a part-time basis.

MARKET AREA

An area where firearms acquired in one or more source areas are possessed by individuals from whom they are later recovered.

OBLITERATED SERIAL NUMBER

Some individuals obliterate or attempt to obliterate the firearm serial number to make it more difficult to trace. ATF and local law enforcement agencies can restore the serial numbers of many of these crime guns. Obliteration of a serial number is a felony under Federal law, as is the possession of a firearm with an obliterated serial number.

PAWNBROKER

Any person whose business or occupation includes the taking or receiving, by way of pledge or pawn, of any firearm as security for the payment or repayment of money.

POSSESSOR

The individual in possession of a crime gun at the time of its recovery by law enforcement.

PROJECT LEAD (ONLINE LEAD)

ATF's information system designed to produce investigative leads concerning illegal firearms trafficking. The system compiles trace information in order to identify recurring trends and patterns that may indicate illegal trafficking. Online LEAD is an investigative tool provided to ATF field offices for use by local and State task forces.

PURCHASER

The individual who purchases a firearm from an FFL. A firearm trace seeks to identify the FFL who first sold the crime gun and the first individual who purchased the firearm. This information can assist law enforcement officials in investigations and in understanding the sources of illegal trafficking in firearms.

SOURCE AREA

A geographic area where illegal firearms traffickers obtain firearms that they acquire and transport to other locations for unlawful resale and/or transfer.

SOURCE STATE

The State in which the FFL that first sold the crime gun at retail is located. The source State can only be determined if a trace identifies the FFL who sold the firearm.

STRAW PURCHASE

The acquisition of a firearm(s) from a federally licensed firearms dealer by an individual (the "straw" purchaser) for the purpose of concealing the identity of the true intended receiver of the firearm(s).

STRAW PURCHASER

A person illegally purchasing a firearm from a federally licensed firearms dealer for another person, including for unlicensed sellers, criminal users, juveniles, and other prohibited possessors. Straw purchasers may be friends, associates, relatives, or members of the same gang.

TIME-TO-CRIME

The period of time between a firearm's acquisition by an unlicensed person from a retail licensee and law enforcement's recovery of that firearm during use, or suspected use, in a crime. A short time-to-crime suggests the firearm will be easier to trace. This measure can be an important indicator of illegal firearms trafficking.

Appendix B

Technical Notes

1. Interpreting Information in National Tracing Center Records from Participating Jurisdictions

This note discusses limitations in using this information to compare one participating jurisdiction with another and to track the same jurisdiction from 1 year to the next.

The Youth Crime Gun Interdiction Initiative (YCGII) began in 1996. It is an emerging collaboration among Federal, State, and local law enforcement officials, ATF field offices, the ATF National Tracing Center, and ATF contractors from the academic community to improve enforcement of the Federal firearms laws, especially those relating to illegal firearms transfers to youth offenders, felons, juveniles, and other prohibited persons.

This is the third report published by ATF that uses information from trace requests submitted from YCGII jurisdictions to describe crime guns recovered by law enforcement agencies in those jurisdictions. This information improves the knowledge base for the enforcement of Federal and State firearm laws and regulations. It is, however, subject to several limitations. These arise out of three basic factors:

First, the program is undergoing constant change. The effort to achieve comprehensive tracing has not been fully realized. In 17 jurisdictions, this is the third year of this program; in 10 jurisdictions, this is the second full year of participation, and for 11 jurisdictions, this is the first full year of participation.

Second, the extent of program implementation varies from one jurisdiction to another based on each one's size, extent of agency computerization, information intake procedures, firearms-focused law enforcement activity, and the nature of its crime gun problem. At this stage of development, it is not appropriate to attempt to impose a single standard on all participating jurisdictions.

Third, the program is still developing. ATF and local law enforcement agencies are still learning from each other how to best implement this program and to utilize the information obtained. This report and others to be produced by the Crime Gun Analysis Branch (CGAB) of the National Tracing Center are part of that developing process.

These factors result in data limitations, among them the following:

Some jurisdictions have not yet reported all their firearms for 1999. Changing law enforcement procedures to obtain all crime guns from all agencies does not happen immediately or consistently throughout a particular agency. In such jurisdictions, the lag in reporting recovered firearms to ATF will generate data on fewer firearms than law enforcement agencies actually recovered.

The data reported here reflects the behavior of law enforcement agencies whose policies and practices, including when and how firearms are recovered and how those recoveries are recorded, are changing in response to local attention to firearms crimes. These changes could increase or decrease the number of firearms trace requests made to the National Tracing Center.

Crime rates are changing. In some jurisdictions, like New York and Boston, the number of firearm related homicides and other crimes has dropped dramatically between 1996 and 1999. Changes in the number of trace requests could reflect changes in the number of crime guns that come to the attention of law enforcement agencies.

While the 38 participating jurisdictions represent a wide spectrum of American life, they do not represent a national sample of law enforcement agencies or crime guns recovered by law enforcement agencies. Participation in this program is voluntary, and jurisdictions included were not selected to be representative of the nation as a whole, rather they were included primarily because of a focus on youth gun crime. In 1999, however, 32 of the 38 jurisdictions had a population over 250,000. The population of these 32 jurisdictions repre-

Appendix C

OMB No. 1512-0541

DEPARTMENT OF THE TREASURY
BUREAU OF ALCOHOL, TOBACCO AND FIREARMS
NATIONAL TRACING CENTER TRACE REQUEST

FOR NTC DATA ENTRY ONLY

Phone: 1-800-788-7133 *Falling Waters, WV 25419* *FAX: 1-800-578-7223*

NOTE: * - REQUIRED ENTRY FIELD *(Must be completed for trace processing)* ** - REQUIRED ENTRY WITH LISTED DATA RESPONSE *(See back for codes and options)*

PART I - TRACE INITIATION INFORMATION

1a. DATE OF REQUEST | 1b. PRIORTY** ☐ ROUTINE ☐ **URGENT** *(Justification required)* ☐ FOR NTC INFORMATION ONLY
JUSTIFICATION

1c. SPECIAL INSTRUCTIONS

PART II - CRIME CODE INFORMATION

2a. ☐ GANG INVOLVED? GANG NAME: _____ | 2b. PROJECT CODE**: | 2c. NCIC CRIME CODE**:
☐ JUVENILE INVOLVED? ☐ YOUTH CRIME GUN ☐ ENTERED IN NIBIN? NIBIN No.:

PART III - ATF AGENT REQUESTING TRACE

3a. ORGANIZATION CODE*	3b. PHONE NUMBER: FAX NUMBER:	3c. ATF SPECIAL AGENT'S NAME *(Last, first, middle)*
3d. BADGE NUMBER	3e. ATF CASE NUMBER	3f. FIELD OFFICE

PART IV - OTHER AGENCY REQUESTING TRACE

4a. ORI NUMBER*	4b. PHONE NUMBER: FAX NUMBER:	4c. OTHER AGENCY OFFICER'S NAME *(Last, first, middle)*
4d. BADGE NUMBER	4e. OTHER AGENCY CASE NUMBER	4f. DEPARTMENT/UNIT

4g. MAILING ADDRESS

PART V - FIREARMS INFORMATION

5a. SERIAL NUMBER* ☐ OBLITERATED ☐ ATTEMPT TO RAISE | 5b. FIREARMS MANUFACTURER*

5c. TYPE**	5d. CALIBER*	5e. MODEL*	5f. COUNTRY OF ORIGIN* *(Importer required if other than U.S.)*
5g. IMPORTER*		5h. ADDITIONAL MARKINGS*	

PART VI - POSSESSOR INFORMATION

6a. NAME *(Last)* *(First)* *(Middle)* *(Suffix)* ☐ CRIMINAL HISTORY

ALIAS *(AKA)* *(Last)* *(First)* *(Middle)* *(Suffix)* AKA DATE OF BIRTH

6b. HEIGHT	6c. WEIGHT	6d. SEX	6e. RACE	6f. ADDRESS - ROUTE NUMBER
6g. APT. NUMBER	6h. STREET No.	6i. DIRECTION	6j. STREET NAME	6k. CITY
6l. COUNTY	6m. STATE	6n. ZIP CODE	–	6o. COUNTRY
6p. DATE OF BIRTH	6q. PLACE OF BIRTH	6r. POSSESSOR'S ID NUMBER		ID TYPE/STATE

PART VII - ASSOCIATE INFORMATION

7a. NAME *(Last)* *(First)* *(Middle)* *(Suffix)* ☐ CRIMINAL HISTORY

ALIAS *(AKA)* *(Last)* *(First)* *(Middle)* *(Suffix)* AKA DATE OF BIRTH

7b. HEIGHT	7c. WEIGHT	7d. SEX	7e. RACE	7f. ADDRESS - ROUTE NUMBER
7g. APT. NUMBER	7h. STREET No.	7i. DIRECTION	7j. STREET NAME	7k. CITY
7l. COUNTY	7m. STATE	7n. ZIP CODE	–	7o. COUNTRY
7p. DATE OF BIRTH	7q. PLACE OF BIRTH	7r. ASSOCIATE'S ID NUMBER		7s. ID TYPE/STATE

PART VIII - FIREARM RECOVERY INFORMATION

8a. RECOVERY DATE*	8b. ROUTE NUMBER	8c. APT. NUMBER	8d. STREET No.	8e. DIRECTION	8f. STREET NAME
8g. CITY*			8h. STATE*	8i. ZIP CODE	–

8j. ADDITIONAL INFORMATION

ATF F 3312.1 (3-2000) PREVIOUS EDITION IS OBSOLETE

INSTRUCTIONS FOR COMPLETING ATF F 3312.1 - REQUEST FOR A FIREARMS TRACE

GENERAL INSTRUCTIONS - *Required Data Entry Fields And **Available Options/Codes Listed For Reference

The information requested on this form is needed to initiate a trace request. All fields marked with an asterisk (*) indicate required entry data fields. All areas so marked must be completed in order to effectively and expeditiously execute the trace request. Fields marked with a double asterisk (**) indicate areas of required data entry with available options and codes listed for reference *(refer to lists below to determine the appropriate entry and correct nomenclature).*

REQUIRED ENTRY FIELDS INCLUDE:

Question 1b** - *(Justify Urgent Trace)* See Priorities listed below
Question 2b & 2c**** - Include Project Code and list NCIC Code
Question 3a* - Office Organizational Code **For Use by ATF Requestor Only**
Question 4a* - ORI - NCIC Originating Requestor Identifier
Question 5a*, 5b*, 5c, 5d*, 5e*, 5f*, 5g* & 5h*** - Verify data
Question 8a*, 8g* & 8h* - Confirm Recovery data to be submitted

QUESTION 1B - TRACE PRIORITY *(Entered Numbered Qualifier to Justify Urgent Trace Request)*

NOTE: An urgent trace is deemed necessary when the violation are significant and circumstances warrant or require that the firearm be traced without undue delay. Examples of this are: to hold a suspect, provide probable cause, officer and public safety, etc. The following are examples of significant violations.

1 - Assault
2 - Bank Robbery
3 - Kidnapping
4 - Murder/Suicide
5 - Rape/Sex
6 - Terrorist Act
7 - Terrorist Threat
8 - Other *(specify circumstance)*

QUESTION 2B - PROJECT CODES *(Enter all codes that apply)*

AIS - Adult in School
GNG - Gang Related
JSS - Juvenile & School *(Ages 17 & under)*
JVV - Juvenile & Violence *(Ages 17 & under)*
OBL - Obligated Serial Number
ORG - Organized Crime
SCH - School Involvement *(No Possessor)*
SEN - Sensitive/Significant
MUN - Murderand Narcotics *(Ages 25 & older)*
MIL - Militia Related Project
YCG - Youth Crime Gun
YIS - Juvenile and School *(Ages 18 - 24)*

QUESTION 2C - NCIC CRIME CODES *(Enter one code only. For complete listing refer to NCIC Manual)*

0199	Sovereignty	**1311**	Aggravated Assault *(Police)*	**2999**	Damage Property	**5399**	Public Peace
0299	Military	**1399**	Assault	**3599**	Dangerous Drugs	**5499**	Traffic Offense
0399	Immigration	**1499**	Abortion	**3699**	Sex Offense	**5599**	Health - Safekeeping
0907	Homicide *(Police)*	**1602**	Threat *(Terroristic)*	**3799**	Obscenity	**5699**	Civil Rights
0911	Homicide *(Suicide)*	**1702**	Material Witness *(Federal)*	**3802**	Cruelty Toward Child	**5799**	Invade Privacy
0999	Homicide *(Street)*	**2099**	Arson	**3803**	Cruelty Toward Spouse	**5899**	Smuggling *(Customs)*
1099	Kidnapping	**2199**	Extortion	**3999**	Gambling	**5999**	Election Laws
1101	Rape	**2299**	Burglary	**4099**	Commercial Sex	**6099**	Antitrust
1199	Sexual Assault	**2399**	Larceny	**4199**	Liquor	**6199**	Tax Revenue
1201	Robbery *(Business)*	**2411**	Unauthorized Use of Auto	**4899**	Obstruction Police	**6299**	Conservation
1204	Robbery *(Street)*	**2499**	Stolen Vehicle	**4999**	Flight - Escape	**7099**	Crimes Against Person
1211	Bank Robbery	**2599**	Counterfeiting	**5099**	Obstruct	**7199**	Property Crimes
1212	Car Jacking	**2699**	Fraud	**5199**	Bribery	**7299**	Morals
1299	Robbery	**2799**	Embezzlement	**5211**	Explosives	**7399**	Public Order Crimes
1301	Aggravated Assault *(Family)*	**2899**	Stolen Property	**5212**	Possession of Weapon	**8100**	Escape *(Juvenile)*

QUESTION 5C - TYPE OF FIREARM

C = Combination - A weapon designed to be fired from the shoulder which is fitted with both a rifled barrel 16" or greater in length and a smooth-bore barrel 18" or greater in length with an overall length of 26" or more.

M = Machine Gun - A weapon of handgun, rifle or shotgun configuration designed to automatically fire more than one shot, without manually reloading, by a single function of the trigger.

P = Pistol - A weapon which includes single shot and both single or double-action semiautomatic handguns fitted with a barrel(s) with an integral chamber design or having a chamber(s) permanently aligned with the barrel.

PR = Pistol/Revolver - A weapon which includes both single and double-action handguns having a breechloading chambered cylinder designed with a repetitive function based on rotation.

PD = Pistol/Derringer - A weapon which includes single barrel, superposed *(over/under)* and multi-barrel configuration handguns based on a hinged or pivoting barrel small frame pistol design.

R = Rifle - A weapon designed to be fired from the shoulder which discharges a single projectile through one or more rifled barrels 16" or greater in length with an overall length of 26" or more.

S = Shotgun - A weapon designed to be fired from the shoulder which discharge a single or multiple projectiles through one or more smooth-bore barrels 18" or greater in length with an overall length of 26" or more.

PAPERWORK REDUCTION ACT

This request is in accordance with the Paperwork Reduction Act of 1995. The information collection is used by Federal, State and local law enforce-ment officials to request that the Bureau of Alcohol, Tobacco and Firearms trace firearms used or suspected to have been used in crimes.

The estimated average burden associated with this collection of information is 6 minutes per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be addressed to Reports Management Officer, Document Services Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, DC 20226.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

ATF F 3312.1 (3-2000)

Appendix D

Acknowledgements

The development of a new uniform reporting system to present crime gun trace information from cities across the United States is a great challenge and an exceptional amount of hard work. It can only be accomplished through the commitment and dedication of the people who collect, research, analyze, and publish the data contained in this report. ATF would like to acknowledge the assistance of those who have made pivotal contributions in furthering the expertise and effectiveness of law enforcement and expanding the scope of public knowledge in the unique area of firearms enforcement.

The cornerstone of this effort is the wealth of information on firearms and the crimes in which they are misused. This comes solely from the ATF special agents and their police department counterparts who together have ensured that crime gun traces were submitted timely and accurately. Many worked to improve the comprehensiveness of the information system and developed new investigative uses for trace information.

Many officials and associates of other agencies and organizations have continued to offer encouragement, practical advice, and outstanding support for this effort in its first 3 years, including the International Association of Chiefs of Police and the Department of Justice, in particular the Bureau of Justice Statistics and the National Institute of Justice.

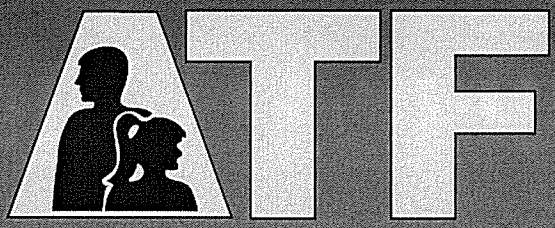
A number of individuals at ATF provided key support, especially those employees from the offices of Forest Webb, Chief National Tracing Center; Charles Houser, Chief, National Tracing Branch; and Gary Thomas, Chief, Firearms Programs Division; including Laura Sclater. A special thanks to Scott Pickett, former Crime Gun Analysis Branch (CGAB) Chief, and Richard Young, former CGAB Program Manager, who helped get this year off to a great start. As always, our Office of Chief Counsel, especially Jeanette Slattery, has insured clarity and consistency in technology and difinitions.

The Department of the Treasury, the Office of the Under Secretary for Enforcement, has been consistently supportive of this program, and once again ATF is indebted to Susan Ginsburg, Senior Advisor for Firearms Policy, for her tireless efforts and commitment. Also from Treasury, and working in the critical areas of editing, design, publishing, and distribution were Karen Michell, Nancy ElDieahy, Karen Biehl, and Rosalind DeLancy-Mosley.

The heart of this project is a unique partnership between ATF and members of academic institutions. Together this team is responsible for the insight that this information provides. In addition to those already mentioned, our joint team has included Gary Orchowski, ATF, Chief, Crime Gun Analysis Branch, and from that staff: Dr. John R. Freeman, Shane Glassing, Jeff Heckel, Michelle Bennett Darden, Robert Burrows, Brad Karns, Hilda Guy, Robbi Santore, and Christine Kimes Raposa. They were assisted by Sandy Snook, Latyce Watkins, and Elizabeth Robinson of MSTC, Inc. and Michelle A. Leslie, Tammy Cole, Jodi Johnson, Carla Ferguson, and Heather DeHaven of Milvets Systems Technology, Inc. Our academic partners are: Dr. Glenn Pierce, *College of Criminal Justice, Northeastern University*; Dr. Anthony Braga, John F. Kennedy School of Government, *Harvard University*; Dr. Joel Garner, *Joint Centers for Justice Studies*, Shepherdstown, West Virginia; and Dr. Garen Wintemute, *University of California, Davis.* Additional thanks to contributors Dr. LeBaron Briggs, *Northeastern University,* and David M. Kennedy, *John F. Kennedy School of Government, Harvard University.*

Terrence P. Austin, Director
Youth Crime Gun Interdiction Initiative
Department of the Treasury
Bureau of Alcohol, Tobacco and Firearms

Crime Gun Trace Reports (2000) National Report

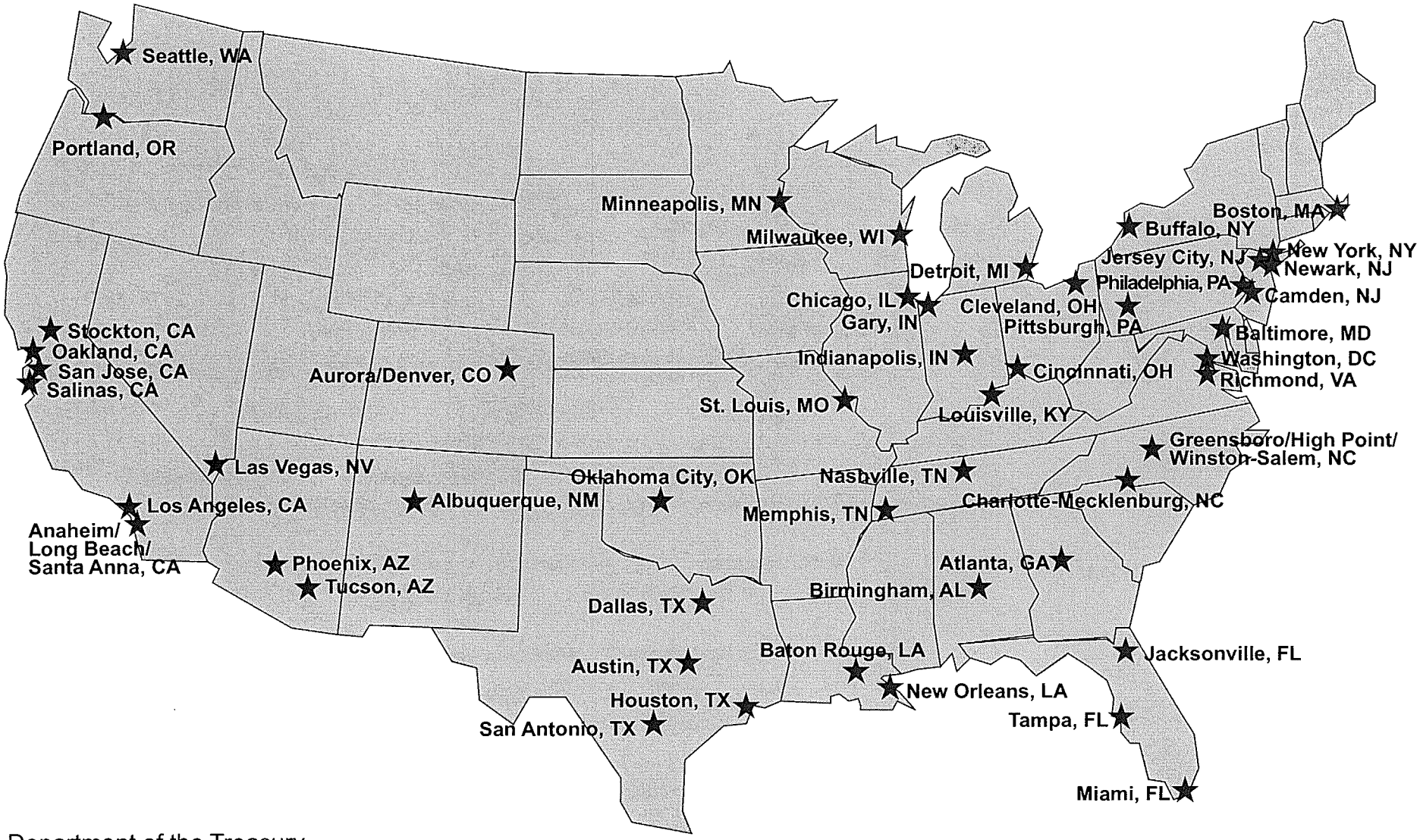


The Youth Crime Gun Interdiction Initiative

July 2002

Department of the Treasury
Bureau of Alcohol, Tobacco and Firearms

Youth Crime Gun Interdiction Initiative 2001 Cities



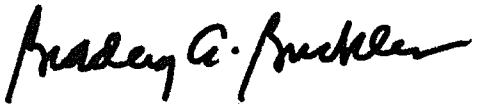
Department of the Treasury
Bureau of Alcohol, Tobacco and Firearms
National Tracing Center Division
Crime Gun Analysis Branch

Foreword by the Director of the Bureau of Alcohol, Tobacco and Firearms

This publication of crime gun data for calendar year 2000 marks the fourth annual compilation of firearms trace analyses since the inception of the Youth Crime Gun Interdiction Initiative (YCGII) in 1996. As the number of communities involved has increased from the original 17 to 55, so has the value of this information as a relevant tool for law enforcement. With this knowledge, communities have formulated sound gun enforcement strategies for proactive use in firearms investigations. This is a direct result of the strong partnerships our agents have forged with every participating agency. Any level of success is impossible without this valued cooperation.

This report analyzing calendar year 2000 gun traces was delayed as a result of our redirection of a portion of our law enforcement resources after the tragic events of September 11, 2001. ATF agents, inspectors, and support staff joined thousands of other Federal, State and local law enforcement personnel across the country to pursue every available lead. At our National Tracing Center, a majority of the staff was dedicated to reviewing and analyzing massive amounts of related information.

The information in this report clearly demonstrates our commitment to this program, to our partnerships, and to the protection of our citizens. The enforcement approach embodied in YCGII provides each community the opportunity and ability to customize their efforts to address their own gun problems, trends, sources, and investigations. As we have seen, violence against Americans can take many forms. With strong partnerships, continued vigilance, and the use of the information at hand, we can continue to challenge those who would criminally use an illegally obtained firearm.



Bradley A. Buckles

Highlights of the *National Report*

This is the fourth year of ATF's *Crime Gun Trace Reports*. This year, a *National Report* provides national findings based on 88,570 crime gun traces recovered and submitted in calendar year 2000. These trace requests came from 46 cities with a population of 250,000 or more participating in ATF's Youth Crime Gun Interdiction Initiative. Individual *City Reports* provide complete information on the trace results in 50 cities. The *National* and *City* Reports are posted on the Internet at www.atf.treas.gov

Possessors of Crime Guns

Juvenile. About 8 percent of crime guns were recovered from juveniles (Ages 17 & Younger).

Youth. About 33 percent of crime guns were recovered from youth (Ages 18-24).

- Individuals *21 years of age* were the most frequent possessors of traced crime guns, followed closely by possessors ages 20 and 19.

Adult. About 59 percent of crime guns were recovered from adults (Ages 25 & Older).

Indicators of Illegal Diversion

Few Crime Gun Possessors Bought Their Guns Directly from Federally Licensed Gun Dealers. Only about 12 percent of traced crime guns were recovered from possessors who had purchased those firearms from Federal firearms licensees (FFLs). About 88 percent of traced crime guns changed hands at least once before recovery by law enforcement as crime guns. Such transfers may be lawful or unlawful.

Many Crime Guns Had Short Time-to-Crime. Notwithstanding that most crime guns were bought from an FFL by someone other than their criminal possessor, many crime guns were recovered soon after their initial purchase. To the investigator, the short time from retail sale to crime, known as "time-to-crime", suggests illegal diversion or criminal intent associated with the retail purchase from the FFL. The median time-to-crime for crime guns traced was 6.6 years, but law enforcement recovered many crime guns much more rapidly.

- About 15 percent of crime guns were recovered *within 1 year* of their first retail purchase.
- 31 percent of crime guns were recovered *within 3 years* of their first retail purchase.

Many Firearms Offenses Involved New Guns. The concentration of crime guns with a relatively short time-to-crime also indicates that many firearm offenses, including violent offenses with firearms, involve new guns. This is even more so for crime guns possessed by youth.

- Almost a third of crime guns (31 percent) recovered in 2000 were purchased in 1997 or later.
- Half of all semiautomatic pistols recovered from *youth* were purchased in September 1996 or later.
- The median time-to-crime for crime guns possessed by *youth* (4.5) is a year and a half shorter than for *adults* (6.0).

Many Crime Guns Acquired in Multiple Sales. The acquisition of handguns in multiple sales can be an important trafficking indicator. Handguns sold in multiple sales reported to the National Tracing Center accounted for 20 percent of all handguns sold and traced in 2000.

Multiple Sales and Obliteration. Obliteration of a firearm serial number is a trafficking indicator. Among handguns purchased as part of a multiple sale and traced in 2000, 1.6 percent had obliterated serial numbers.

Crime Guns

Firearms traced by law enforcement nationally are for the most part concentrated among a limited number of *types* and *calibers*, and *manufacturers* and *models*. By focusing investigative efforts on the sources of these firearms, especially those with a short time-to-crime, law enforcement can identify and arrest both illegal suppliers of firearms and their illegally armed customers.

Handguns comprised over three-quarters (77 percent) of all traced crime guns.

Four handgun types made up 60 percent of all handguns traced:

- 9mm semiautomatic pistols
- .380 caliber semiautomatic pistols
- .25 caliber semiautomatic pistols
- .38 caliber revolvers

Semiautomatic pistols accounted for half (50 percent) of all traced crime guns. The *9mm semiautomatic* pistol was the most frequently traced type of crime gun (23 percent), and was especially frequent among youth possessors (28 percent).

Long guns, including shotguns and rifles, accounted for one in five traced crime guns (22 percent).

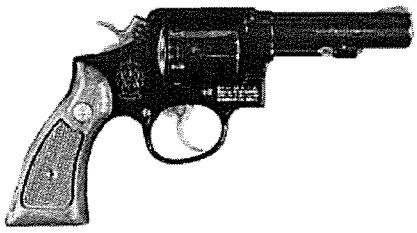
- The 12 gauge shotgun, .22 caliber rifle and 7.62 rifle account for more than two thirds of all traced long guns.
- Long guns were nearly twice as likely to be recovered from adults (26 percent) as from youths (15 percent) and juveniles (15 percent).

Most Frequently Traced Crime Guns

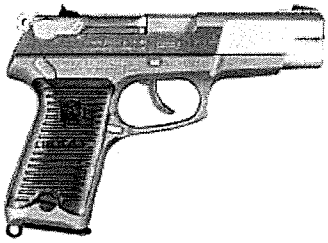
These guns were the most frequently traced by law enforcement officials for all age groups, by manufacturer, caliber, and type. These 10 firearms accounted for 22 percent (19,743) of all trace requests (88,570).

	Manufacturer	Caliber	Type of Crime Gun
1.	Smith & Wesson	.38	Revolver
2.	Ruger	9mm	Semiautomatic Pistol
3.	Lorcin Engineering	.380	Semiautomatic Pistol
4.	Raven Arms	.25	Semiautomatic Pistol
5.	Mossberg	12 GA	Shotgun
6.	Smith & Wesson	9mm	Semiautomatic Pistol
7.	Smith & Wesson	.357	Revolver
8.	Bryco Arms	9mm	Semiautomatic Pistol
9.	Bryco Arms	.380	Semiautomatic Pistol
10.	Davis Industries	.380	Semiautomatic Pistol

Figure A: Most Frequently Traced Crime Guns by Manufacturer, Caliber and Type for All Age Groups



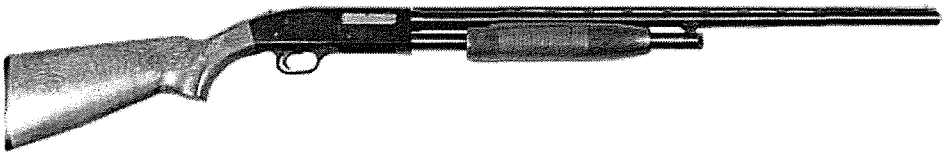
1. SMITH & WESSON .38 Revolver



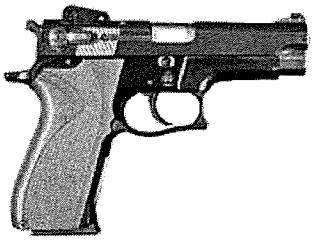
2. STURM, RUGER & CO. 9mm Semiautomatic Pistol

3. LORCIN ENGINEERING. .380 Semiautomatic Pistol

4. RAVEN ARMS .25 Semiautomatic Pistol



5. MOSSBERG, O. F. & SONS 12 GA Shotgun



6. SMITH & WESSON 9mm Semiautomatic Pistol

7. SMITH & WESSON .357 Revolver

8. BRYCO ARMS 9mm Semiautomatic Pistol

9. BRYCO ARMS .380 Semiautomatic Pistol

10. DAVIS INDUSTRIES .380 Semiautomatic Pistol

Crime Guns with the Most Investigative Potential

Short time-to-crime guns have the most immediate investigative potential for law enforcement officials because they are likely to have changed hands less frequently. Time-to-crime varied substantially by firearm type, age of purchaser, and specific model.

Shortest and Longest Median Time-to-Crime by Type. Semiautomatic pistols had the shortest median time-to-crime, 4.5 years. Revolvers had the longest median time-to-crime, 12.3 years.

Shortest Median Time-to-Crime by Manufacturer, Caliber, and Type. The most frequently traced crime guns (by manufacturer, caliber, and type), over half of which were recovered in 3 years or less, were all semiautomatic pistols: Bryco Arms 9mm, Bryco Arms .380 caliber, and Ruger 9mm.

- **Juveniles**. The Bryco Arms 9mm semiautomatic pistol recovered from juveniles had a median time-to-crime of just 1.5 years.
- **Youth**. The Hi-Point 9mm semiautomatic pistol recovered from youths had a median time-to-crime of 1.0 years followed by the Bryco Arms 9mm semiautomatic pistol at 1.1 years.

Time-to-Crime Among Long Gun Models. Two long gun models have a median time-to-crime at or below 3 years; the Hi-Point model 995 rifle (1.8 years) and the Maverick Arms model 88 shotgun (3.0 years). The Maverick Arms shotgun also has a median time-to-crime below 3 years for juvenile, youth and adult age groups. The Hi-Point model 995 rifle, has the fastest median time-to-crime among both the juvenile and youth age groups, at 1.3 and 1.7 years respectively.

Officer Safety

ATF provides officer safety information relating to crime in order to assist State and local law enforcement managers in assessing potential departmental safety measures. For all age groups, the North China Industries Model SKS 7.62mm rifle is the rifle model most frequently encountered by law enforcement officers. The North China Industries Model MAK90 7.62mm caliber rifle is also encountered in significant numbers, and the Colt Model AR15 .223 caliber rifle is among the long guns most frequently recovered from adult possessors. These high capacity rifles pose an enhanced threat to law enforcement, in part because of their ability to expel projectiles at velocities that are capable of penetrating the type of soft body armor typically worn by the law enforcement officers.

Geographic Patterns

Crime guns form part of local, regional, and national trafficking patterns.

In-State sources. About 62 percent of crime guns were first purchased from FFLs in the State in which the guns were recovered by law enforcement officials. The source FFLs were within the same counties as the recovery cities for over one third of the crime guns (35 percent), and another 12 percent were in adjacent counties in the same State or a neighboring State.

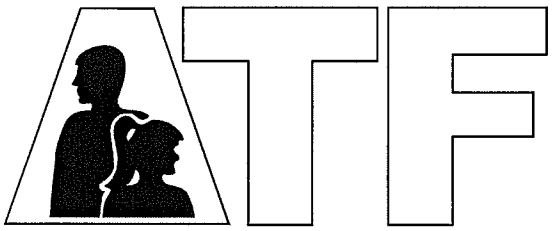
Regional sources. For traces where a recovery location was provided and distance calculations could be completed (44,905), approximately one third (32 percent) of these crime guns were purchased within 10 miles and almost half (48 percent) within 25 miles of the originating purchase location. More than one third (34 percent) of the traced firearms originated more than 250 miles from the location where they were recovered.

National Patterns. National trafficking patterns account for 30 percent or more of guns traced from nine cities. The most striking case is that of New York City, NY, where 73.4 percent of crime guns came from national sources including Virginia, North Carolina, Georgia and Florida. Newark and Jersey City, NJ, which

are located near New York, NY, experience strikingly similar national trafficking patterns with 80.2 and 74.5 percent of their crime guns coming from national sources. Other cities on the Eastern shore with high percentages of nationally sourced guns include Washington, DC (38.6 percent), and Camden, NJ (50.6 percent). A second trafficking pattern runs from the South to large cities in the Midwest. Chicago, IL, has 32.8 percent of crime guns from national sources and Detroit, MI, 44.5 percent. Mississippi, Kentucky and Georgia are important national source areas for Chicago, IL. Kentucky, Georgia and Alabama are significant for Detroit, MI.

Crime Gun Trace Reports (2000)

National Report



The Youth Crime Gun Interdiction Initiative

July 2002

Department of the Treasury

Bureau of Alcohol, Tobacco and Firearms

CRIME GUN TRACE REPORTS (2000)
National Report

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LIST OF TABLES *(National Report)*

LIST OF FIGURES *(National Report)*

1 - Introduction

This is the fourth year of ATF's publication of the National Tracing Center (NTC) *Crime Gun Trace Reports*. The reports provide extensive analyses of crime gun traces submitted in calendar year 2000 by law enforcement officials in selected cities throughout the country participating in ATF's Youth Crime Gun Interdiction Initiative. The analysis of a large number of individual traces from many similar jurisdictions helps identify consistent crime gun patterns that may not be apparent from information in a single trace or traces from a single jurisdiction or State. With information about patterns and trends, more violent criminals can be arrested more efficiently, more focused regulatory enforcement can be undertaken, and more gun crime and violence can be prevented.

Two Report Formats. Crime gun tracing as a law enforcement tool has grown sufficiently to provide the 2000 Crime Gun Trace Reports in two formats:

- The *National Report* provides national analysis based on findings from crime gun traces in 41 communities including 44 of 67 cities in the U.S. with populations of 250,000 or more. These cities comprise 80 percent of the population of cities of this size.
- The 47 separate *City Reports* provide detailed information on the trace results in the 39 large communities and eight communities with populations between 100,000 and 250,000.

Information for Law Enforcement, the Firearms Industry, and the Public. The *Crime Gun Trace Reports* have three audiences. They provide crime gun information to the *Federal, State, and local law enforcement agencies* that submit trace requests, boosting their information resources for arresting gun criminals, responding to gun violence, and establishing a benchmark for crime gun measurements. They inform *federally licensed firearms dealers* of crime gun patterns, allowing them to build sounder and safer businesses. They inform the *public, Congress, and State and local authorities*, building cooperation by communicating what ATF agents, inspectors, and State and local law enforcement investigating violent criminals see in their everyday enforcement operations.

Reinforcing Law Enforcement Collaboration. As a result of the collaboration of thousands of law enforcement and regulatory personnel and the FFLs that routinely respond to the National Tracing Center's inquiries, the *Crime Gun Trace Reports* provide an overview of crime guns throughout the country in significantly greater detail than previously available. ATF's primary operational focus is on the Federal offender. By reporting trace information in standardized form, ATF intends to enable State and local law enforcement officials to evaluate the information independently and to gain perspective on their local circumstances in order to adjust enforcement and preventive strategies accordingly.

How Law Enforcement Can Use this Report. Local law enforcement executives and Federal, State, and local prosecutors and investigators can make many uses of these reports. They furnish information relating to the following questions, among others:

1. *How many crime guns are being recovered from different age groups of offenders?*
2. *What kinds of guns are being recovered in my area?*
3. *What types of crimes are associated with these recovered crime guns?*
4. *Are the source areas in the county or State, or from out of State?*
5. *What types of guns are moving the fastest from the retail seller to recovery in crime?*
6. *Which guns may pose a special hazard to law enforcement officers?*

Using this information, law enforcement managers can decide what aspects of the firearms market deserve priority focus, by age group, by source area, or by type of crime, or any combination of these. Once these priorities are determined, information about specific crime guns and offenders can be obtained using all available investigative resources, including debriefing of arrestees, undercover and confidential informant operatives; Online LEAD;

Brady background check denial information; stolen firearms information; and special analyses by the Crime Gun Analysis Branch and equivalent analytic services in local police departments.

The combination of strategic information such as provided in these reports and investigative information will allow Federal, State, and local law enforcement officers to make the best use of available resources. Based on these factors, ATF and local law enforcement may decide to undertake criminal prosecution against traffickers, including felons, straw purchasers, firearms thieves, and unlicensed dealers, or regulatory actions against Federal firearms licensees.

Contents of the Reports. The National and City Reports include information about:

- **Highlights:** The National and City Reports each contain sections with highlights of the findings in the reports, focused on crime gun information relevant to law enforcement officials;
- **Possessors:** the age group and crimes of the crime gun possessors;
- **Crime guns:** the types, manufacturers, calibers, and, in some cities, models of the most frequently traced crime guns, including the most frequently traced crime guns for each city;
- **Gun trafficking indicators:** the time-to-crime and geographic sources of crime guns, multiple sales information, and percentage of crime guns with obliterated serial numbers;
- **Enforcement information:** successful Federal, State, and local investigations of the illegal diversion of firearms;
- **Information for law enforcement executives:** information and responses to frequently asked questions about crime gun tracing and related enforcement operations;
- **Crime gun tracing information:** number of traces submitted, degree of completeness of information provided, disposition of traces, and current and future developments in crime gun tracing; and
- **Technical information:** back-up information about the analysis, figures, and tables in the reports.

Youth Crime Gun Interdiction Initiative Cities

Albuquerque*	New Mexico
Anaheim, Long Beach, Santa Anna*	California
Atlanta	Georgia
Austin*	Texas
Baltimore	Maryland
Baton Rouge*	Louisiana
Birmingham	Alabama
Boston	Massachusetts
Buffalo*	New York
Camden	New Jersey
Charlotte-Mecklenburg	North Carolina
Chicago	Illinois
Cincinnati	Ohio
Cleveland	Ohio
Dallas	Texas
Denver-Aurora	Colorado
Detroit	Michigan
Gary	Indiana
Greensboro, Winston-Salem, Highpoint*	North Carolina
Houston	Texas
Indianapolis*	Indiana
Jacksonville*	Florida
Jersey City	New Jersey
Las Vegas	Nevada
Los Angeles	California
Louisville	Kentucky
Memphis	Tennessee
Miami	Florida
Milwaukee	Wisconsin
Minneapolis	Minnesota
Nashville*	Tennessee
New Orleans	Louisiana
New York	New York
Newark	New Jersey
Oakland	California
Oklahoma City*	Oklahoma
Philadelphia	Pennsylvania
Phoenix	Arizona
Pittsburgh*	Pennsylvania
Portland	Oregon

Richmond	Virginia
Salinas	California
San Jose	California
San Antonio	Texas
Seattle	Washington
St. Louis	Missouri
Stockton*	California
Tampa	Florida
Tucson	Arizona
Washington	District of Columbia

* City became a partner in the Youth Crime Gun Interdiction Initiative in 2000

The Youth Crime Gun Interdiction Initiative

The annual *Crime Gun Trace Reports* began in 1997 as part of ATF's Youth Crime Gun Interdiction Initiative (YCGII), a youth-focused firearms enforcement program that is a component of ATF's overall firearms enforcement program, the Integrated Violence Reduction Strategy. For this reason, YCGII is referred to throughout this report.

Participating jurisdictions. While many law enforcement agencies trace some crime guns, agencies participating in YCGII commit to instituting comprehensive tracing of all crime guns, providing the maximum investigative leads for law enforcement officials, and permitting optimal strategic analysis. These cities received special support from ATF. ALL cities with *City Reports* participate in YCGII. As more law enforcement agencies acquire crime gun tracing as an investigative tool, or implement State comprehensive crime gun tracing laws, ATF expects to include trace information from these jurisdictions in the annual *Crime Gun Trace Reports.*

National Tracing Center and Crime Gun Analysis Branch: field support. The National Tracing Division staff conducts traces, analyzes the results, provides case leads, crime gun mapping, and jurisdictional analysis for ATF agents and inspectors and for other law enforcement agencies, and prepares the *Crime Gun Trace Reports.* The YCGII staff at the National Tracing Center provides trace support for all ATF firearms enforcement programs and locally based gun enforcement initiatives. A national update on crime gun tracing is included in the *National Report*, and city information in each *City Report.*

In the field: investigation, inspections, trace support, and training. In the field, YCGII is an enforcement collaboration among Federal, State, and local law enforcement agencies, and ATF agents and inspectors. The primary role of the YCGII field staff is to conduct criminal investigations and regulatory inspections. YCGII also provides joint training in tracing, serial number restoration, and gun enforcement investigative methods to ATF agents and their State and local partners. YCGII staff also assists local law enforcement agencies to establish crime gun tracing, with technical support and training.

YCGII's special focus on juvenile and youth gun crime. As the *National Report* shows, juveniles (ages 17 and under) accounted for 8 percent of traced crime guns, and youth (ages 18-24) accounted for 33 percent of traced crime guns. ATF agents and inspectors participating in YCGII have a special responsibility for developing investigative information and carrying out enforcement actions involving juveniles and youth. Because juveniles are prohibited from acquiring and possessing handguns without parental involvement, some form of illegal diversion is almost always implicated in an investigation involving a juvenile's possession of a handgun, making crime handgun tracing especially critical. The *Crime Gun Trace Reports,* therefore, focus throughout on the variations in the crime guns and sources of illegal supply to juveniles, youth, and adults.

Following the Gun to Successful Firearms Enforcement

Crime gun tracing. Crime gun tracing is a law enforcement tool developed by ATF to investigate violations of the Nation's firearms laws. A crime gun trace identifies the Federal firearms licensee (FFL) who is the original retail seller of the firearm and the firearm's retail purchaser by tracking the manufacturer, caliber, and serial number on transfer documentation from the manufacturer or importer through the wholesaler to the retail seller and first purchaser. A *crime gun trace alone does not mean that an FFL or firearm purchaser has committed an unlawful act. Crime gun trace information is used in combination with other investigative facts in regulatory and criminal enforce*ment. Crime gun tracing has three primary purposes:

- **Identifying individual armed criminals for prosecution.** Like a fingerprint or other identifying evidence, a crime gun trace is used in individual cases to link a firearm offender to his or her weapon, or identify the illegal supplier of a firearm to the criminal, juvenile, or other person prohibited from possessing a firearm. Such investigative work is conducted by local officials and by ATF.
- **Proactive local investigative and strategic analysis to target armed violent criminals and gun traffickers for prosecution.** When officials in a jurisdiction trace all recovered crime guns, law enforcement officials are able to detect patterns in the buying and selling of crime guns in their areas (pattern and trend analysis). This information combined with other indicators leads to the arrest of additional traffickers and armed felons and to regulatory enforcement actions against Federal firearms licensees violating the firearms laws and trafficking illegally. Analysis and mapping of local crime gun patterns is done by ATF at the Crime Gun Analysis Branch and in the field and by State and local law enforcement officials with access to ATFs Online LEAD crime gun information system, or using State firearms information systems.
- ***Crime Gun Trace Reports*** **to assist law enforcement officials in placing local crime guns in a regional and national strategic enforcement context.** Analysis of all available comprehensive trace information, locally and nationally, informs Federal, State, and local authorities of the source and market areas for crime guns, and other regional patterns. This information enables ATF to target criminal and regulatory resources, and assist Federal, State, and local law enforcement officials to develop national, regional, and local strategic responses to gun crime. ATF is uniquely qualified to conduct such analysis because it is the repository for crime gun traces and related information from all jurisdictions that trace crime guns.

Ballistics identification in relation to crime gun tracing. Many agencies are now using both crime gun tracing and ballistics identification to support firearm investigations. An expended cartridge or bullet may be recovered in addition to or in the absence of a crime gun. Once entered in an imaging database, the recovered cartridge or bullet can be matched to previously entered ballistics images to identify repeat uses of the same firearm. Currently, ballistics images also can provide the basis for a crime gun trace only if the firearm with which they are associated has been previously traced and a cartridge or bullet from that firearm entered into a local database of the National Integrated Ballistics Information Network. Ballistics Imaging technology does not automatically submit the crime gun to be traced through the National Tracing Center. In the future, expansion of the crime gun tracing system to include trace information derived from ballistics images as well as recovered firearms will allow additional firearms crimes to be solved and a more complete understanding of how violent offenders and prohibited persons illegally obtain firearms.

2 - General Findings

2 - 1 Introduction

This section describes key crime gun patterns based on the analysis of information from 88,570 trace requests made by law enforcement officials in 44 communities participating in the Youth Crime Gun Interdiction Initiative that have populations greater than 250,000[1]. The 44 jurisdictions over 250,000 comprise two thirds (67 percent) of the 68 U.S. jurisdictions which, according to the 2000 census, have a population over 250,000. The population of these 44 jurisdictions is 39 million persons, which is 80 percent of the 49 million persons living in U.S. cities having over 250,000 inhabitants[2]. While not yet meeting the program's long-term goal of complete national geographic coverage, this sample provides a reasonable basis for analyzing and reporting crime gun trace information.

This section uses information from trace requests and completed traces to describe the relationship between the crime gun possessor's age and:

- the type, manufacturer, caliber, and model of crime guns recovered,
- the results of trace requests,
- the recovery date and location, and
- the date and location of crime gun purchases.

In addition, this section describes the nature of crime guns when exploring time-to-crime, obliterated serial numbers and multiple sale transactions.

Possessor Age Group. To show age differences in crime gun information, this report puts the 88,570 trace requests into three age groups-*Juvenile* (Ages 17 & Younger), *Youth* (Ages 18-24), and *Adult* (Ages 25 & Older). The total for all age groups is also included, and some of the analyses also provide information about the trace requests for which age is unknown.

Annual Reports of Criminal Behavior. This compilation of information from crime gun trace requests initiated during calendar year 2000 complements the Federal Bureau of Investigation (FBI) *Uniform Crime Reports*, the *National Crime Victimization Survey* of the Bureau of Justice Statistics, ATF's reporting on firearms commerce and firearms trafficking investigations,[3] and other efforts to improve understanding of violent crime in the United States.

[1] In addition to these 44 communities, the trace requests from three North Carolina communities—Greensboro, Winston-Salem and High Point—are included in the national findings. These three closely connected communities are administered as one jurisdiction by the YCGII program.

[2] Percentages reported in the text of this section are rounded to the nearest percent.

[3] *Following the Gun: Enforcing Federal Laws Against Firearms Traffickers*, Department of the Treasury, Bureau of Alcohol, Tobacco and Firearms, June 2000; *Commerce in Firearms in the United States (1999)*, Department of the Treasury, Bureau of Alcohol, Tobacco and Firearms, February 2000.

2 - 2 Age of Possessors

Possessor's Age. Information on the age of the crime gun possessor is included in 53,865 (61 percent) of the 88,570 trace requests received from participating jurisdictions. Age of possessors is determined based on the possessor's date of birth and the date that the crime gun was recovered.

Peak Ages 19 to 21. As displayed in *Figure* 1, the age of crime gun possessors with the single most frequent number of trace requests (2,930) is 21, followed closely by ages 20 (2,751) and 19 (2,744). There is a dramatic increase in the number of traces from (141) age 13 to (2,569) age 18. More than 18,000 crime guns are recovered from individuals between the ages of 18 and 24, the peak years for being a crime gun possessor. The number of crime gun trace requests drops steadily from (1,942) age 25 to (1,321) age 30, and at age 50, there are only 584 trace requests.[4]

Juvenile, Youth, and Adult Crime Guns. As presented in *Table* 1, among the trace requests for which the possessor's age is known, adult possession accounts for more than 59 percent of the trace requests, youth possession accounts for 33 percent, and the juvenile category accounts for 8 percent.

City Variations. The age distribution of crime gun possessors can vary considerably from the national averages across cities. In certain cities, firearms were recovered predominantly from adults. For example, adults comprise 83 percent of the gun possessors in *San Jose, CA*; 77 percent of the gun possessors in *Miami, FL*; 76 percent of the gun possessors in *Tampa*, FL; 73 percent of the gun possessors in *Portland, OR*; and 72 percent of the gun possessors in *Jacksonville, FL* and *Oklahoma City, OK*. In other cities, firearms are most frequently recovered from youth. Youth comprise 58 percent of the gun possessors in *Newark, NJ*; 49 percent of the gun possessors in *Washington, DC*; 47 percent of the gun possessors in *Gary, IN*; and 46 percent of the gun possessors in *Stockton, CA*.

Age of Firearm-Related Homicide Offenders. Gun homicides committed by juveniles and youth have declined 53 percent, from 11,657 in 1993 to 6,147 in 1999. Offenders under 25 years of age account for 56 percent of all gun homicides in 1999. Juveniles alone accounted for 11 percent of gun homicides in 1999, the latest year for which detailed information is currently available.[5]

Age of Violent Offenders. Information about the age of crime gun possessors closely parallels data gathered on violent crime from other sources. The number of persons arrested for murder, forcible rape, robbery, and aggravated assault peaks at ages 18 or 19. Individuals aged 18 to 20 account for 21 percent of all persons arrested for murder, 15 percent for forcible rape, 22 percent for robbery, and 12 percent for aggravated assault.[6]

[4] For a detailed listing of the number of trace requests by age, see Appendix B.

[5] James A. Fox and Marianne W. Zawitz, *Homicide Trends in the U.S.*, Bureau of Justice Statistics, January 4, 2001.

[6] FBI *Uniform Crime Reports 2000*, Table 38, Section IV, page 12.

Figure 1: Age of Crime Gun Possessor

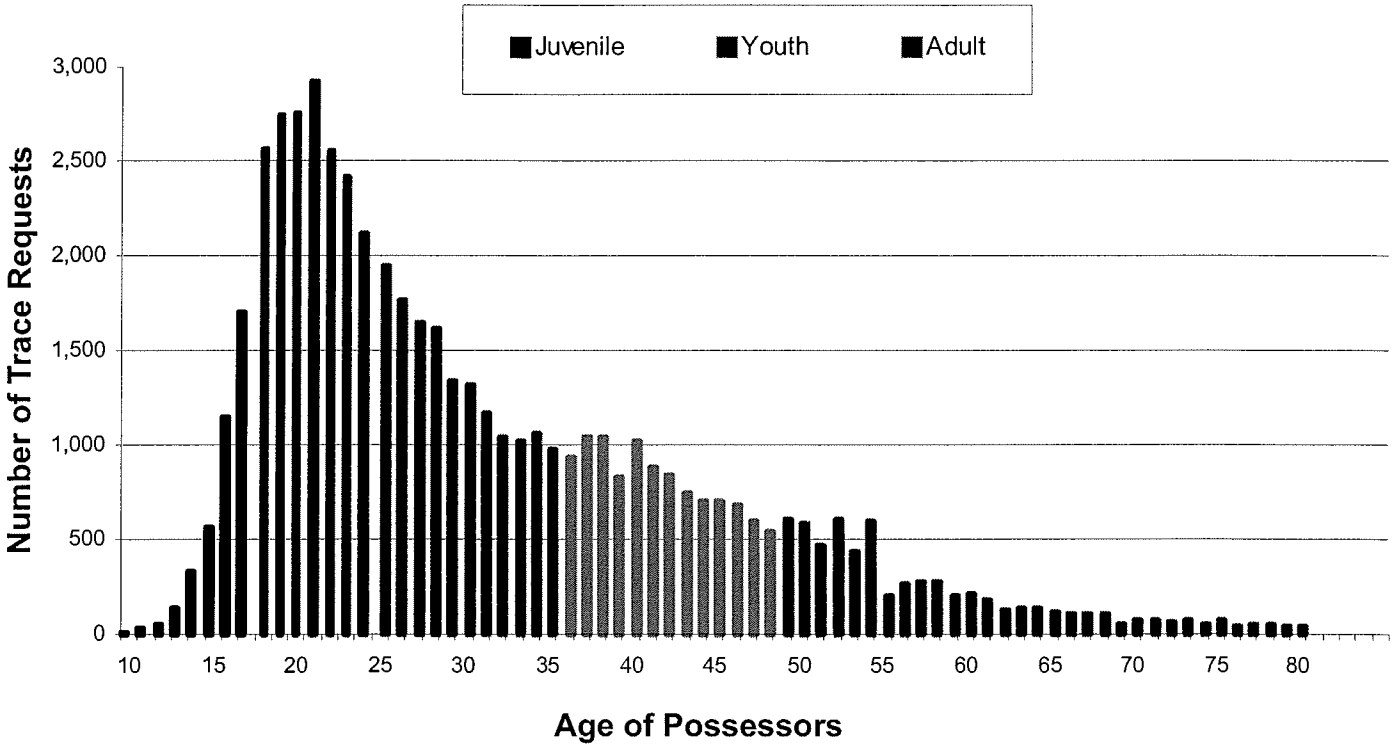


Table 1: Age Group of Crime Gun Possessor

	Number	Percent
Trace Requests for which Possessor's Age can be Determined	54,241	100.0%
Crime Gun Trace Requests with:		
Juvenile Possessor (ages 17 & younger)	4,112	7.6%
Youth Possessor (ages 18 - 24)	18,085	33.3%
Adult Possessor (ages 25 & older)	32,044	59.1%

2 - 3 Firearm Type, Caliber, Manufacturer, and Model

Trace Request Information. Trace requests are required to include the type, caliber, manufacturer, and serial number of the crime gun because this information is necessary to trace a firearm from manufacturer and wholesale distributor to the initial retail sale. Information about the particular model of the firearm is not required but is provided consistently in some jurisdictions. (See Appendix C, ATF Firearm Trace Request Form.).

Firearm Classification in this Report. Generally, crime guns described in this report are classified by the different kinds of information provided on the ATF trace form. For some of the tables and figures in this report, firearms are placed into two basic groups: *handguns* and *long guns*. Handguns include *semiautomatic pistols, revolvers*, and *derringers*. Long guns include *shotguns* and *rifles*.[7]

Crime Gun Patterns. Classifying crime guns by type, caliber, manufacturer, and model allows law enforcement to differentiate among firearms. When large numbers of trace requests are analyzed, the patterns in crime gun types emerge. With more comprehensive information, more complete analysis is possible. In this report, patterns are highlighted by focusing on type, caliber, manufacturer, and model.

Targeting Criminals, Promoting Officer Safety. Detailed information about crime guns enables law enforcement to target criminal and regulatory resources on the sources of those crime guns. As criminals shift illegal sources, law enforcement officials can target the new sources and reduce future illegal acquisitions. Knowledge of which crime guns criminals are using is also an important consideration for State and local law enforcement in assessing potential departmental safety measures.

[7]A small number of firearms are accounted for in the *Other* category, not reported here.

Firearm Type

Handguns, Especially Semiautomatic Pistols. As displayed in *Figure 2* and *Table 2,* crime guns are predominantly handguns (77 percent) and, among handguns, mostly semiautomatic pistols, which alone account for half (50 percent) of all crime guns traced.

Juveniles and Youth with Handguns, Adults with More Long Guns. Semiautomatic pistols are more prevalent among juveniles (57 percent) and youth (61 percent) than among adults (47 percent). A substantial portion of firearm traces, 22 percent, involve a shotgun or a rifle. Adults are almost twice as likely (26 percent) as juveniles (15 percent) to possess a recovered long gun.

City Variations. The distribution of semiautomatic pistols, revolvers, shotguns, and rifles among adult, youth, and juvenile possessors is remarkably stable across participating cities, but there are some important differences in a few cities.

- For example, 94 percent of the firearms submitted for tracing by *Atlanta, GA,* are handguns. Semiautomatic pistols are clearly the weapon of choice in *Atlanta*; 82 percent of youth recoveries, 73 percent of juvenile recoveries, and 68 percent of adult recoveries in Atlanta were semiautomatic pistols.
- Trace requests in *Phoenix, AZ,* and *Philadelphia, PA,* also reveal a high percentage of semiautomatic pistols across all age groups.
- In some cities, there are higher percentages of semiautomatic pistol recoveries in only one age group. For example, 77 percent of the guns recovered from youth in *Gary, IN*, 74 percent of the guns recovered from youth in *Louisville, KY*, and 72 percent of the guns recovered from juveniles in *Portland, OR,* are semiautomatic pistols.
- Revolvers are the most frequently recovered firearms from youth and juveniles in *Jersey City, NJ,* (67 percent) and *Pittsburgh, PA,* (45 percent).
- Long guns are also more frequently recovered from youth and juveniles in *San Jose, CA*; *Salinas,* CA; San *Antonio, TX*; and *Minneapolis, MN,* when compared with participating cities overall.

Figure 2: Major Gun Types by Age Group of Possessor

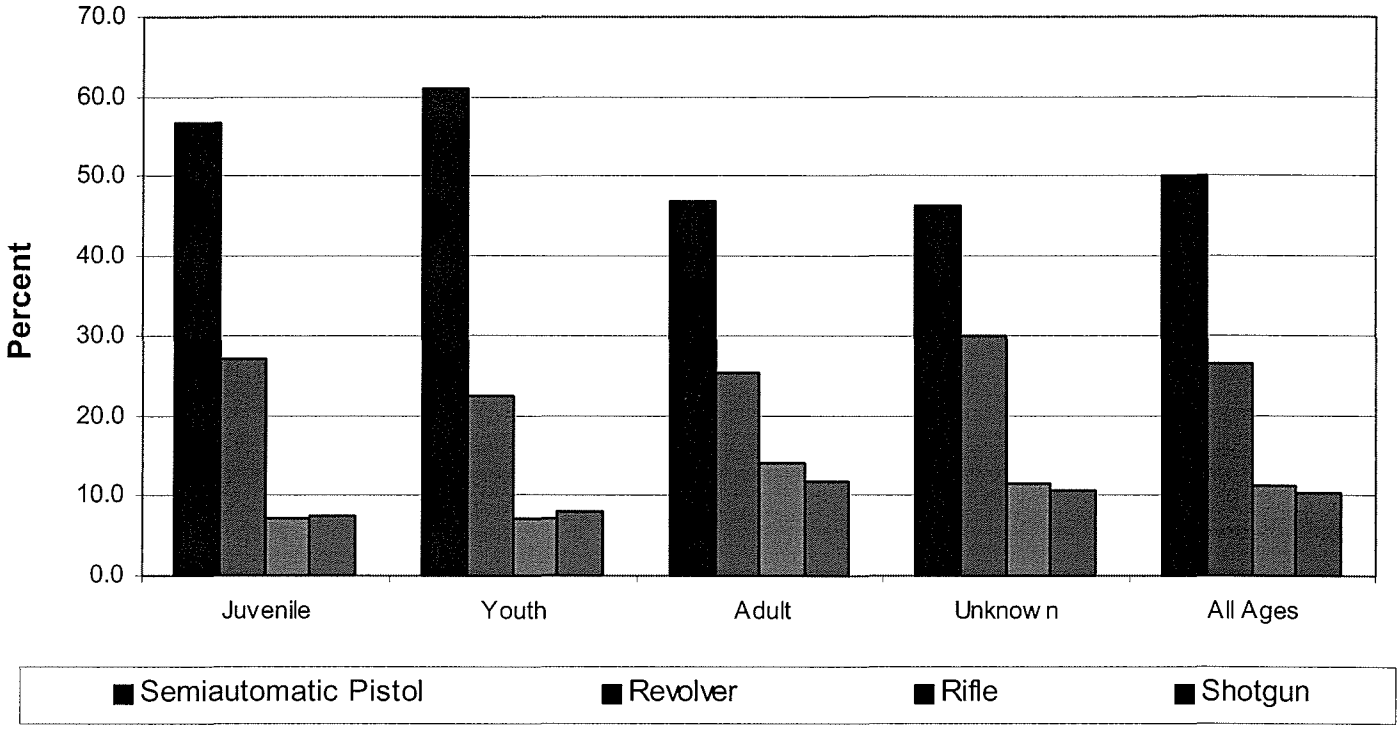


Table 2: Firearm Type by Age Group of Possessor

Firearm Type	Juvenile (ages 17 & younger)		Youth (ages 18 - 24)		Adult (ages 25 & older)		Age Unknown		All Ages	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
All Firearm Types	4,112	100.0	18,085	100.0	32,044	100.0	34,329	100.0	88,570	100.0
Semiautomatic Pistol	2,332	56.7	11,036	61.0	15,032	46.9	15,952	46.5	44,352	50.1
Revolver	1,113	27.1	4,089	22.6	8,094	25.3	10,257	29.9	23,553	26.6
Rifle	297	7.2	1,282	7.1	4,508	14.1	3,907	11.4	9,994	11.3
Shotgun	312	7.6	1,475	8.2	3,810	11.9	3,681	10.7	9,278	10.5
Other	58	1.4	203	1.1	600	1.9	532	1.5	1,393	1.6

Type and Caliber/Gauge of Firearms

Most Frequently Traced Handguns and Long Guns by Type and Caliber. *Table 3* and *Figure 3* rank the most frequent handgun types and caliber for which trace requests were submitted separately of juveniles, youth, adults and all ages combined. *Table 4* and *Figure 4* rank long gun types and caliber in a similar manner.

Four Main Handguns. When crime guns are described by type and caliber, they are notably concentrated. Four handgun types and caliber accounted for 60 percent of all handgun trace requests:

- 9mm semiautomatic pistols
- .38 caliber revolvers
- .380 caliber semiautomatic pistols
- .25 caliber semiautomatic pistols

Youth and 9mm Semiautomatic Pistols. While the 9mm semiautomatic pistol is the most frequent handgun type among all age groups (23 percent), this is especially so among youth, where this one handgun type accounted for 28 percent of all trace requests.

Three Main Long Guns. As shown in *Table 4* and *Figure 4,* there is even greater concentration among long guns recovered as crime guns than there is among handguns. In all age groups combined, three long gun types (12 gauge shotgun, .22 caliber rifle and 7.62mm rifle) account for more than two thirds (12,659) of all long gun trace requests (19,311).

Juveniles and Youth. The concentration of the 12 gauge shotgun, .22 caliber rifle and the 7.62mm rifle is only slightly greater within the juvenile (68 percent) and youth (70 percent) age groups than among adults (63 percent).

Table 3: Top Ten Handguns by Type and Caliber by Age Group of Possessor

Handgun Type and Caliber	Juvenile (ages 17 & younger) Number	Percent
Semiautomatic Pistol 9mm	645	18.5
Semiautomatic Pistol .380	533	15.3
Semiautomatic Pistol .25	510	14.6
Revolver .38	459	13.2
Revolver .22	315	9.0
Semiautomatic Pistol .22	234	6.7
Revolver .357	152	4.4
Semiautomatic Pistol .45	147	4.2
Revolver .32	133	3.8
Semiautomatic Pistol .32	115	3.3
Top Ten Handguns	3,243	93.0
All Handguns	3,487	100.0

Handgun Type and Caliber	Youth (ages 18-24) Number	Percent
Semiautomatic Pistol 9mm	4,289	28.0
Semiautomatic Pistol .380	2,319	15.2
Revolver .38	1,837	12.0
Semiautomatic Pistol .25	1,264	8.3
Semiautomatic Pistol .45	1,123	7.3
Semiautomatic Pistol .40	858	5.6
Revolver .357	849	5.6
Revolver .22	732	4.8
Semiautomatic Pistol .22	635	4.2
Revolver .32	418	2.7
Top Ten Handguns	14,324	93.7
All Handguns	15,293	100.0

Handgun Type and Caliber	Adult (ages 25 & older) Number	Percent
Semiautomatic Pistol 9mm	5,471	23.1
Revolver .38	3,506	14.8
Semiautomatic Pistol .380	2,933	12.4
Semiautomatic Pistol .25	1,900	8.0
Revolver .357	1,684	7.1
Semiautomatic Pistol .45	1,632	6.9
Revolver .22	1,555	6.6
Semiautomatic Pistol .22	1,121	4.7
Semiautomatic Pistol .40	1,059	4.5
Revolver .32	660	2.8
Top Ten Handguns	21,521	91.1
All Handguns	23,635	100.0

Handgun Type and Caliber Age Unknown	Number	Percent
Semiautomatic Pistol 9mm	5,553	20.9
Revolver .38	4,318	16.2
Semiautomatic Pistol .380	3,115	11.7
Semiautomatic Pistol .25	2,644	9.9
Revolver .22	2,158	8.1
Revolver .357	1,671	6.3
Semiautomatic Pistol .45	1,401	5.3
Revolver .32	1,395	5.2
Semiautomatic Pistol .22	1,295	4.9
Semiautomatic Pistol .40	916	3.4
Top Ten Handguns	24,466	91.9
All Handguns	26,612	100.0

Table 3: Top Ten Handguns by Type and Caliber by Age Group of Possessor (Continued)

Handgun Type and Caliber	All Ages	
	Number	Percent
Semiautomatic Pistol 9mm	15,958	23.1
Revolver .38	10,120	14.7
Semiautomatic Pistol .380	8,900	12.9
Semiautomatic Pistol .25	6,318	9.2
Revolver .22	4,760	6.9
Revolver .357	4,356	6.3
Semiautomatic Pistol .45	4,303	6.2
Semiautomatic Pistol .22	3,285	4.8
Semiautomatic Pistol .40	2,915	4.2
Revolver .32	2,606	3.8
Top Ten Handguns	63,521	92.0
All Handguns	69,027	100.0

Figure 3: Top Ten Handguns by Type and Caliber for All Ages

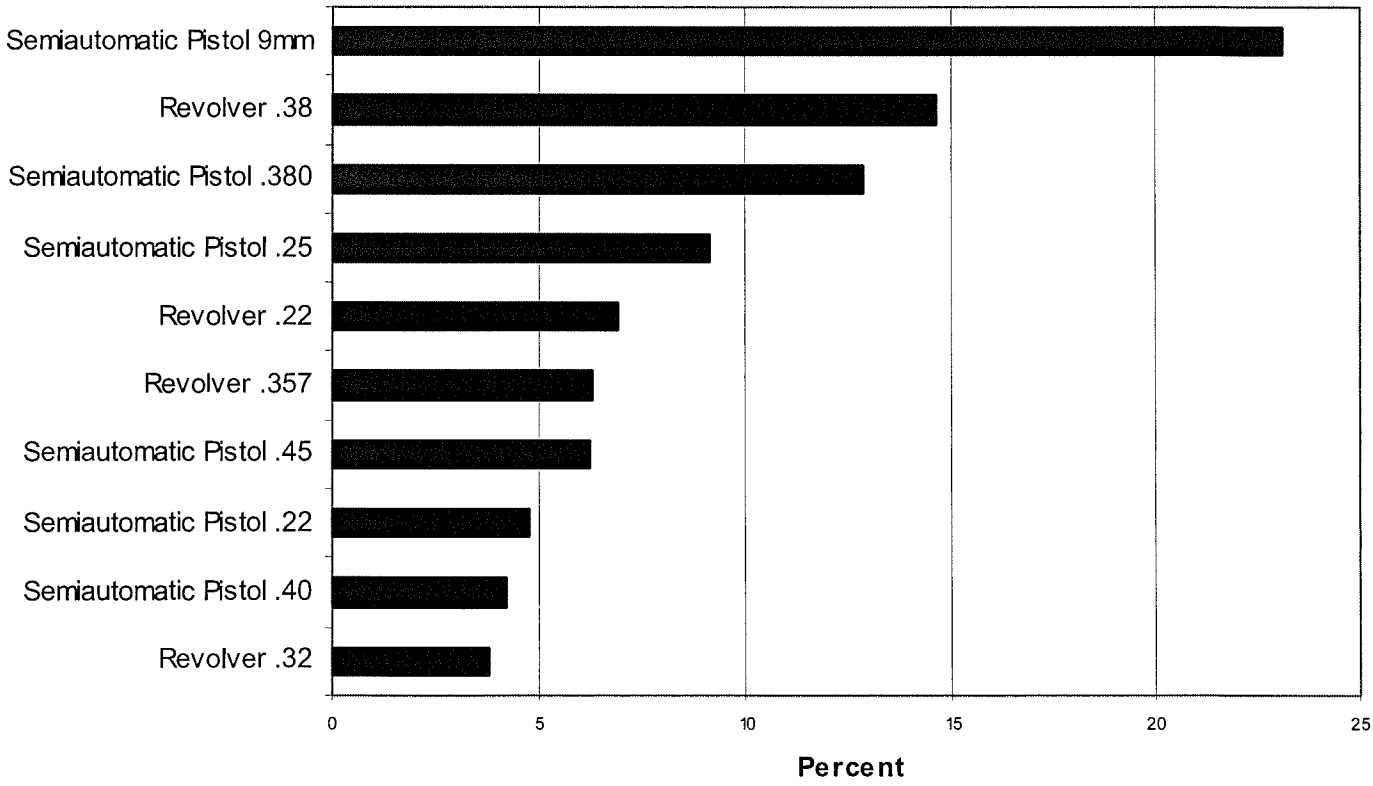


Table 4: Top Ten Long Guns by Type and Caliber/Gauge by Age Group of Possessor

Long Gun Type and Caliber	Juvenile (ages 17 & younger) Number	Percent
Shotgun 12 GA	222	36.4
Rifle .22	142	23.3
Rifle 7.62mm	52	8.5
Shotgun 20	47	7.7
Shotgun .410 GA	21	3.4
Shotgun 16 GA	20	3.3
Rifle .30	16	2.6
Rifle 30-30	14	2.3
Rifle 9mm	10	1.6
Rifle .30-06	9	1.5
Top Ten Long Guns	553	90.7
All Long Guns	610	100.0

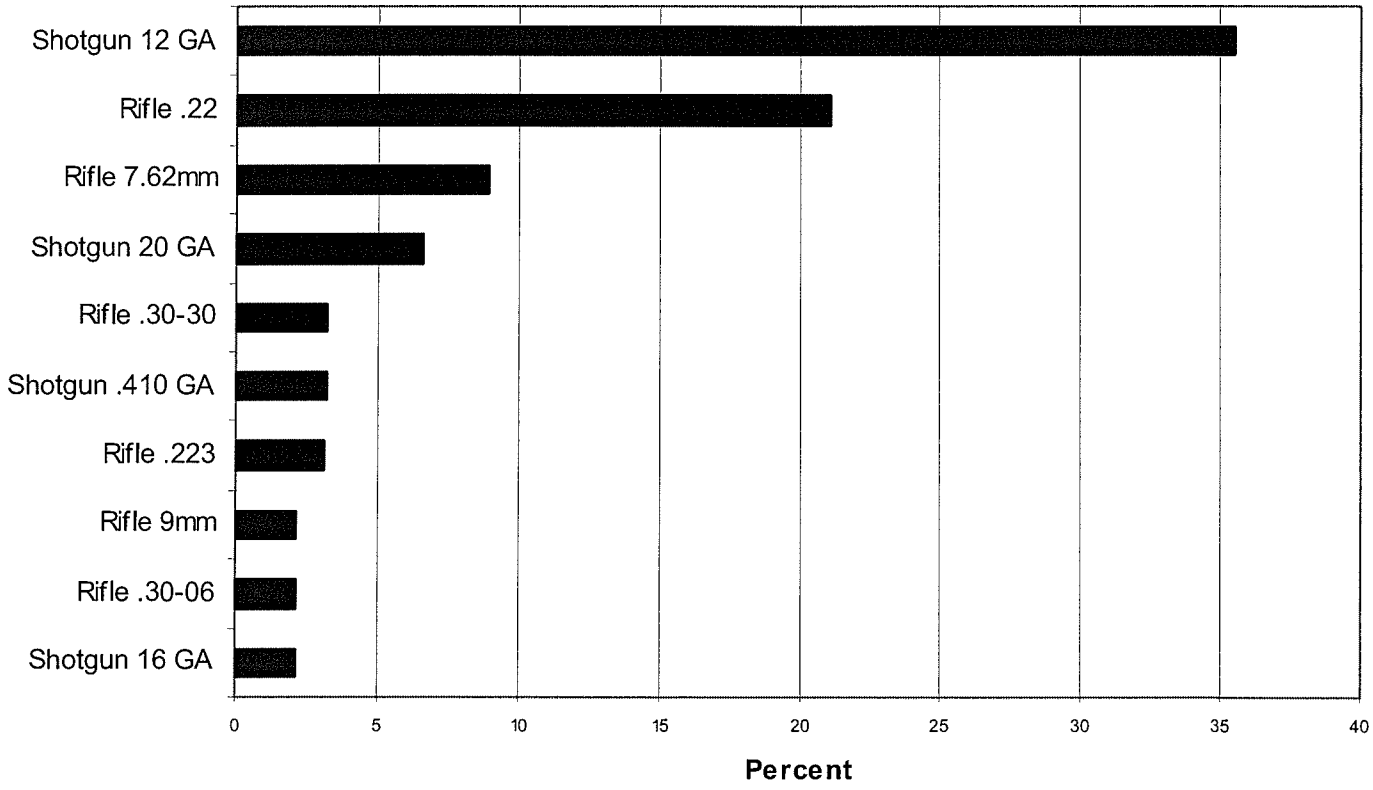
Long Gun Type and Caliber	Youth (ages 18-24) Number	Percent
Shotgun 12 GA	1,134	41.1
Rifle .22	449	16.3
Rifle 7.62mm	340	12.3
Shotgun 20 GA	201	7.3
Rifle 9mm	121	4.4
Rifle .223	89	3.2
Shotgun .410 GA	77	2.8
Rifle .30-30	67	2.4
Shotgun 16 GA	52	1.9
Rifle .30	47	1.7
Top Ten Long Guns	2,577	93.3
All Long Guns	2,761	100.0

Long Gun Type and Caliber	Adult (ages 25 & older) Number	Percent
Shotgun 12 GA	2,840	34.1
Rifle .22	1,718	20.6
Rifle 7.62mm	699	8.4
Shotgun 20 GA	522	6.3
Rifle .30-30	314	3.8
Rifle .223	311	3.7
Shotgun .410 GA	230	2.8
Rifle .30-06	199	2.4
Rifle .30	174	2.1
Shotgun 16 GA	159	1.9
Top Ten Long Guns	7,166	86.0
All Long Guns	8,336	100.0

Long Gun Type and Caliber	Age Unknown Number	Percent
Shotgun 12 GA	2,658	35.0
Rifle .22	1,767	23.2
Rifle 7.62mm	638	8.4
Shotgun 20 GA	507	6.7
Shotgun .410 GA	287	3.8
Rifle .30-30	221	2.9
Rifle .223	193	2.5
Shotgun 16 GA	178	2.3
Rifle .30-06	169	2.2
Rifle 9mm	157	2.1
Top Ten Long Guns	6,775	89.1
All Long Guns	7,604	100.0

Long Gun Type and Caliber	All Ages Number	Percent
Shotgun 12 GA	6,854	35.5
Rifle .22	4,076	21.1
Rifle 7.62mm	1,729	9.0
Shotgun 20 GA	1,277	6.6
Rifle .30-30	616	3.2
Shotgun .410 GA	615	3.2
Rifle .223	599	3.1
Rifle 9mm	412	2.1
Rifle .30-06	410	2.1
Shotgun 16 GA	409	2.1
Top Ten Long Guns	16,997	88.0
All Long Guns	19,311	100.0

Figure 4: Top Ten Long Guns by Type and Caliber/Gauge for All Ages



Manufacturer, Caliber/Gauge, and Type of Firearms

Most Frequently Traced Firearms, Handguns, and Long Guns. *Table 5* ranks frequently traced firearms by manufacturer, caliber/gauge, and type for each age group. *Table 6* lists the top ten most frequent handguns among the trace requests for all age groups combined. *Table 7* is a similar ranking for the top ten long guns.

Crime Guns Concentrated. Ten firearms by manufacturer, caliber, and type account for 22 percent (19,743) of all trace requests (88,570). Over 1,500 different firearm variations account for the remaining crime guns (68,827).

Most Frequently Traced Crime Guns. Smith & Wesson .38 revolvers (3,418 trace requests) top the list for *all age groups combined* and for *adults*. This same firearm ranks third among *youth* and *juveniles*. The Lorcin Engineering .380 semiautomatic pistol is the firearm most frequently traced among *juveniles*, the second most frequent among *youth* and the third most frequent among *adults*. The Ruger 9mm semiautomatic pistol is the most frequently traced firearm among *youth* and the second most frequently traced firearm among *adult* and among *all age* categories.

The only long gun in the top 10 traced firearms among *all age groups combined* is the Mossberg 12 gauge shotgun (ranked fifth with 1,774 trace requests). The Mossberg 12 gauge shotgun is the fourth most frequently traced firearm among adults and the ninth among youth. The Remington Arms 12 gauge shotgun, with 484 trace requests, ranks ninth among adults.

Table 5: Top Ten Guns by Manufacturer, Caliber/Gauge, and Type by Age Group of Possessor

Juvenile (ages 17 & younger)

Manufacturer	Caliber/Gauge	Type of Crime Gun	Number of Crime Guns	Percent of Crime Guns
LORCIN ENGINEERING	.380	Semiautomatic Pistol	164	4.0
RAVEN ARMS	.25	Semiautomatic Pistol	159	3.9
SMITH & WESSON	.38	Revolver	146	3.6
BRYCO ARMS	.380	Semiautomatic Pistol	92	2.2
RUGER	9mm	Semiautomatic Pistol	89	2.2
DAVIS INDUSTRIES	.380	Semiautomatic Pistol	88	2.1
LORCIN ENGINEERING	.25	Semiautomatic Pistol	81	2.0
BRYCO ARMS	9mm	Semiautomatic Pistol	65	1.6
SMITH & WESSON	.357	Revolver	65	1.6
RG INDUSTRIES	.22	Revolver	64	1.6
Top Ten Crime Guns			1,013	24.6
All Crime Guns			4,112	100.0

Table 5: Top Ten Guns by Manufacturer, Caliber/Gauge, and Type by Age Group of Possessor (Continued)

Youth (ages 18-24)

Manufacturer	Caliber/Gauge	Type of Crime Gun	Number of Crime Guns	Percent of Crime Guns
RUGER	9mm	Semiautomatic Pistol	682	3.8
LORCIN ENGINEERING	.380	Semiautomatic Pistol	646	3.6
SMITH & WESSON	.38	Revolver	585	3.2
BRYCO ARMS	9mm	Semiautomatic Pistol	518	2.9
BRYCO ARMS	.380	Semiautomatic Pistol	443	2.4
SMITH & WESSON	9mm	Semiautomatic Pistol	407	2.3
RAVEN ARMS	.25	Semiautomatic Pistol	395	2.2
DAVIS INDUSTRIES	.380	Semiautomatic Pistol	393	2.2
MOSSBERG	12 GA	Shotgun	357	2.0
HI-POINT	9mm	Semiautomatic Pistol	356	2.0
Top Ten Crime Guns			4,782	26.4
All Crime Guns			18,085	100.0

Adult (ages 25 & older)

Manufacturer	Caliber/Gauge	Type of Crime Gun	Number of Crime Guns	Percent of Crime Guns
SMITH & WESSON	.38	Revolver	1,234	3.9
RUGER	9mm	Semiautomatic Pistol	812	2.5
LORCIN ENGINEERING	.380	Semiautomatic Pistol	744	2.3
MOSSBERG	12 GA	Shotgun	718	2.2
SMITH & WESSON	9mm	Semiautomatic Pistol	649	2.0
SMITH & WESSON	.357	Revolver	640	2.0
MARLIN	.22	Rifle	545	1.7
RAVEN ARMS	.25	Semiautomatic Pistol	526	1.6
REMINGTON ARMS CO.	12 GA	Shotgun	484	1.5
BRYCO ARMS	.380	Semiautomatic Pistol	469	1.5
Top Ten Crime Guns			6,821	21.3
All Crime Guns			32,044	100.0

Table 5: Top Ten Guns by Manufacturer, Caliber/Gauge, and Type by Age Group of Possessor (Continued)

All Ages				
Manufacturer	**Caliber/Gauge**	**Type of Crime Gun**	**Number of Crime Guns**	**Percent of Crime Guns**
SMITH & WESSON	.38	Revolver	3,418	3.9
RUGER	9mm	Semiautomatic Pistol	2,368	2.7
LORCIN ENGINEERING	.380	Semiautomatic Pistol	2,351	2.7
RAVEN ARMS	.25	Semiautomatic Pistol	1,885	2.1
MOSSBERG	12 GA	Shotgun	1,774	2.0
SMITH & WESSON	9mm	Semiautomatic Pistol	1,696	1.9
SMITH & WESSON	.357	Revolver	1,645	1.9
BRYCO ARMS	9mm	Semiautomatic Pistol	1,576	1.8
BRYCO ARMS	.380	Semiautomatic Pistol	1,568	1.8
DAVIS INDUSTRIES	.380	Semiautomatic Pistol	1,462	1.7
Top Ten Crime Guns			19,743	22.3
All Crime Guns			88,570	100.0

City variations. The top 10 firearms are well represented among the most frequently recovered firearms in all participating cities, but the specific mix of firearms in particular cities differs from the national top 10 crime guns. Local law enforcement agencies should be aware that manufacturers and caliber of firearms not listed in the overall top 10 crime guns may comprise an important part of the local illegal gun market for a particular age group within their city. Three firearms were not represented in the overall top 10 recovered crime guns for any age group, but were frequently recovered crime guns in many jurisdictions:

- the North China Industries 7.62mm rifle, a firearm frequently recovered from adults, youth, and/or juveniles in 20 cities (*Albuquerque, NM; Austin, TX; Baton Rouge, LA; Birmingham, AL; Buffalo, NY; Anaheim, Long Beach, and Santa Ana, CA; Charlotte-Mecklenburg, NC; Denver and Aurora, CO; Los Angeles, CA; Las Vegas, NV; Minneapolis, MN; Phoenix, AZ; Portland, OR; Richmond, VA; Salinas, CA; Seattle, WA; San Antonio, TX; Stockton, CA; Saint Louis, MO; Tucson, AZ*).
- the Glock G.m.b.H. 9mm semiautomatic pistol, a firearm frequently recovered from adults, youth, and/or juveniles in 13 cities (*Albuquerque, NM; Atlanta, GA; Austin, TX; Anaheim, Long Beach, and Santa Ana, CA; Denver and Aurora, CO; Las Vegas, NV; Miami, FL; Oakland, CA; Pittsburgh, PA; Philadelphia, PA; Portland, OR; Seattle, WA; Tampa, FL*).
- the Glock G.m.b.H. .40 caliber semiautomatic pistol, a firearm frequently recovered from adults, youth, and/or juveniles in 8 cities (*Boston, MA; Anaheim, Santa Ana, and Long Beach, CA; Indianapolis, IN; Las Vegas, NV; Miami, FL; New Orleans, LA; Nashville, TN; Seattle, WA*).

Most Frequently Traced Handguns. As shown in *Table* 6, three handguns manufactured by Smith & Wesson, the .38 caliber and .357 caliber revolvers and the 9mm semiautomatic pistol, rank in the top ten most frequently traced handguns. Two handguns manufactured by Bryco Arms, the .380 caliber and the 9mm semiautomatic pistol, are also included in the top ten most frequently traced handguns.[8]

Most Frequently Traced Long Guns. As shown in *Table* 7, the Mossberg 12 gauge shotgun represents 9 percent (1,774) of long gun trace requests among all age groups. The imported North China Industries 7.62mm rifle constitutes 6 percent (1,151) of all long gun trace requests and ranks third for long guns among all age groups.

[8] See Section 4-4 for a discussion of manufacturer ranking when the specific model of firearm is considered, in contrast to a ranking of firearms by *manufacturer and caliber*, as here.

Table 6: Top Ten Handguns by Manufacturer, Calbiber, and Type

Handguns				
Manufacturer	**Caliber/Gauge**	**Type of Crime Gun**	**Number of Crime Guns**	**Percent of Crime Guns**
SMITH & WESSON	.38	Revolver	3,418	5.0
RUGER	9mm	Semiautomatic	2,368	3.4
LORCIN ENGINEERING	.380	Semiautomatic	2,351	3.4
RAVEN ARMS	.25	Semiautomatic	1,885	2.7
SMITH & WESSON	9mm	Semiautomatic	1,696	2.5
SMITH & WESSON	.357	Revolver	1,645	2.4
BRYCO ARMS	9mm	Semiautomatic	1,576	2.3
BRYCO ARMS	.380	Semiautomatic	1,568	2.3
DAVIS INDUSTRIES	.380	Semiautomatic	1,462	2.1
TAURUS	.38	Revolver	1,223	1.8
Top Ten Handguns			19,192	27.8
All Handguns			69,027	100.0

Table 7: Top Ten Long Guns by Manufacturer, Calbiber/Gauge, and Type

Long Guns				
Manufacturer	**Caliber/Gauge**	**Type of Crime Gun**	**Number of Crime Guns**	**Percent of Crime Guns**
MOSSBERG	12 GA	Shotgun	1,774	9.2
MARLIN	.22	Rifle	1,321	6.8
NORTH CHINA INDUSTRIES	7.62mm	Rifle	1,151	6.0
REMINGTON ARMS CO.	12 GA	Shotgun	1,057	5.5
WINCHESTER	12 GA	Shotgun	849	4.4
SAVAGE	12 GA	Shotgun	641	3.3
REMINGTON ARMS	.22	Rifle	550	2.8
RUGER	.22	Rifle	473	2.4
WINCHESTER	.22	Rifle	438	2.3
MAVERICK ARMS (EAGLE PASS, TX)	12GA	Shotgun	402	2.1
Top Ten Long Guns			8,656	44.8
All Long Guns			19,311	100.0

Firearm Manufacturer and Model

Significance of Model Information. Firearms vary not only by caliber, type, and manufacturer but also by model. Law enforcement utilizes manufacturer, model, and caliber information to focus on major types of crime guns. Model information allows law enforcement to identify the preferences of crime gun possessors. Manufacturers that have been in business for many years have produced numerous models of firearms in certain frequently traced calibers. Other manufacturers are more recently established, out of business, and/or have manufactured only a few models. Therefore, when crime gun information is available by manufacturer only, the role of some models of crime guns may not be apparent. When model information is available, the placement of particular manufacturers' firearms on the list of most frequently traced firearms can change substantially.

Because firearms can be uniquely identified by the manufacturer, firearm type, caliber, and serial number, ATF does not require law enforcement agencies to include model information on trace requests. However, many agencies do regularly record and report model information. Model information was provided on 60,588 trace requests (69 percent of 88,570) among YCGII jurisdictions over 250,000 inhabitants during 2000. *Tables 8 and 9* report on the characteristics of the trace requests that include model information.

Handgun Models. As shown in *Table 8*, the most frequently traced handgun model, overall and in each possessor age group, is the Lorcin Engineering L380 .380 caliber semiautomatic pistol. Similarly, the second most frequently traced handgun in each possessor age group is the Davis Industries P380 .380 caliber semiautomatic pistol. By contrast, while the Smith & Wesson .38 caliber revolver is the most frequently traced firearm by manufacturer and caliber *(Table 5)*, no single model in *Table 8* appears with comparable frequency. When model information is included, the Ruger 9mm semiautomatic pistol that appears in second place on *Table 5* is shown to be two different firearms, the Model P95 and the Model P89, both of which appear in *Table 8.*

The Raven Arms .25 caliber semiautomatic pistols, among the top ten crime guns by manufacturer and caliber *(Table* 5), include the Model MP25, the fourth most frequently traced model. Bryco Arms .380 caliber and 9mm semiautomatic pistols appear on the top ten lists for juveniles and youths *(Table* 5); by model, the Model 9 and Model 38 were among the top ten crime guns for each age group.

Table 8: Top Ten Handguns by Manufacturer and Model by Age Group of Possessor

Juvenile (ages 17 & younger)

Manufacturer	Model	Caliber	Type	Number	Percent of Guns
LORCIN ENGINEERING	L380	.380	Semiautomatic Pistol	163	6.5
DAVIS INDUSTRIES	P380	.380	Semiautomatic Pistol	87	3.5
RAVEN ARMS	MP25	.25	Semiautomatic Pistol	87	3.5
LORCIN ENGINEERING	L25	.25	Semiautomatic Pistol	80	3.2
HI-POINT	C	9mm	Semiautomatic Pistol	54	2.2
LORCIN ENGINEERING	L9	9mm	Semiautomatic Pistol	50	2.0
PHOENIX ARMS CO.	RAVEN	.25	Semiautomatic Pistol	50	2.0
RUGER	P89	9mm	Semiautomatic Pistol	41	1.6
BRYCO ARMS	38	.380	Semiautomatic Pistol	40	1.6
BRYCO ARMS	9	9mm	Semiautomatic Pistol	39	1.6
Top Ten with Model Information				691	27.6
Total with Model Information				2,505	100.0

Table 8: Top Ten Handguns by Manufacturer and Model by Age Group of Possessor (Continued)

Youth (ages 18-24)

Manufacturer	Model	Caliber	Type	Number	Percent of Guns
LORCIN ENGINEERING	L380	.380	Semiautomatic Pistol	643	5.5
DAVIS INDUSTRIES	P380	.380	Semiautomatic Pistol	391	3.3
HI-POINT	C	9mm	Semiautomatic Pistol	348	3.0
BRYCO ARMS	9	9mm	Semiautomatic Pistol	288	2.5
LORCIN ENGINEERING	L9	9mm	Semiautomatic Pistol	280	2.4
RUGER	P95	9mm	Semiautomatic Pistol	269	2.3
RUGER	P89	9mm	Semiautomatic Pistol	251	2.1
RAVEN ARMS	MP25	.25	Semiautomatic Pistol	224	1.9
LORCIN ENGINEERING	L25	.25	Semiautomatic Pistol	216	1.8
BRYCO ARMS	38	.380	Semiautomatic Pistol	181	1.5
Top Ten with Model Information				3,091	26.4
Total with Model Information				11,710	100.0

Adult (ages 25 & older)

Manufacturer	Model	Caliber	Type	Number	Percent of Guns
LORCIN ENGINEERING	L380	.380	Semiautomatic Pistol	735	4.3
DAVIS INDUSTRIES	P380	.380	Semiautomatic Pistol	453	2.6
RUGER	P89	9mm	Semiautomatic Pistol	319	1.9
RAVEN ARMS	MP25	.25	Semiautomatic Pistol	306	1.8
HI-POINT	C	9mm	Semiautomatic Pistol	289	1.7
RUGER	P95	9mm	Semiautomatic Pistol	275	1.6
LORCIN ENGINEERING	L9	9mm	Semiautomatic Pistol	266	1.5
LORCIN ENGINEERING	L25	.25	Semiautomatic Pistol	234	1.4
BRYCO ARMS	9	9mm	Semiautomatic Pistol	230	1.3
BRYCO ARMS	38	.380	Semiautomatic Pistol	208	1.2
Top Ten with Model Information				3,315	19.2
Total with Model Information				17,225	100.0

Table 8: Top Ten Handguns by Manufacturer and Model by Age Group of Possessor (Continued)

All Ages

Manufacturer	Model	Caliber	Type	Number	Percent of Guns
LORCIN ENGINEERING	L380	.380	Semiautomatic Pistol	2,334	4.7
DAVIS INDUSTRIES	P380	.380	Semiautomatic Pistol	1,452	2.9
HI-POINT	C	9mm	Semiautomatic Pistol	1,036	2.1
RAVEN ARMS	MP25	.25	Semiautomatic Pistol	1,035	2.1
RUGER	P89	9mm	Semiautomatic Pistol	923	1.9
LORCIN ENGINEERING	L9	9mm	Semiautomatic Pistol	869	1.8
LORCIN ENGINEERING	L25	.25	Semiautomatic Pistol	819	1.6
BRYCO ARMS	9	9mm	Semiautomatic Pistol	795	1.6
RUGER	P95	9mm	Semiautomatic Pistol	776	1.6
BRYCO ARMS	38	.380	Semiautomatic Pistol	671	1.4
Top Ten with Model Information				10,710	21.6
Total with Model Information				49,643	100.0

Long Gun Models. As shown in *Table 9*, consistent with manufacturer information shown in *Table 7*, the Mossberg 500 12 gauge shotgun is the most frequently traced long gun for adults and youth and ranks fifth among juveniles. The North China Industries SKS 7.62mm rifle ranks first among juveniles, second among youth, and fourth among adults.

Officer Safety. ATF provides officer safety information relating to crime in order to assist State and local law enforcement managers in assessing potential departmental safety measures. *Table 9* shows that for all age groups, the North China Industries Model SKS 7.62mm caliber rifle is the rifle model most frequently encountered by law enforcement officers. The North China Industries Model MAK90 7.62mm caliber rifle is also encountered in significant numbers, and the Colt Model AR15 .223 caliber rifle is among the long guns most frequently recovered from adult possessors.[9] These high capacity rifles pose an enhanced threat to law enforcement, in part because of their ability to expel projectiles at velocities that are capable of penetrating the type of soft body armor typically worn by the law enforcement officers.

[9]The North China Industries model SKS 7.62 has been barred from importation into the United States since May 1994 when the President banned the importation of munitions from China. (Letter to Secretary of the Treasury Lloyd M. Bentsen from Secretary of State Warren Christopher, May 28, 1994.) The Colt AR-15 is a semiautomatic assault weapon as defined in the Gun Control Act of 1968. 18 U.S.C. 921(a)(30). It is generally unlawful to possess or transfer these firearms. 18 U.S.C. 922(v)(1). This prohibition, however, does not apply to any AR-15 that was lawfully possessed on or before Sept. 13, 1994. 18 U.S.C. 921(v)(2). The North China Industries MAK90 has been barred from importation since May 1994 when the President banned the importation of munitions from China. In addition, in 1998, it was determined that this firearm was not generally recognized as particularly suitable for sporting purposes and, therefore, could not be legally imported into the United States. 18 U.S.C. 925(d)(3). *Department of the Treasury Study on the Sporting Suitability of Modified Semiautomatic Assault Weapons*, April 1998, Department of the Treasury.

Table 9: Top Ten Long Guns by Manufacturer and Model by Age Group of Possessor

Juvenile (ages 17 & younger)

Manufacturer	Model	Caliber	Type	Number	Percent of Guns
NORTH CHINA INDUSTRIES	SKS	7.62mm	Rifle	24	7.3
MARLIN	60	.22	Rifle	20	6.1
REMINGTON ARMS CO.	870	12 GA	Shotgun	19	5.8
RUGER	10/22	.22	Rifle	17	5.2
MOSSBERG	500	12 GA	Shotgun	15	4.6
MAVERICK ARMS (EAGLE PASS, TX)	88	12 GA	Shotgun	12	3.7
HI-POINT	995	9mm	Rifle	8	2.4
WINCHESTER	94	.30-30	Rifle	6	1.8
MARLIN	336	.30-30	Rifle	4	1.2
REMINGTON ARMS CO.	11-87	12 GA	Shotgun	4	1.2
REMINGTON ARMS CO.	1100	12 GA	Shotgun	4	1.2
REMINGTON ARMS CO.	870	20 GA	Shotgun	4	1.2
Top Ten with Model Information				137	41.9
Total with Model Information				327	100.0

Youth (ages 18-24)

Manufacturer	Model	Caliber	Type	Number	Percent of Guns
MOSSBERG	500	12 GA	Shotgun	201	11.9
NORTH CHINA INDUSTRIES	SKS	7.62mm	Rifle	139	8.2
MAVERICK ARMS	88	12 GA	Shotgun	102	6.0
HI-POINT	995	9mm	Rifle	87	5.1
REMINGTON ARMS CO.	870	12 GA	Shotgun	87	5.1
MARLIN	60	.22	Rifle	72	4.2
RUGER	10/22	.22	Rifle	50	2.9
NORTH CHINA INDUSTRIES	MAK90	7.62mm	Rifle	42	2.5
WINCHESTER	1300	12 GA	Shotgun	42	2.5
RUGER	MINI 14	.223	Rifle	33	1.9
Top Ten with Model Information				855	50.4
Total with Model Information				1,696	100.0

Table 9: Top Ten Long Guns by Manufacturer and Model by Age Group of Possessor (Continued)

Adult (ages 25 & older)

Manufacturer	Model	Caliber	Type	Number	Percent of Guns
MOSSBERG	500	12 GA	Shotgun	390	8.0
REMINGTON ARMS CO.	870	12 GA	Shotgun	267	5.5
MARLIN	60	.22	Rifle	246	5.0
NORTH CHINA INDUSTRIES	SKS	7.62mm	Rifle	230	4.7
RUGER	10/22	.22	Rifle	203	4.2
MAVERICK ARMS (EAGLE PASS, TX)	88	12 GA	Shotgun	121	2.5
WINCHESTER	1300	12 GA	Shotgun	102	2.1
WINCHESTER	94	.30-30	Rifle	93	1.9
NORTH CHINA INDUSTRIES	MAK90	7.62mm	Rifle	90	1.8
RUGER	MINI 14	.223	Rifle	76	1.6
Top Ten with Model Information				1,818	37.3
Total with Model Information				4,872	100.0

All Ages

Manufacturer	Model	Caliber	Type	Number	Percent of Guns
MOSSBERG	500	12 GA	Shotgun	940	8.6
NORTH CHINA INDUSTRIES	SKS	7.62mm	Rifle	642	5.9
MARLIN	60	.22	Rifle	563	5.2
REMINGTON ARMS CO.	870	12 GA	Shotgun	562	5.2
RUGER	10/22	.22	Rifle	434	4.0
MAVERICK ARMS (EAGLE PASS, TX)	88	12 GA	Shotgun	348	3.2
HI-POINT	995	9mm	Rifle	250	2.3
WINCHESTER	1300	12 GA	Shotgun	224	2.1
NORTH CHINA INDUSTRIES	MAK90	7.62mm	Rifle	193	1.8
WINCHESTER	94	.30-30	Rifle	193	1.8
Top Ten with Model Information				4,349	39.9
Total with Model Information				10,888	100.0

2 - 4 Results of Trace Requests

Traces Initiated. Of the 88,570 requests for firearm traces from YCGII jurisdictions included in this national report, 77,250 (87 percent) resulted in traces initiated by the ATF National Tracing Center (*Table 10*). The proportion of traces initiated is similar among juvenile, adult and all age groups.

Purchasers Identified. As displayed in *Table 10*, as a result of the 77,250 requests for which a trace was initiated, 47,478 purchasers (54 percent of all requests and 61 percent of all initiated traces) were identified. Among juveniles, 59 percent of the initiated traces result in identifying the purchaser. Among youth, the percent increases to 67 percent; among adults, the percent of purchasers identified is 62 percent.

Reasons Traces Not Initiated and Purchasers Not Identified. As displayed in *Table 11* and *Figure 5*, the primary reason traces were not initiated is that 7,782 trace requests (9 percent of all trace requests) identified firearms manufactured prior to 1969.

Table 11 separates the reasons why traces that were initiated did not successfully identify a purchaser into two main categories: Terminated at the Manufacturer/ Importer Stage and Terminated at the Wholesale/ Retail Dealer Stage. Traces were terminated at the manufacturer or importer stage of the tracing process in 18,181 requests (21 percent of all requests and 24 percent of initiated traces), primarily because of incomplete or inaccurate information about the serial number on 9,572 firearms (11 percent of all requests and 12 percent of all initiated traces). Traces were terminated at the wholesale or retail dealer stage of the tracing process in 10,091 requests (11 percent of all requests and 13 percent of all initiated traces), primarily because the dealers reported that they had no records on 6,043 firearms (7 percent of all trace requests and 8 percent of all initiated traces). The flow of cases from *Trace Initiated* to *Purchaser Identified* to *Purchaser Not Identified* is presented in *Figure 5.*

Since the inception of the YCGII program in 1996, there has been a steady increase in the number of participating jurisdictions, especially among cities with a population over 250,000 (See appendix B). This growth has been accompanied with extensive efforts to enhance the value of tracing data for local and national uses. Existing variations in the procedures for collection of tracing information by participating YCGII jurisdictions led to a concentrated effort by ATF to educate and train law enforcement personnel as to the benefits of comprehensive firearm tracing. ATF provided temporary personnel to assist local jurisdictions in entering and providing quality trace data and using aggregate information about crime gun traces to promote more effective local enforcement strategies. Since April 1999, ATF has trained approximately 7,200 law enforcement officers in firearms identification. An emphasis is placed on the concept of comprehensive firearm tracing as a reliable method to identify individuals or groups that are illegally trafficking firearms to criminals or youths in a particular community.

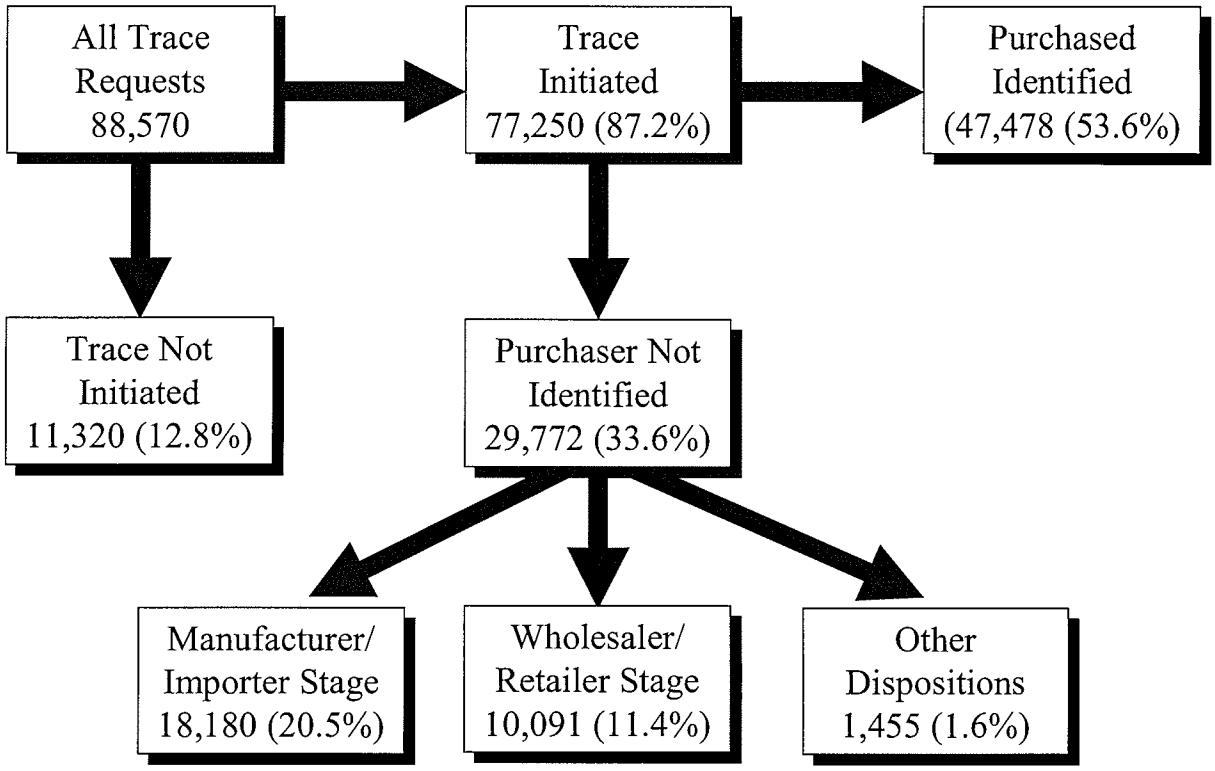
Table 10: Traces Initiated and Purchasers Identified

	Number of Crime Gun Trace Requests	Percent of Crime Gun Trace Requests	Percent of Crime Gun Traces Initiated
Juvenile (ages 17 & under)			
Crime Gun Trace Requests	4,112	100.0	
Traces Initiated	3,587	87.2	100.0
Traced to FFL	2,495	60.7	69.6
Purchaser Identified	2,112	51.4	58.9
Youth (ages 18-24)			
Crime Gun Trace Requests	18,085	100.0	
Traces Initiated	16,296	90.1	100.0
Traced to FFL	12,161	67.2	74.6
Purchaser Identified	10,924	60.4	67.0
Adult (ages 25 & over)			
Crime Gun Trace Requests	32,044	100.0	
Traces Initiated	27,873	87.0	100.0
Traced to FFL	20,161	62.9	72.3
Purchaser Identified	17,425	54.4	62.5
All Crime Guns in this Jurisdiction			
Crime Gun Trace Requests	88,570	100.0	
Traces Initiated	77,250	87.2	100.0
Traced to FFL	54,665	61.7	70.8
Purchaser Identified	47,478	53.6	61.5

Table 11: Reasons Traces Not Initiated and Purchasers Not Identified

	Number of Crime Gun Trace Requests	Percent of Crime Gun Trace Requests	Percent of Crime Gun Traces Initiated
Reasons Trace Not Initiated			
Firearm Manufactured Before 1969	7,782	8.8	10.1
Request Submitted for Information Purposes Only	3,005	3.4	3.9
Other Reasons	533	0.6	0.7
Reasons Purchaser Not Identified			
Trace Terminated At Manufacturer/Importer Stage	18,181	20.5	23.5
Problem with Manufacturer Name	3,115	3.5	4.0
Problem with Importer Name	4,927	5.6	6.4
Problem with Crime Gun Serial Number	9,572	10.8	12.4
Insufficient Information (unspecified)	50	0.1	0.1
Crime Gun Reported Stolen	517	0.6	0.7
Trace Terminated At Wholesaler/Retail Dealer Stage	10,091	11.4	13.1
No Response	305	0.3	0.4
Records Not Available	1,314	1.5	1.7
Records on this Crime Gun Not Available	6,043	6.8	7.8
20 Year Record Retention Requirement Expired	2,147	2.4	2.8
Crime Gun Reported Stolen During Inquiry	282	0.3	0.4
Other Dispositions	1,455	1.6	1.9
Terminated by Law Enforcement	575	0.6	0.7
Disposition Pending	344	0.4	0.4
Special Conditions	536	0.6	0.7

Figure 5: Traces Initiated and Purchasers Identified



2 - 5 Possessors and Purchasers

Few Possessors Are Purchasers. In 63,526 of the trace requests (72 percent of 88,570), a crime gun possessor was identified. In 47,478 requests (53 percent of 88,570), the crime gun purchaser was identified. In 34,847 requests both purchaser and possessor are known, and in 88 percent of those traces (30,775), the possessor and the purchaser are not the same person. The high proportion of crime guns not possessed by their original purchasers suggests the potential importance of a more extensive investigation of the chain of possession of crime guns. There is little variation by firearm type in the proportion of possessors that are also the first purchasers of crime guns.

Tracing from Purchaser to Possessor. Transfers of a firearm beyond the initial purchase by a retail customer usually cannot be followed to the criminal possessor using serial numbers and transfer documentation alone. Federal law does not require unlicensed sellers to perform Brady background checks or maintain transfer records for tracing, and firearm owners are not required to keep a record of the serial number of their firearms or to report lost or stolen firearms. Therefore, it is generally impossible for a National Tracing Center (NTC) crime gun trace alone to identify purchasers beyond the initial retail purchaser. If a crime gun is not recovered from its original purchaser, it has been transferred at least once in the secondary market, that is, by someone other than an FFL. These transfers may be lawful or unlawful. The crime gun may have been illegally transferred by a straw purchaser; resold by an unlicensed seller or as a used gun by an FFL; borrowed, traded, or given as a gift; stolen by its criminal possessor; or stolen and trafficked, among other possibilities.

Tracking Transfers Beyond First Retail Sale.

FFL reporting to the National Tracing Center. In 2000, ATF began requiring certain FFLs who failed to cooperate with crime gun traces, as well as those with 10 or more crime gun traces with a time-to-crime of 3 years or less, to report additional information on firearms transactions to the National Tracing Center.

State documentation. States may impose additional firearm transfer documentation requirements that law enforcement agencies may use to trace new and previously owned firearms purchased in that State.

Investigative tracing. For traces of crime guns recovered from juveniles and traces involving certain crimes, ATF agents, often working with State and local law enforcement officials in YCGII cities, will follow the gun through the chain of possession to an illegal supplier by performing an investigative trace. Investigative tracing uses interviews and other investigative techniques to track the gun through the entire chain of transfers to the criminal possessor. However, investigative tracing is a resource-intensive method that is not practicable for all gun crimes.

2 - 6 Time-to-Crime

Time-to-Crime. An important consideration in understanding firearms trafficking is the length of time from a firearm's first retail sale by a Federal firearm licensee (FFL) to its recovery by law enforcement as a crime gun. A short time-to-crime can be an indicator of illegal firearms trafficking. Focusing on these firearms alone can produce significant trafficking trends and patterns. Investigating crime guns with short time-to-crime allows law enforcement to seek out sources of crime guns and disrupt the flow of illegal firearms trafficking.

Limitation on Time-to-Crime Information for Used Crime Guns. Since a National Tracing Center trace generally extends only to the first retail purchaser, a trace of a gun sold used by an unlicensed seller or FFL usually will not show a fast time-to-crime, even if it was recovered by law enforcement shortly after its most recent transfer. Therefore, the time-to-crime measure as an indicator of trafficking is most appropriate when applied to guns sold new by FFLs.

Percentage of Traces with Time-to-Crime. To compute time-to-crime, both the date the firearm was recovered and the date it was purchased from a retail FFL must be known. Sufficient information to compute a time-to-crime was provided for 52 percent (46,019) of the crime gun traces (88,570). These 46,019 traces are analyzed in this section.

Reporting Median Time-to-Crime. Throughout this report, the average time-to-crime for specific guns, for age groups, and for other sets of traces is reported by the median. The median is the actual time-to-crime value of the middle gun in a group of guns rank ordered by their time-to-crime. The median is a particularly useful measure of central tendency when a variable has a small subset of cases with extreme values; such is the case with time-to-crime.

Short Time-to-Crime. Crime guns with a very short time-to-crime represent a priority for further investigation as the original transaction may have involved illegal diversion that is continuing. As shown in *Figure 6*, about 15 percent (6,718) of the crime guns recovered in 2000, which a time-to-crime could be computed, have a time-to-crime of 12 months or less. Another 9 percent (4,258) of the recovered crime guns have a time-to-crime of over 1 year and up to 2 years.

New Crime Guns. The illegal market in guns involves new guns, used guns, and stolen guns. *Figure 7* displays the cumulative percent of crime guns by years since purchase and shows that nearly a third (31 percent, 14,422) of recovered crime guns, for which a time-to-crime could be computed (46,019), had been purchased for the first time within 3 years of their recovery.[10] Since these crime guns were all recovered in 2000, nearly one-third of the crime guns with known time-to-crime entered firearm commerce between December 1996 and December 1997.

Short Time-to-Crime for All Crime Guns. Half of the crime guns recovered in 2000 had a time-to-crime of 6 years or less. This is a relatively short period of time. Gun owners surveyed in 1994 indicated that they had owned their firearms an average of 13 years.[11]

[10] The methodology for these calculations and the numbers and percentages for *Figures 6 and 7* can be found in Appendix B.

[11] Phillip J. Cook and Jens Ludwig, *Guns in America*, Police Foundation 1997.

Figure 6: Percent of Traced Crime Guns by Time-to-Crime

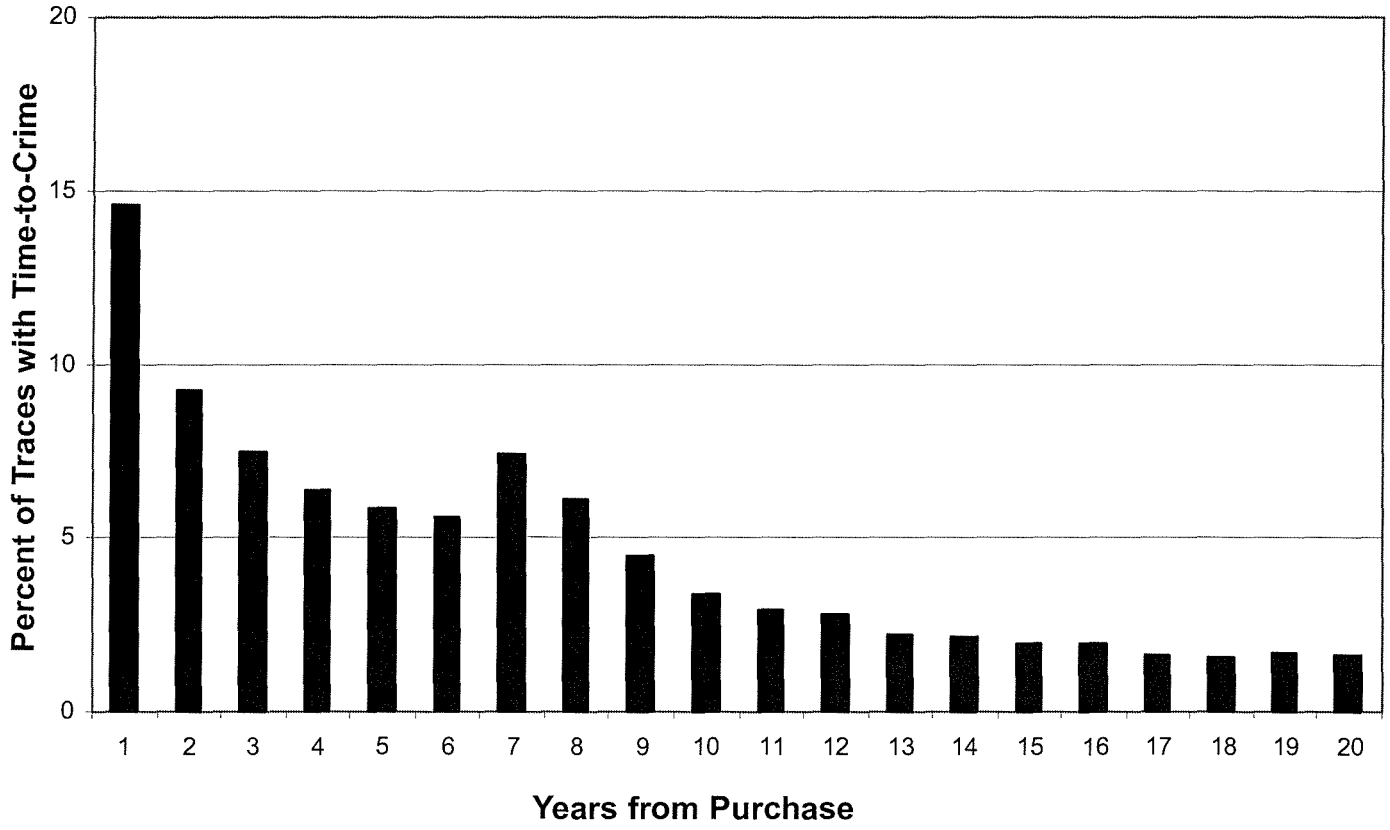
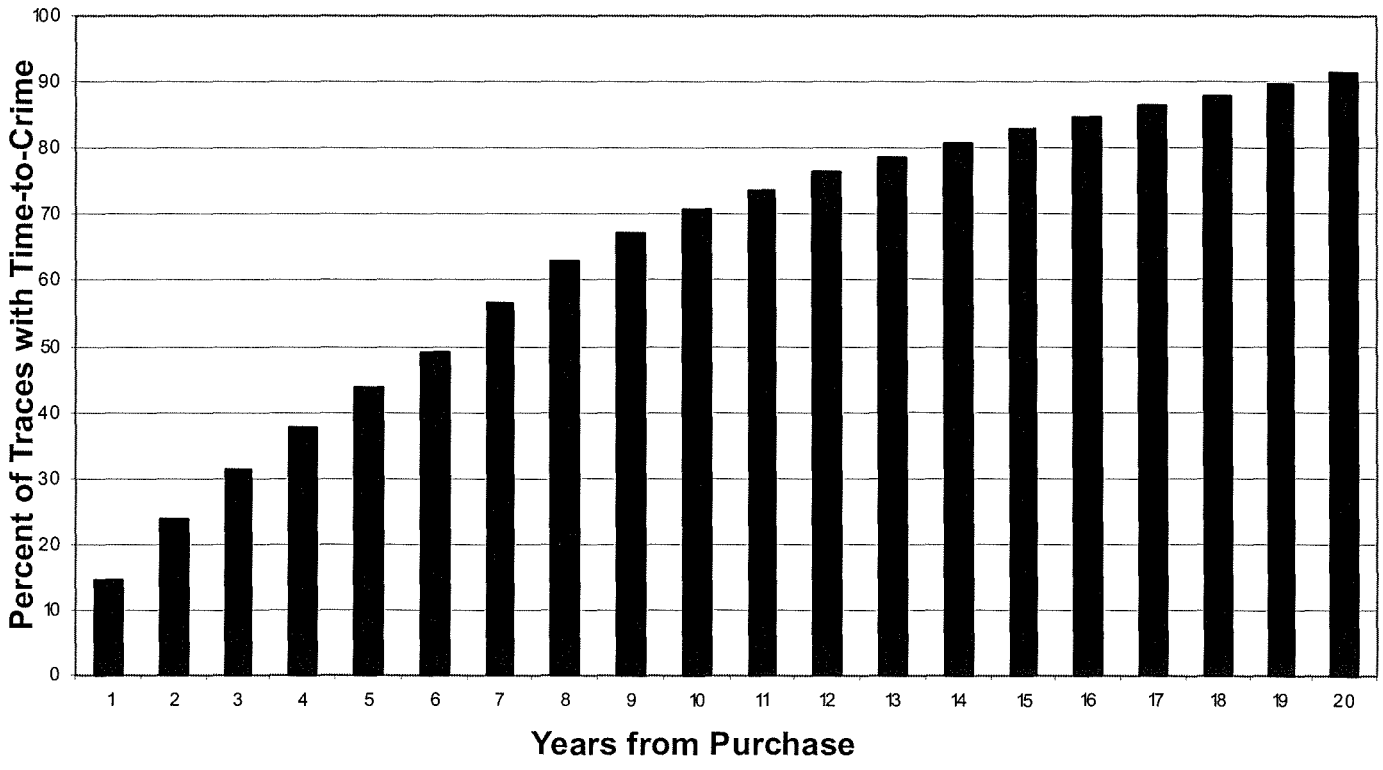


Figure 7: Cumulative Percentage of Traced Crime Guns by Time-to-Crime



Time-to-Crime by Firearm Type

Median Time-to-Crime by Firearm Type and Age Group. As shown in *Table 12* and *Figure 8,* while the median time-to-crime for semiautomatic pistols is 4.5 years, for revolvers the median time-to-crime is 12.3 years. As shown in *Table 12* and *Figure 9*, the median time-to-crime for crime guns possessed by youth is 4.5 years, more than two years shorter than for crime guns possessed by juveniles (6.6 years), and a year and a half shorter than for adults (6.0 years). Juveniles tend to possess firearms that have a long time-to-crime. Their median time-to-crime is the longest of all age groups, and this is true if the firearm in their possession is a semiautomatic pistol, a revolver, or a rifle. Revolvers recovered by law enforcement from juveniles have a median time-to-crime of 14 years. The pattern for long guns is different. Among long guns, those recovered from youth have a median time-to-crime of about 5 years; for adults and for juveniles, the median time-to-crime is over 7 years.

Shortest and Longest Time-to-Crime Guns. As shown in *Table 12,* semiautomatic pistols recovered from youth have the shortest median time-to-crime, 3.3 years. Thus, half of the semiautomatic pistols recovered from youth in 2000, and for which we were able to determine the time-to-crime, were originally sold sometime between September 1996 and September 1997. The longest median time-to-crime is observed for revolvers possessed by juveniles, 14 years. Time-to-crime information alone cannot determine whether these recovered semiautomatic pistols were obtained through illegal diversion or purchased new from FFLs by youth crime gun possessors. This is the type of question that law enforcement officials must further investigate. Since nearly 88 percent of all traced crime guns changed hands at least once before recovery by law enforcement, it can be assumed that illegal diversion plays a significant role in youth crime gun acquisition.

City variations. The median time-to-crime for recovered crime guns varied across the YCGII cities. Certain cities have a median time-to-crime that is notably shorter than the YCGII city average of 6.1 years. These cities included *Gary, IN* (2.6 years); *Atlanta, GA* (3.1 years); *Indianapolis, IN* (3.1 years); *Philadelphia, PA* (3.8 years); *Tucson, AZ* (4.0 years) and *Seattle, WA* (4.1 years). Other cities have a median time-to-crime that is much longer than the YCGII city average. These cities include *Stockton, CA* (9.2 years); *San Jose, CA* (9.0 years); *Anaheim, Long Beach, and Santa Ana, CA* (8.8 years); *Los Angeles, CA* (8.0 years) and *Oakland, CA* (8.0 years).

Table 12: Median Time-to-Crime in Years by Firearm Type and Age Group of Possessor

Type of Weapon	Juvenile (ages 17 & younger)	Youth (ages 18 - 24)	Adult (ages 25 & older)	Age Unknown	All Ages
Semiautomatic Pistol	5.7	3.3	4.4	5.6	4.5
Revolver	14.0	11.7	10.9	14.1	12.3
Rifle	7.1	5.1	7.5	7.4	7.0
Shotgun	7.2	5.0	7.9	8.5	7.6
Other	7.0	7.4	6.8	7.9	7.1
Total	6.6	4.5	6.0	6.9	6.1

Based on 46,008 traces for which a time-to-crime could be computed.
See Appendix B: For details on computing time-to-crime

Figure 8: Median Time-to-Crime by Firearm Type

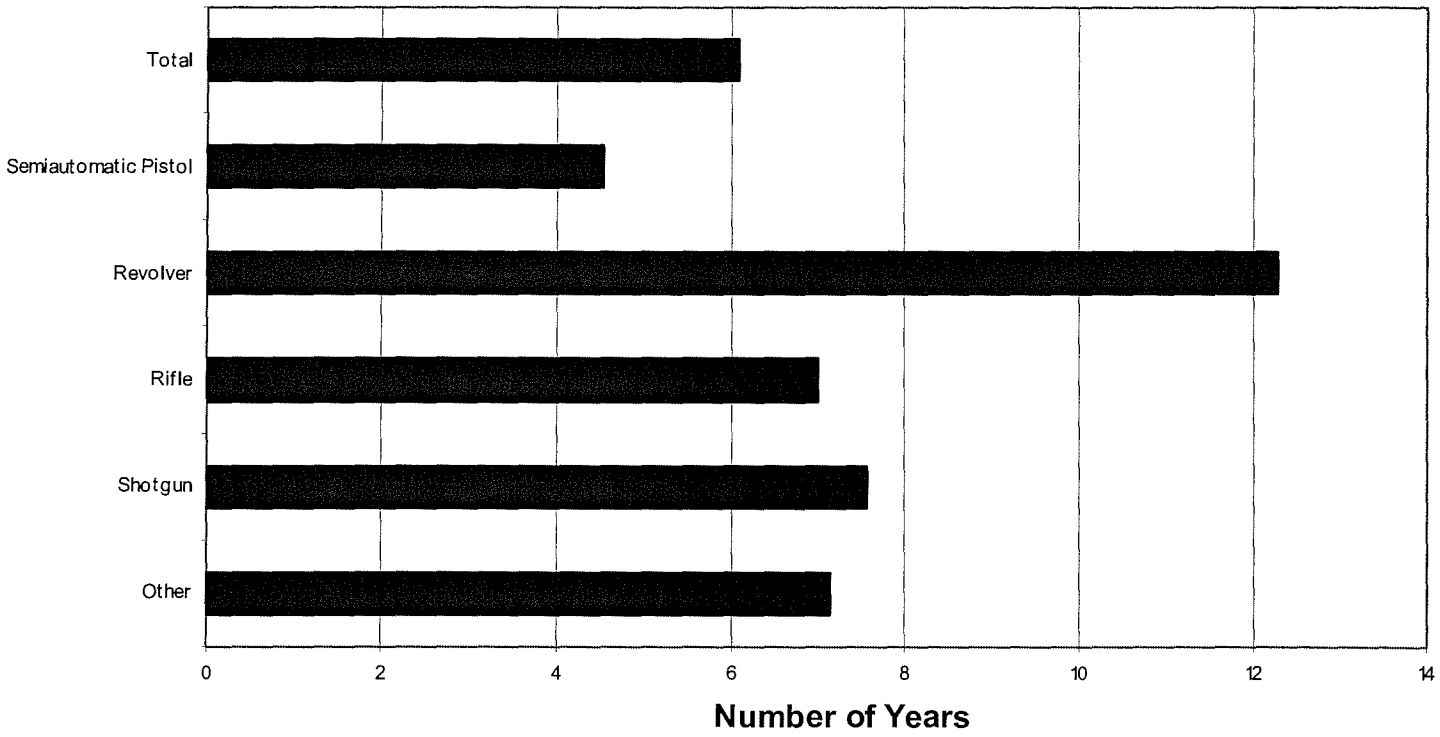
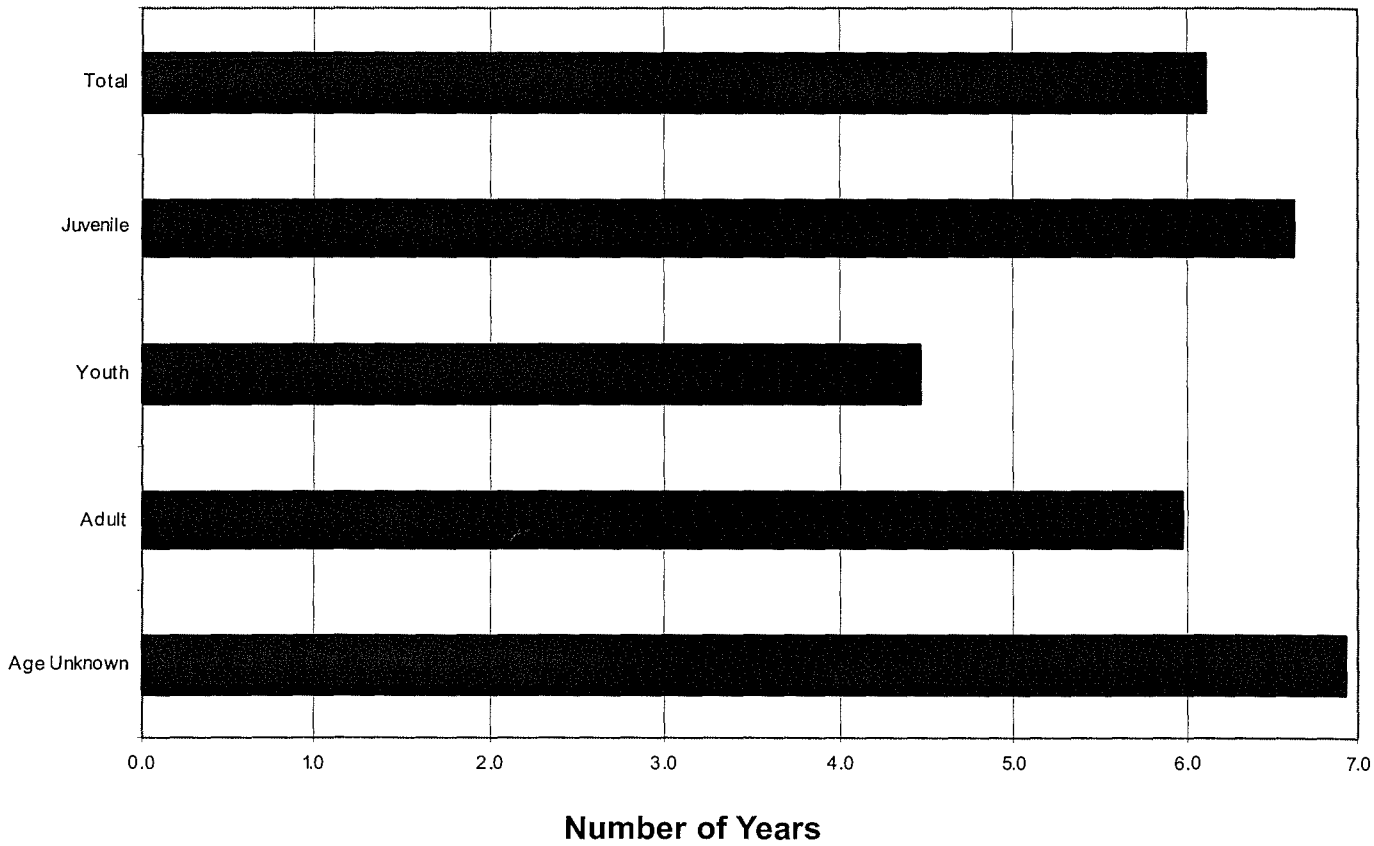


Figure 9: Median Time-to-Crime by Age Group of Possessor



Time-to-Crime for Top Ten Crime Guns by Manufacturer, Caliber and Type

Short Time-to-Crime Guns. As shown in *Table 13,* Bryco Arms 9mm semiautomatic pistols have the fastest median time-to-crime for all ages combined at 1.4 years. More than 70 percent (822 of 1,171) of these crime guns have a time-to-crime of 3 years or less and the shortest time-to-crime was 0 days. This same crime gun has the fastest median time-to-crime among juveniles (1.5 years) and the second fastest median time-to-crime among youth (1.1 years). The Bryco Arms .380 caliber semiautomatic pistol has the second fastest median time-to-crime for all ages combined (2.9 years), and is the fastest time-to-crime gun among adult possessors (2.7 years), second fastest time among juveniles (3.4 years), and third fastest among youth (2.0 years).

Longer Time-to-Crime Guns. As shown in *Table 13*, among all ages, the Smith & Wesson .38 caliber revolver had a median time-to-crime of just over 13 years; only 12 percent of the Smith and Wesson .38 caliber revolvers have a time-to-crime of 3 years or less. The Smith & Wesson .357 caliber revolver has very similar median time-to-crime, 13 years. Thirteen percent of the Smith &Wesson .357 caliber revolvers have a median time-to-crime of 3 years or less. Only 2 percent of the Raven Arms .25 caliber semiautomatic pistols have a median time-to-crime of 3 years or less. Raven Arms stopped manufacturing firearms in 1991.[12] Therefore, many of these firearms are likely to have been re-sold by FFLs and/or transferred by unlicensed persons.

Long Gun Time-to-Crime. As shown in *Table 13*, the Mossberg 12 gauge shotgun, the only long gun among the most frequently traced firearms among all age groups, has a median time-to-crime of 5.4 years; 35 percent of these guns have a time-to-crime of 3 years or less. Among adults, the Marlin .22 rifle has a median time-to-crime of 12.3 years and is the seventh most frequently traced firearm. The Remington Arms shotgun ranks ninth in frequency and has a median time-to-crime of 8.9 years.

Table 13: Time-to-Crime for Top Ten Crime Guns by Age Group of Possessor

Juvenile (ages 17 & younger)			Number of Crime Guns		Median Time-to-Crime in Years	Time-to-Crime of 3 Years or Less		Fastest Case (in days)***
Manufacturer	**Caliber**	**Type of Crime Gun**	**All**	**With Time-to-Crime***		**Number**	**Percent****	
BRYCO ARMS	9mm	Semiautomatic Pistol	65	53	1.5	40	75.5	2
BRYCO ARMS	.380	Semiautomatic Pistol	92	73	3.4	33	45.2	18
RUGER	9mm	Semiautomatic Pistol	89	71	3.6	30	42.3	9
LORCIN ENGINEERING	.380	Semiautomatic Pistol	164	116	5.4	33	28.4	1
DAVIS INDUSTRIES	.380	Semiautomatic Pistol	88	70	6.2	23	32.9	44
LORCIN ENGINEERING	.25	Semiautomatic Pistol	81	69	6.5	15	21.7	35
RAVEN ARMS	.25	Semiautomatic Pistol	159	113	13.0	2	1.8	2
SMITH & WESSON	.357	Revolver	65	38	14.6	4	10.5	100
SMITH & WESSON	.38	Revolver	146	51	16.8	3	5.9	188
RG INDUSTRIES	.22	Revolver	64	31	21.2	1	3.2	198
Top Ten Crime Guns			1,013	685				
All Crime Guns			4,112	2,062				

* Time-to-crime can only be calculated when a trace is completed and a recovery date is submitted.

** The denominator used to calculate this result is the total number of trace requests where a time-to-crime was established.

*** A time-to-crime of 0 days indicates the recovery of a firearm during or immediately following a sale from a Federal firearms licensee.

[12] Fjestad, S. P., Blue *Book of Gun Values, 2000.* 22st ed. p. 1011. Minneapolis, MN: Bluebook Publications.

Table 13: Time-to-Crime for Top Ten Crime Guns by Age Group of Possessor (Continued)

Youth (ages 18-24)

Manufacturer	Caliber	Type of Crime Gun	Number of Crime Guns: All	Number of Crime Guns: With Time-to-Crime*	Median Time-to-Crime in Years	Time-to-Crime of 3 Years or Less: Number	Time-to-Crime of 3 Years or Less: Percent**	Fastest Case (in days)***
HI-POINT	9mm	Semiautomatic Pistol	356	300	1.0	210	70.0	0
BRYCO ARMS	9mm	Semiautomatic Pistol	518	387	1.1	294	76.0	1
BRYCO ARMS	.380	Semiautomatic Pistol	443	346	2.0	210	60.7	0
RUGER	9mm	Semiautomatic Pistol	682	549	2.7	298	54.3	1
MOSSBERG	12 GA	Shotgun	357	263	3.2	128	48.7	0
LORCIN ENGINEERING	.380	Semiautomatic Pistol	646	522	3.9	217	41.6	0
SMITH & WESSON	9mm	Semiautomatic Pistol	407	289	4.6	96	33.2	0
DAVIS INDUSTRIES	.380	Semiautomatic Pistol	393	313	6.3	91	29.1	5
RAVEN ARMS	.25	Semiautomatic Pistol	395	277	11.9	10	3.6	135
SMITH & WESSON	.38	Revolver	585	184	13.9	16	8.7	76
Top Ten Crime Guns			4,782	3,430				
All Crime Guns			18,085	10,618				

Adult (ages 25 & older)

Manufacturer	Caliber	Type of Crime Gun	Number of Crime Guns: All	Number of Crime Guns: With Time-to-Crime*	Median Time-to-Crime in Years	Time-to-Crime of 3 Years or Less: Number	Time-to-Crime of 3 Years or Less: Percent**	Fastest Case (in days)***
BRYCO ARMS	.380	Semiautomatic Pistol	469	337	2.7	180	53.4	3
RUGER	9mm	Semiautomatic Pistol	812	662	3.4	303	45.8	1
LORCIN ENGINEERING	.380	Semiautomatic Pistol	744	578	4.4	203	35.1	6
SMITH & WESSON	9mm	Semiautomatic Pistol	649	461	5.7	140	30.4	1
MOSSBERG	12 GA	Shotgun	718	492	5.9	164	33.3	1
REMINGTON ARMS CO.	12 GA	Shotgun	484	230	8.9	40	17.4	3
SMITH & WESSON	.38	Revolver	1,234	454	12.1	65	14.3	4
SMITH & WESSON	.357	Revolver	640	383	12.3	63	16.4	10
MARLIN	.22	Rifle	545	303	12.3	49	16.2	2
RAVEN ARMS	.25	Semiautomatic Pistol	526	376	12.8	6	1.6	41
Top Ten Crime Guns			6,821	4,276				
All Crime Guns			32,044	16,939				

All Ages

Manufacturer	Caliber	Type of Crime Gun	Number of Crime Guns: All	Number of Crime Guns: With Time-to-Crime*	Median Time-to-Crime in Years	Time-to-Crime of 3 Years or Less: Number	Time-to-Crime of 3 Years or Less: Percent**	Fastest Case (in days)***
BRYCO ARMS	9mm	Semiautomatic Pistol	1,576	1,171	1.4	822	70.2	0
BRYCO ARMS	.380	Semiautomatic Pistol	1,568	1,197	2.9	614	51.3	0
RUGER	9mm	Semiautomatic Pistol	2,368	1,896	3.3	902	47.6	0
LORCIN ENGINEERING	.380	Semiautomatic Pistol	2,351	1,825	4.5	645	35.3	0
MOSSBERG	12 GA	Shotgun	1,774	1,196	5.4	419	35.0	0
SMITH & WESSON	9mm	Semiautomatic Pistol	1,696	1,203	6.1	350	29.1	0
DAVIS INDUSTRIES	.380	Semiautomatic Pistol	1,462	1,179	6.3	314	26.6	0
RAVEN ARMS	.25	Semiautomatic Pistol	1,885	1,344	12.8	28	2.1	2
SMITH & WESSON	.357	Revolver	1,645	983	13.0	128	13.0	10
SMITH & WESSON	.38	Revolver	3,418	1,151	13.1	143	12.4	1
Top Ten Crime Guns			19,743	13,145				
All Crime Guns			88,570	46,008				

* Time-to-crime can only be calculated when a trace is completed and a recovery date is submitted.

** The denominator used to calculate this result is the total number of trace requests where a time-to-crime was established.

*** A time-to-crime of 0 days indicates the recovery of a firearm during or immediately following a sale from a Federal firearms licensee.

Time-to-Crime by Manufacturer and Model

Time-to-Crime Among Handgun Models: Youth and Adult Age Groups. Youth and adult crime guns are heavily concentrated in the medium and high caliber semiautomatic pistols with relatively short time-to-crime. As shown in *Table 14*, five of the ten most frequently traced crime gun models in both the youth and adult age category have a median time-to-crime of less than 3 years. These short time-to-crime gun models for youth and adults are overwhelmingly 9mm semiautomatic pistols, including the Bryco Arms 9 (median time-to-crime for youth 0.7 and for adults 0.6 years), the Hi-Point C (1.0 and 1.6 years), the Ruger P95 (1.5 and 1.6 years) and the Lorcin Engineering model L9 (1.9 and 2.3 years). The Bryco Arms model 38 handgun also ranks in the top five time-to-crime guns for youth and adults at 1.3 and 3.0 years, respectively.

Time-to-Crime Among Handgun Models: Juvenile Age Group. Only two juvenile crime gun models have a median time-to-crime of less than 3 years; among juveniles, the Hi-Point C model has a median time-to-crime of 1.3 years and the Lorcin Engineering model L9 has a median time-to-crime of 2.5 years. All the other most frequently traced handgun models among juveniles have a median time-to-crime of greater than 5.4 years and four have a median time-to-crime of 11 years or more.

Time-to-Crime Among Long Gun Models. As shown in *Table 15,* among all age groups, two long gun models have a median time-to-crime at or below 3 years; the Hi-Point model 995 rifle (1.8 years) and the Maverick Arms model 88 shotgun (3.0 years). The Maverick Arms shotgun also has a median time-to-crime below 3 years for juvenile, youth and adult age groups. The Hi-Point model 995 rifle, has the fastest median time-to-crime among both the juvenile and youth age groups, at 1.3 and 1.7 years respectively.

Table 14: Median Time-to-Crime for Top Ten Handguns by Manufacturer and Model by Age Group of Possessor

Juvenile (ages 17 & younger)

Manufacturer	Model	Caliber	Type	Median	Number
BRYCO ARMS	9	9mm	Semiautomatic Pistol	0.8	39
HI-POINT	C	9mm	Semiautomatic Pistol	1.3	54
LORCIN ENGINEERING	L9	9mm	Semiautomatic Pistol	2.5	50
BRYCO ARMS	38	.380	Semiautomatic Pistol	4.4	40
LORCIN ENGINEERING	L380	.380	Semiautomatic Pistol	5.4	163
RUGER	P89	9mm	Semiautomatic Pistol	5.5	41
PHOENIX ARMS CO.	RAVEN	.25	Semiautomatic Pistol	6.0	50
DAVIS INDUSTRIES	P380	.380	Semiautomatic Pistol	6.2	87
LORCIN ENGINEERING	L25	.25	Semiautomatic Pistol	6.5	80
RAVEN ARMS	MP25	.25	Semiautomatic Pistol	11.6	87
Top Ten Handguns with Model and Time-to-Crime Information					691
Total Handguns with Model and Time-to-Crime Information					1,595

Table 14: Median Time-to-Crime for Top Ten Handguns by Manufacturer and Model by Age Group of Possessor (Continued)

Youth (ages 18-24)

Manufacturer	Model	Caliber	Type	Median	Number
BRYCO ARMS	9	9mm	Semiautomatic Pistol	0.7	288
HI-POINT	C	9mm	Semiautomatic Pistol	1.0	348
BRYCO ARMS	38	.380	Semiautomatic Pistol	1.3	181
RUGER	P95	9mm	Semiautomatic Pistol	1.5	269
LORCIN ENGINEERING	L9	9mm	Semiautomatic Pistol	1.9	280
LORCIN ENGINEERING	L380	.380	Semiautomatic Pistol	4.0	643
RUGER	P89	9mm	Semiautomatic Pistol	4.2	251
LORCIN ENGINEERING	L25	.25	Semiautomatic Pistol	5.1	216
DAVIS INDUSTRIES	P380	.380	Semiautomatic Pistol	6.2	391
RAVEN ARMS	MP25	.25	Semiautomatic Pistol	10.5	224
Top Ten Handguns with Model and Time-to-Crime Information					3,091
Total Handguns with Model and Time-to-Crime Information					8,050

Adult (ages 25 & older)

Manufacturer	Model	Caliber	Type	Median	Number
BRYCO ARMS	9	9mm	Semiautomatic Pistol	0.6	230
RUGER	P95	9mm	Semiautomatic Pistol	1.6	275
HI-POINT	C	9mm	Semiautomatic Pistol	1.6	289
LORCIN ENGINEERING	L9	9mm	Semiautomatic Pistol	2.3	266
BRYCO ARMS	38	.380	Semiautomatic Pistol	3.0	208
LORCIN ENGINEERING	L380	.380	Semiautomatic Pistol	4.5	735
RUGER	P89	9mm	Semiautomatic Pistol	5.3	319
LORCIN ENGINEERING	L25	.25	Semiautomatic Pistol	6.2	234
DAVIS INDUSTRIES	P380	.380	Semiautomatic Pistol	6.2	453
RAVEN ARMS	MP25	.25	Semiautomatic Pistol	11.7	306
Top Ten Handguns with Model and Time-to-Crime Information					3,315
Total Handguns with Model and Time-to-Crime Information					11,539

Table 14: Median Time-to-Crime for Top Ten Handguns by Manufacturer and Model by Age Group of Possessor (Continued)

All Ages

Manufacturer	Model	Caliber	Type	Median	Number
BRYCO ARMS	9	9mm	Semiautomatic Pistol	0.7	795
HI-POINT	C	9mm	Semiautomatic Pistol	1.5	1,036
RUGER	P95	9mm	Semiautomatic Pistol	1.6	776
LORCIN ENGINEERING	L9	9mm	Semiautomatic Pistol	2.1	869
BRYCO ARMS	38	.380	Semiautomatic Pistol	2.7	671
LORCIN ENGINEERING	L380	.380	Semiautomatic Pistol	4.6	2,334
RUGER	P89	9mm	Semiautomatic Pistol	5.0	923
LORCIN ENGINEERING	L25	.25	Semiautomatic Pistol	6.2	819
DAVIS INDUSTRIES	P380	.380	Semiautomatic Pistol	6.3	1,452
RAVEN ARMS	MP25	.25	Semiautomatic Pistol	11.5	1,035
Top Ten Handguns with Model and Time-to-Crime Information					10,710
Total Handguns with Model and Time-to-Crime Information					32,551

Table 15: Median Time-to-Crime for Top Ten Long Guns by Manufacturer and Model by Age Group of Possessor

Juvenile (ages 17 & younger)

Manufacturer	Model	Caliber	Type	Median	Number
HI-POINT	995	9mm	Rifle	1.3	8
MAVERICK ARMS (EAGLE PASS, TX)	88	9mm	Shotgun	3.0	12
MOSSBERG	500	9mm	Shotgun	3.1	15
REMINGTON ARMS CO.	11-87	.380	Shotgun	4.5	4
NORTH CHINA INDUSTRIES	SKS	.380	Rifle	6.4	24
MARLIN	60	9mm	Rifle	8.7	20
REMINGTON ARMS CO.	870	.25	Shotgun	8.9	19
RUGER	10/22	.380	Rifle	10.8	17
MARLIN	336	.25	Rifle	11.7	4
WINCHESTER	94	.25	Rifle	16.3	6
Top Ten Long Guns with Model and Time-to-Crime Information					129
Total Long Guns with Model and Time-to-Crime Information					139

Table 15: Median Time-to-Crime for Top Ten Long Guns by Manufacturer and Model by Age Group of Possessor (Continued)

Youth (ages 18-24)

Manufacturer	Model	Caliber	Type	Median	Number
HI-POINT	995	9mm	Rifle	1.7	87
MAVERICK ARMS (EAGLE PASS, TX)	88	12 GA	Shotgun	2.5	102
MOSSBERG	500	12 GA	Shotgun	2.8	201
WINCHESTER	1300	12 GA	Shotgun	3.0	42
REMINGTON ARMS CO.	870	12 GA	Shotgun	5.9	87
NORTH CHINA INDUSTRIES	MAK90	7.62mm	Rifle	6.2	42
NORTH CHINA INDUSTRIES	SKS	7.62mm	Rifle	6.4	139
RUGER	10/22	.22	Rifle	6.5	50
RUGER	MINI 14	.223	Rifle	7.9	33
MARLIN	60	.22	Rifle	12.1	72
Top Ten Long Guns with Model and Time-to-Crime Information					855
Total Long Guns with Model and Time-to-Crime Information					943

Adult (ages 25 & older)

Manufacturer	Model	Caliber	Type	Median	Number
MAVERICK ARMS (EAGLE PASS, TX)	88	12 GA	Shotgun	2.9	121
WINCHESTER	1300	12 GA	Shotgun	4.3	102
MOSSBERG	500	12 GA	Shotgun	5.9	390
NORTH CHINA INDUSTRIES	MAK90	7.62mm	Rifle	6.3	90
NORTH CHINA INDUSTRIES	SKS	7.62mm	Rifle	6.6	230
REMINGTON ARMS CO.	870	12 GA	Shotgun	8.2	267
RUGER	10/22	.22	Rifle	9.5	203
RUGER	MINI 14	.223	Rifle	11.3	76
MARLIN	60	.22	Rifle	13.2	246
WINCHESTER	94	.30-30	Rifle	19.3	93
Top Ten Long Guns with Model and Time-to-Crime Information					1,818
Total Long Guns with Model and Time-to-Crime Information					2,332

Table 15: Median Time-to-Crime for Top Ten Long Guns by Manufacturer and Model by Age Group of Possessor (Continued)

All Ages

Manufacturer	Model	Caliber	Type	Median	Number
HI-POINT	995	9mm	Rifle	1.8	250
MAVERICK ARMS (EAGLE PASS, TX)	88	12 GA	Shotgun	3.0	348
WINCHESTER	1300	12 GA	Shotgun	3.8	224
MOSSBERG	500	12 GA	Shotgun	5.0	940
NORTH CHINA INDUSTRIES	MAK90	7.62mm	Rifle	6.3	193
NORTH CHINA INDUSTRIES	SKS	7.62mm	Rifle	6.4	642
REMINGTON ARMS CO.	870	12 GA	Shotgun	7.7	562
RUGER	10/22	.22	Rifle	8.5	434
MARLIN	60	.22	Rifle	13.4	563
WINCHESTER	94	.30-30	Rifle	17.7	193
Top Ten Long Guns with Model and Time-to-Crime Information					4,349
Total Long Guns with Model and Time-to-Crime Information					5,198

2 - 7 Recovery Location and Source Location

Most Traced Firearms Originate with Local Federal Firearms Licensees. As shown in *Table 16*, a majority of crime guns among all age groups, from 55.4 percent for juveniles to 62.3 percent for adults, were first purchased from FFLs in the State where the guns were recovered by law enforcement officials. As shown in *Table 17*, more than a third of the crime guns (35 percent) were recovered in the same county as the FFL that originally sold the firearm. Similar percentages of traced firearms come from adjoining counties in the same State (11.9 percent) as from other counties in the same State (11.7 percent). The proportion of purchases in the same State, in adjoining counties and in other counties is similar across all age groups. More than 40 percent (25,279 of 60,643) of crime guns with known originating locations are not first sold in the same State as the State where the firearm was recovered.

City variations. Cities vary in their geographic sources of crime guns.

- In seventeen cities, 80 percent or more of their crime guns are first sold by FFLs in the State in which the city is located: *Atlanta, GA; Austin, TX; Baton Rouge, LA; Birmingham, AL; Cleveland, OH; Gary, IN; Houston, TX; Indianapolis, IN; Miami, FL; New Orleans, LA; Pittsburgh, PA; Phoenix, AZ; Richmond, VA; San Antonio, TX; Stockton, CA; Tampa, FL;* and *Tucson, AZ.*
- With the exception of *New Orleans, LA*, sixteen of these seventeen cities have at least 50 percent of their in-State traceable crime guns originating from the county in which the recovery city was located. *Phoenix, AZ,* has the highest percentage of in-State crime guns originating from within the same county (88 percent).
- For seven cities, FFLs in the State where the city is located are the source of fewer than half of traced crime guns: *Boston, MA; Camden, NJ; Detroit, MI; Jersey City, NJ; Newark, NJ; New York, NY;* and *Washington, DC.*
- *Boston, MA; Camden, NJ; Jersey City, NJ; Newark, NJ;* and *New York, NY,* have a noteworthy number of guns originating both from within their respective States and from southern States such as Virginia, North Carolina, Georgia, and Florida.
- Many traceable crime guns recovered in *Detroit, MI,* were first sold by FFLs in Michigan (41 percent); however, a noteworthy percentage of traceable crime guns were also first sold by FFLs in Ohio, Kentucky, and Indiana (22 percent).
- *Chicago, IL,* is part of both regional and national patterns. Of crime guns recovered in *Chicago*, 10 percent originate in the neighboring State of Indiana. Many guns originate from FFLs in the South, with Mississippi supplying nearly 10 percent. FFLs in Kentucky, Georgia, Tennessee, and Arkansas supply an additional 10 percent.
- As a result of strict regulations on the sale and possession of firearms in *Washington, DC*, there are no firearms originating from that jurisdiction. FFLs in neighboring Maryland and Virginia are the sources of 59 percent of the traceable crime guns recovered in *Washington, DC.*

Table 16: Intrastate and Interstate Sources of Crime Guns

Number	Juvenile (ages 17 & younger)	Youth (ages 18 - 24)	Adult (ages 25 & older)	All Ages
In-State	1,519	7,760	13,995	35,364
Out-of-State	1,225	5,580	8,486	25,279
Total	2,744	13,340	22,481	60,643

Percent	Juvenile (ages 17 & younger)	Youth (ages 18 - 24)	Adult (ages 25 & older)	All Ages
In-State	55.4	58.2	62.3	58.3
Out-of-State	44.6	41.8	37.7	41.7
Total	100.0	100.0	100.0	100.0

Table 17: County, State and Interstate Sources of Crime Guns

Juvenile (ages 17 & younger)

Source	Total	Percent
Same County-Same State	889	32.4
Adjoining County-Same State	302	11.0
Adjoining County-Other State	43	1.6
Other County-Same State	328	12.0
Other State	1,182	43.1
Total	2,744	100.0

Youth (ages 18-24)

Source	Total	Percent
Same County-Same State	4,429	33.2
Adjoining County-Same State	1,541	11.6
Adjoining County-Other State	232	1.7
Other County-Same State	1,790	13.4
Other State	5,348	40.1
Total	13,340	100.0

Adult (ages 25 & older)

Source	Total	Percent
Same County-Same State	8,241	36.7
Adjoining County-Same State	2,815	12.5
Adjoining County-Other State	310	1.4
Other County-Same State	2,939	13.1
Other State	8,176	36.4
Total	22,481	100.0

All Ages

Source	Total	Percent
Same County-Same State	21,050	34.7
Adjoining County-Same State	7,196	11.9
Adjoining County-Other State	985	1.6
Other County-Same State	7,118	11.7
Other State	24,294	40.1
Total	60,643	100.0

Distance from Originating Location to Recovery Location. Another measure of the mix of local, regional, and national transactions is the distance in miles between the recovery location and the originating location. *Table 18* and *Figures 10* and *11* display the number, percent, and cumulative percent of the distances from originating to recovery location for 44,905 traces for which a distance could be calculated. Nearly a third (32 percent) of these traces were recovered within 10 miles and almost half (48 percent) within 25 miles of the originating location. Not all firearms are local; more than one third (34 percent) of the traced firearms originated more than 250 miles from the location where they were recovered, indicating a likelihood of substantial interstate, long distance trafficking of firearms. These patterns are consistent across juvenile, youth, and adult age groups.

City variations. Cities varied considerably in the distance between the crime gun recovery locations and the location where the guns were first purchased at FFLs.

In certain cities, the majority of the crime guns were first purchased at FFLs that were 10 miles or less from the crime gun recovery locations. These cities included *Baton Rouge, LA* (70 percent), *Gary, IN* (70 percent), *New Orleans, LA* (67 percent), *Louisville, KY* (64 percent), and *Pittsburgh, PA* (63 percent). In other cities, a majority of crime guns were first purchased at FFLs that were 250 miles or more from the crime gun recovery locations. These cities included *Newark, NJ* (78 percent), *New York, NY* (75 percent), and *Jersey City, NJ* (67 percent).

Many YCGII cities had a large number of guns first purchased at FFLs that were a short distance and a long distance from the crime gun recovery locations. These cities included:

- Twenty-four percent of crime guns recovered in *Camden, NJ,* were first purchased at FFLs located 10 miles or less from Camden. Another 43 percent of crime guns recovered in Camden were first purchased at FFLs located 250 miles or more from Camden.
- Nearly 44 percent of crime guns recovered in *Baltimore, MD,* were first purchased at FFLs located 10 miles or less from Baltimore. Another 21 percent of crime guns recovered in Baltimore were first purchased at FFLs located 250 miles or more from Baltimore.
- Twenty-six percent of crime guns recovered in *Boston, MA,* were first purchased at FFLs located 10 miles or less from Boston. Another 37 percent of crime guns recovered in Boston were first purchased at FFLs located 250 miles or more from Boston.
- Nearly 33 percent of crime guns recovered in *Los Angeles, CA,* were first purchased at FFLs located 10 miles or less from Los Angeles. Nearly 22 percent of crime guns recovered in Los Angeles were first purchased at FFLs located 250 miles or more from Los Angeles.
- Nearly 33 percent of crime guns recovered in *Salinas, CA,* were first purchased at FFLs located 10 miles or less from Salinas. Nearly 36 percent of crime guns recovered in Salinas were first purchased at FFLs located 250 miles or more from Salinas.
- Slightly more than 51 percent of crime guns recovered in *San Jose, CA,* were first purchased at FFLs located 10 miles or less from San Jose. Nearly 27 percent of crime guns recovered in San Jose were first purchased at FFLs located 250 miles or more from San Jose.
- Nearly 39 percent of crime guns recovered in *Stockton, CA,* were first purchased at FFLs located 10 miles or less from Stockton. Nearly 32 percent of crime guns recovered in Stockton were first purchased at FFLs located 250 miles or more from Stockton.
- Forty-five percent of crime guns recovered in *Tampa, FL,* were first purchased at FFLs located 10 miles or less from Tampa. About 24 percent of crime guns recovered in Tampa were first purchased at FFLs located 250 miles or more from Tampa.
- Almost 24 percent of crime guns recovered in *Washington, DC,* were first purchased at FFLs located 10 miles or less from Washington, DC. Forty-five percent of crime guns recovered in Washington, DC, were first purchased at FFLs located 100 miles or more from Washington, DC.

Table 18: Miles from Recovery Location to Originating Location

All Ages

Distance	Number	Percent	Cumulative Percent
5 Miles or Less	7,298	16.3	16.3
6 to 10 Miles	7,161	15.9	32.2
11 to 25 Miles	6,585	14.7	46.9
26 to 100 Miles	4,500	10.0	56.9
101 to 250 Miles	4,334	9.7	66.5
251 to 500 Miles	4,374	9.7	76.3
501 to 750 Miles	3,665	8.2	84.4
751 to 1000 Miles	2,442	5.4	89.9
More than 1000 Miles	4,546	10.1	100.0
Total (with known distance)	44,905	100.0	

Figure 10: Distance to Recovery Location

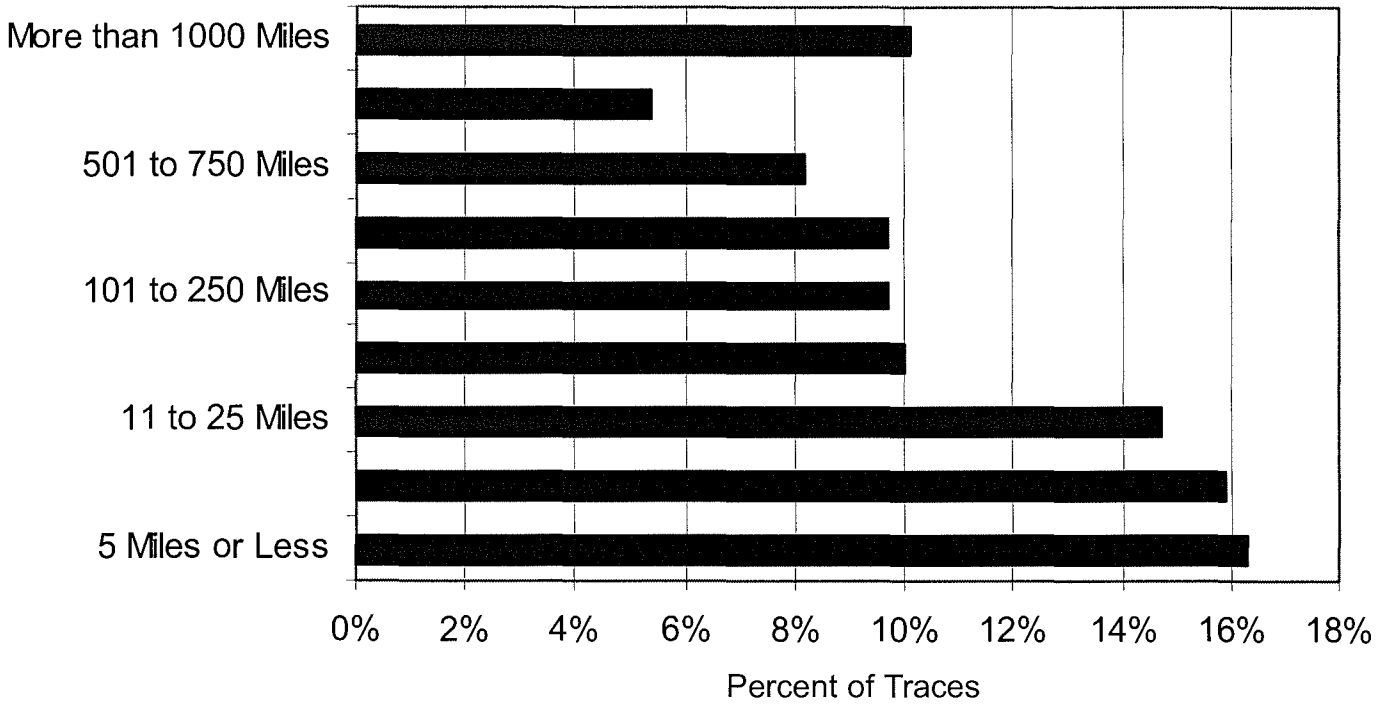
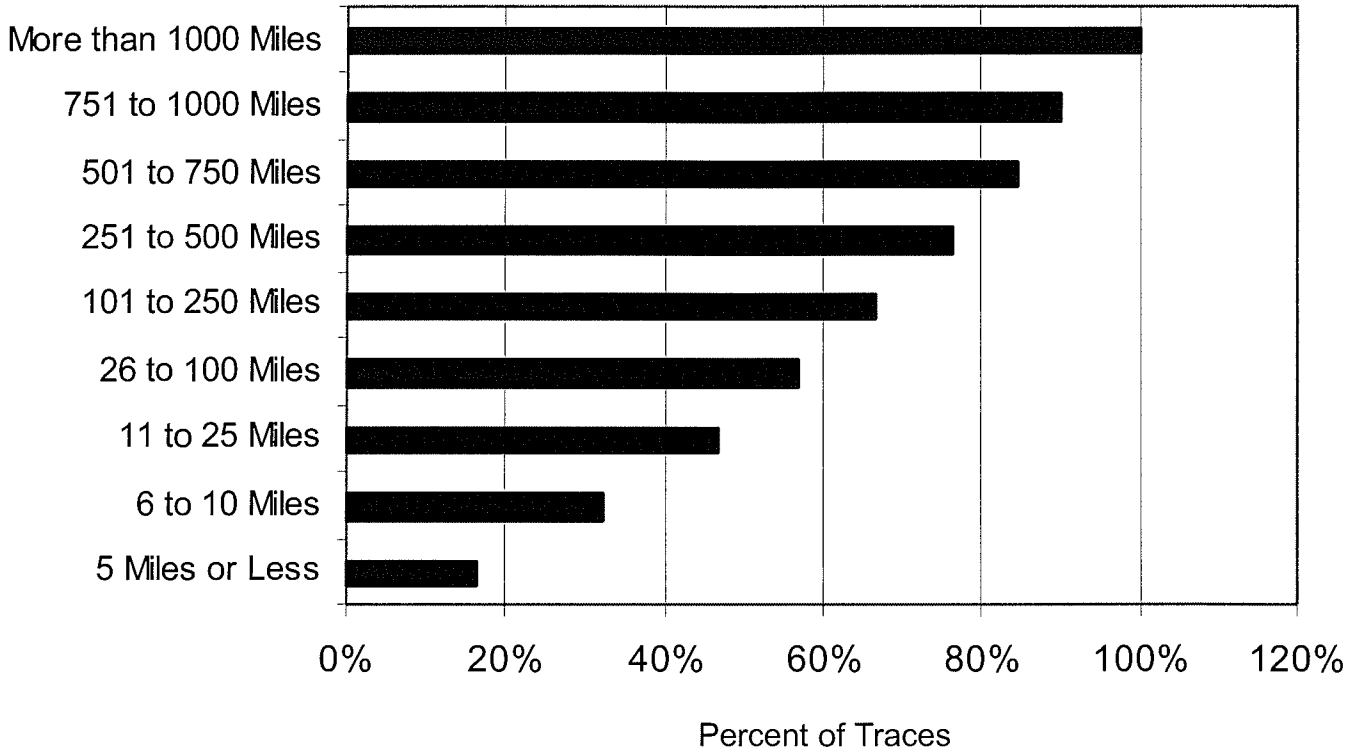


Figure 10: Cumulative Distance to Recovery Location



Regional and National Geographic Source Patterns

Source to Recovery Location. The State that contains a city is generally its most important source of crime guns. However, many guns move from regional and national sources. Regional trafficking consists of guns moving to a city from neighboring States, while national trafficking involves guns moving from more distant states. *Figure 12* shows the impact of regional and national trafficking patterns on each of the cities.

Regional Patterns. Over 20 percent of the crime guns traced to an individual from Memphis, Camden, Las Vegas and St. Louis came from regional sources. All of these cities are located near the borders of their States, decreasing the distance-to-crime for regionally trafficked guns. Washington, DC, which does not allow handgun sales to residents and has city limits bordering two other States is the extreme case of regional trafficking with 58.5 percent of crime guns coming from neighboring States.

National Patterns. National trafficking patterns account for 30 percent or more of guns traced from nine cities. The most striking case is that of New York City, where 73.4 percent of crime guns came from national sources including Virginia, North Carolina, Georgia and Florida. Newark and Jersey City, which are located near New York experience strikingly similar national trafficking patterns with 80.2 and 74.5 percent of their crime guns coming from national sources. Other cities on the Eastern shore with high percentages of nationally sourced guns include Washington (38.6 percent) and Camden (50.6 percent). A second trafficking pattern runs from the South to large cities in the Midwest. Chicago has 32.8 percent of crime guns from national sources and Detroit 44.5 percent. Mississippi, Kentucky and Georgia are important national source areas for Chicago. Kentucky, Georgia and Alabama are significant for Detroit.

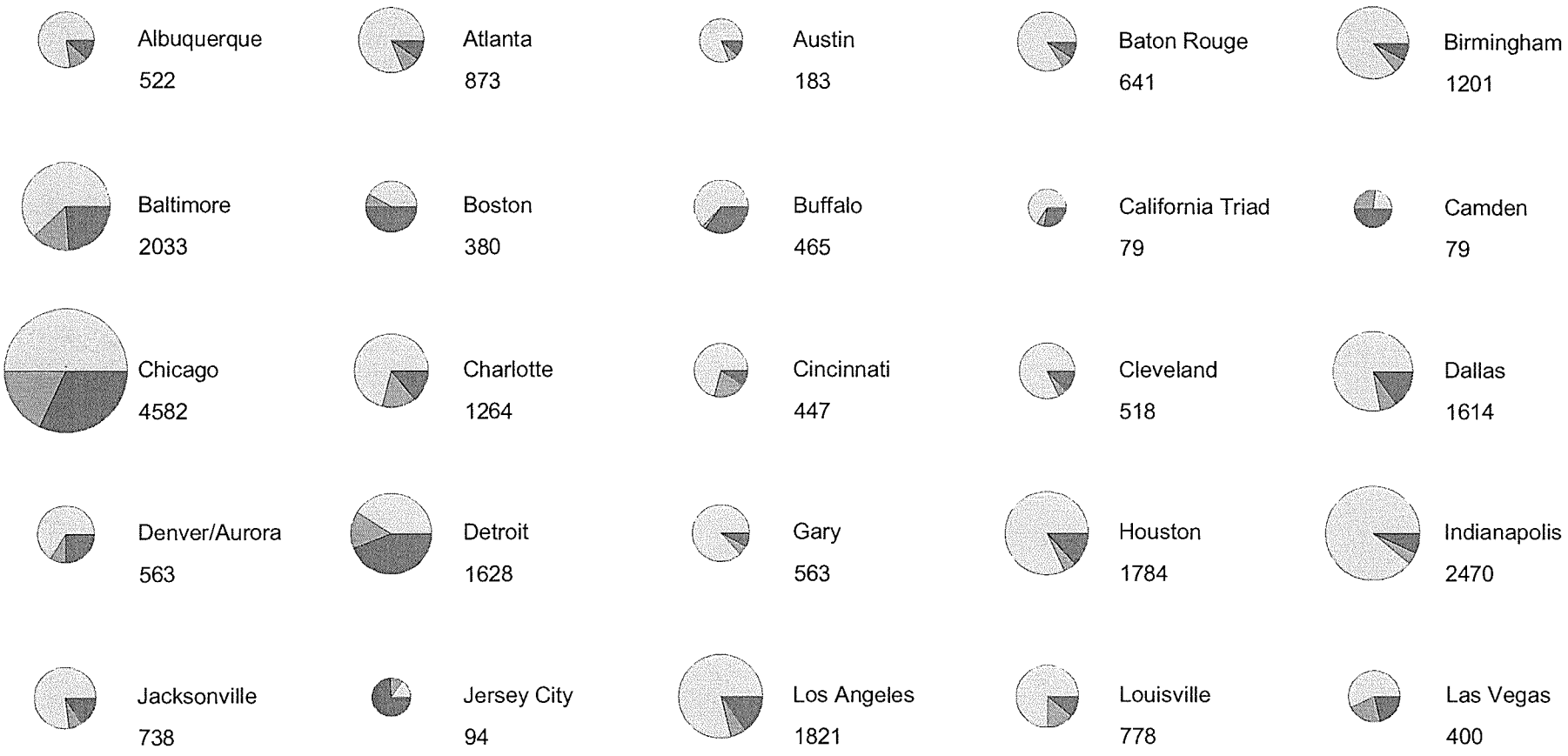
Concentration of Gun Traces Among Dealers. Crime guns are not only concentrated by region, state and county but also by the Federal Firearms Licensee where the firearms were originally sold. *Table 19* displays information about the 28,084 traces in YCGII cities over 250,000 that were made to 6,081 active dealers during calendar year 2000. During this year, 10,870 traces were made to 163 active dealers with 25 or more traces. These 163 dealers constitute 2 percent of active dealers with at least one trace but their 10,870 traces are 38 percent of the 28,084 traces to active dealers.

City variations. In all jurisdictions, many traceable crime guns were first purchased from a small number of Federally licensed gun dealers. However, the degree of concentration of crime gun traces amongst a small number of licensed gun dealers varies across the YCGII cities. Some cities exhibited a very high concentration of crime gun traces. In *Indianapolis, IN*, 70 percent of traceable crime guns were first purchased at ten Federally licensed gun dealers. In *Gary, IN*, 65 percent of traceable crime guns were first purchased at five Federally licensed gun dealers. In *Milwaukee, WI*, 53 percent of traceable crime guns were first purchased at four Federally licensed gun dealers. In *Pittsburgh, PA*, 53 percent of traceable crime guns were first purchased at seven Federally licensed gun dealers. In *Miami, FL*, 51 percent of traceable crime guns were first purchased at nine Federally licensed gun dealers.

Table 19: Concentration of Traces Among Active Dealers

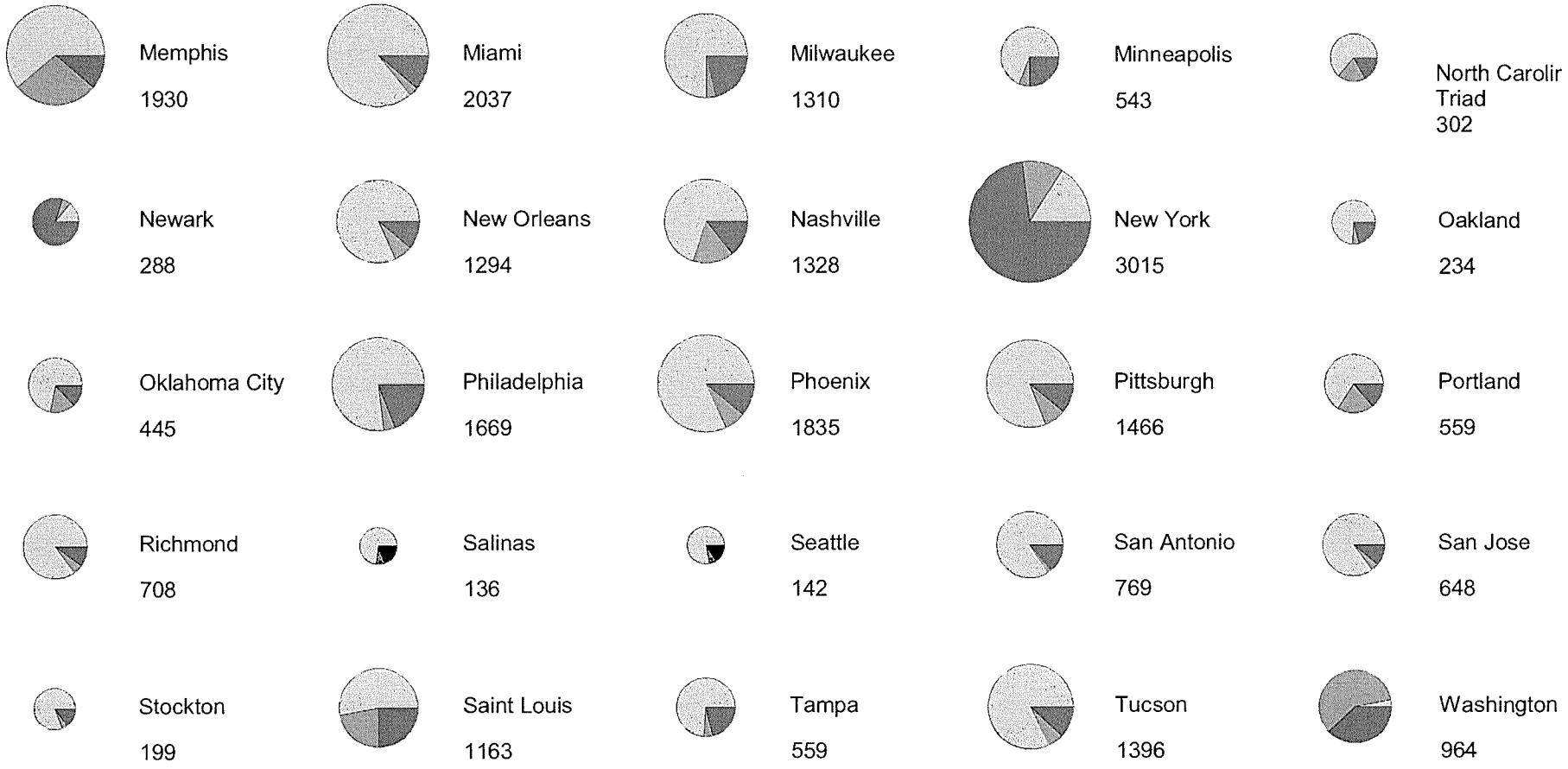
	Traces		Active Dealers	
Dealers	**Number**	**Percent**	**Number**	**Percent**
With 25 or More Traces	10,807	38.5	163	2.4
With 10 or More Traces	15,549	55.4	487	7.2
With 5 or More Traces	19,183	68.3	1,054	15.5
With 2 or More Traces	24,318	86.6	3,044	44.7
With 1 or More Traces	28,084	100.0	6,810	100.0

Figure 12a: Proportion of Crime Guns from Local, Regional and National Sources by City 2000



Graphs are scaled to the number of crime guns traced to a purchaser from each city. Local sources of crime guns are defined as coming from the same state, while regional sources are the adjoining states. All other states are considered national sources.

Figure 12b: Proportion of Crime Guns from Local, Regional and National Sources by City 2000 (Continued)



Graphs are scaled to the number of crime guns traced to a purchaser from each city. Local sources of crime guns are defined as coming from the same state, while regional sources are the adjoining states. All other states are considered national sources.

2 - 8 Crime Guns with Obliterated Serial Numbers

Results of Traces from Eight Cities. Since tracing of crime guns with obliterated serial numbers is not conducted consistently by law enforcement agencies, this report presents information from eight jurisdictions which submitted requests for at least 85 of their crime guns with obliterated serial numbers: *Baltimore, MD; Chicago, IL; Detroit, MI; Dallas, TX; Los Angeles, CA; New York City, NY; Philadelphia, PA;* and *Washington, DC*. No rifles, shotguns, or combination guns were included in this analysis because some older long guns were manufactured without serial numbers. Unique serial numbers were not mandated on all firearms until passage of the Gun Control Act (GCA) in 1968, and it is not always possible to distinguish certain pre-GCA firearms from post-GCA firearms with the information provided.

Obliteration Is More Common Among Semiautomatic Pistols. As shown in *Table 20*, in the eight jurisdictions that were analyzed, almost 10 percent of the 28,558 trace requests involve handguns with obliterated or partially obliterated serial numbers. The proportion of handguns with obliterated serial numbers is nearly twice as large for semiautomatic pistols (11.3 percent) as for revolvers (6.3 percent).

Obliteration Is More Common Among Youth and Juvenile Crime Guns. As shown in *Table 19*, obliteration is more common among crime guns recovered from youth and juveniles than from adults. This is true for all handgun types. Almost 13 percent of semiautomatic pistols recovered from youth and 12 percent from juveniles had obliterated serial numbers.

Tracing Crime Guns with Obliterated Serial Numbers. The obliteration of the serial number on a crime gun is a key criminal indicator of trafficking, because it shows that someone in the chain of possession assumes that the gun will be used for a crime, may have to be discarded by a criminal, or may be recovered by the police. If an obliterated serial number can be restored by a trained firearms examiner, tracing can proceed, with the possible result of identifying participants in a serious criminal conspiracy. The tracing of guns with obliterated serial numbers is not conducted consistently by law enforcement agencies, however, because not all jurisdictions are aware of the potential to restore and trace guns with obliterated serial numbers, and not all jurisdictions have the resources to do so. *Even if the serial number is not restored, ATF urges law enforcement agencies to submit informational traces so that information on firearm type, possessors, their associates, and recovery locations can be analyzed for trafficking leads.*

Federal Felony - 5 Years Imprisonment. Possession of a gun with an obliterated serial number is a Federal felony punishable by 5 years imprisonment. Law enforcement should keep this in mind when debriefing individuals found in possession of guns with obliterated serial numbers.

Table 20: Crime Guns with Obliterated Serial Numbers for Selected Cities

All Handguns for Eight Selected Cities

	Juvenile (ages 17 & younger)	Youth (ages 18 - 24)	Adult (ages 25 & older)	All Ages
Semiautomatic Pistol	1,007	4,244	4,981	17,874
Revolver	530	1,772	2,676	10,271
Derringer	16	63	143	413
Total	1,553	6,079	7,800	28,558

Handguns with Obliterated Serial Numbers

	Juvenile (ages 17 & younger)	Youth (ages 18 - 24)	Adult (ages 25 & older)	All Ages
Semiautomatic Pistol	119	549	429	2,027
Revolver	41	126	98	650
Derringer	2	5	3	28
Total	162	680	530	2,705

Percentage of Handguns with Obliterated Serial Numbers

	Juvenile (ages 17 & younger)	Youth (ages 18 - 24)	Adult (ages 25 & older)	All Ages
Semiautomatic Pistol	11.8	12.9	8.6	11.3
Revolver	7.7	7.1	3.7	6.3
Derringer	12.5	7.9	2.1	6.8
Total	10.4	11.2	6.8	9.5

2 - 9 Multiple Sales

Multiple Sales Account for Nearly 20 Percent of Traced Handguns. The National Tracing Center provides information on handguns recovered in crimes that were purchased as part of a multiple sales transaction. For all YCGII jurisdictions combined, multiple sales accounted for 20 percent (650) of all handguns first sold at retail in 2000 and traced in 2000 (3,295).

Link Between Multiple Sales and Obliteration. As displayed in *Table 21*, among all traced handguns first sold in 2000 (3,295), 52 (1.6 percent) had obliterated serial numbers. The following summarizes handguns sold and traced in 2000:

- Of the 52 handguns having an obliterated serial number, 14 (27 percent) were from multiple sales and 38 (73 percent) were not from multiple sales.
- Of the 3,243 handguns not having an obliterated serial number, 636 (20 percent) were from multiple sales and 2,607 (80 percent) were not from multiple sales.

Among handguns sold and traced in 2000, those with obliterated serial numbers were substantially more likely to have been from a multiple sale (27 percent) than from sales that did not involve multiple handguns (20 percent).

Additional attention will be given to this issue as more data on multiple sales and better data on obliteration become available.

Table 21: Multiple Sales and Obliterated Serial Numbers Among Handguns Sold and Traced in 2000

Obliterated and Restored						
Multiple Sales	Yes		No		Total	
	Number	Percent	Number	Percent	Number	Percent
Yes	14	2.2	636	97.8	650	100.0
No	38	1.4	2,607	98.6	2,645	100.0
Total	52	1.6	3,243	98.4	3,295	100.0

3- Enforcement Information

The trace information collected and analyzed in the annual Crime Gun Trace Reports is used in Federal, State, and local investigations of the illegal diversion of firearms, particularly involving felons, youth offenders, and juveniles. During the period 1996-1998, approximately 60 percent of ATF's firearms trafficking investigations involved crime gun tracing and 68 percent involved State and local law enforcement agencies.

Recent Investigations Involved Trafficked Firearms. During calendar year 2000, ATF's 23 Field Divisions initiated 1,319 illegal firearms trafficking investigations, involving 413 youth and juvenile firearms possessors, 236 youth and juvenile firearms traffickers, 80 youth and juvenile straw purchasers, and 27 youth and juvenile firearms burglars. Nearly 40 percent (516) of these investigations have been forwarded by ATF agents to Federal, State, and local prosecutors for prosecution. These 516 investigations yielded a total of 868 defendants, including 400 illegal firearms possessors, 212 illegal firearms traffickers, 138 straw purchasers, 25 corrupt licensed dealers, and 45 firearms burglars. ATF agents estimated that 19,777 firearms were trafficked in these 1, 319 firearms trafficking investigations. Because 60 percent of these investigations are still in progress, it is likely that the ATF agents will uncover higher numbers of trafficked firearms as their investigations develop further.

The Illegal Market in Firearms. Trace information and analysis of cases are contributing to a more precise picture of the structure of the illegal firearms market that supplies guns to criminals, unauthorized juveniles, and other prohibited persons. This section describes aspects of the illegal market illuminated by crime gun tracing and cases developed as part of the Youth Crime Gun Interdiction Initiative, the youth-focused component of ATF's firearms enforcement program.

Trafficking and Illegal Diversion of Firearms. Virtually all crime guns start off as legally owned firearms. For this reason, the term "firearms trafficking," in contrast to the common reference to drug trafficking, refers to the illegal diversion of a legal product from lawful commerce into unlawful commerce, often for profit. ATF also uses the term "diversion." A broader term than trafficking, diversion encompasses any movement of firearms from the legal to illegal marketplace through an illegal method or for an illegal purpose. For example, a criminal who steals a firearm from a Federal firearms licensee (FFL) for his own personal use is participating in the illegal diversion of firearms, but he is not a trafficker. Thus, while the theft of firearms may involve a criminal stealing one or more firearms for his own use, or may involve subsequent trafficking, addressing stolen firearms is an important part of a firearms trafficking strategy because theft constitutes one means of the illegal supply of firearms.

Types of Trafficking: Firearms Trafficking includes:

- Trafficking in new firearms, interstate and intrastate, including by Federally licensed firearms dealers, large-scale straw purchasers, or straw purchasing rings, or small-scale straw purchasers from gun stores, gun shows, or other premises;
- Trafficking in secondhand firearms, interstate and intrastate, including by licensed firearms dealers, including pawnbrokers; large-scale straw purchasers or straw purchasing rings; or small-scale straw purchasers, unlicensed sellers, including at gun shows, flea markets, or through newspaper ads, gun magazines, the Internet, and personal associations, and bartering and trading within criminal networks; and
- Trafficking in new and secondhand stolen firearms, involving guns stolen from Federally licensed dealers, including pawnbrokers, manufacturers, wholesalers, and importers, theft from common carriers, home invasions, and vehicle theft.

CASE EXAMPLES

Small-Scale Straw Purchaser Providing New Guns to Convicted Youth Felon. *Atlanta, GA.* In October 1999, a licensed dealer reported suspicious purchases of firearms by the 27-year-old defendant to ATF. On October 27, 1999, ATF agents conducted surveillance on the defendant and observed him as he purchased four new pistols, including two Magnum Research Baby Eagle 9mm semiautomatic pistols, a Glock 10 mm semiautomatic pistol, and a Glock .40 caliber semiautomatic pistol from an Atlanta area FFL. After the purchases, agents observed the defendant as he transferred two of the aforementioned firearms to a 24-year-old youth, who was also a convicted felon. ATF agents immediately arrested both defendants and recovered the Baby Eagle 9mm and Glock .40 caliber pistols.

On November 9, 1999, the defendants were indicted. The 27-year-old defendant was indicted for violations of 18 USC Section 924(a)(1)(A), making false statements or representation in an FFL's required records. The 24-year-old defendant was indicted for 922(g)(1), convicted felon in illegal possession of firearms. Both defendants later pled guilty. On March 23, 2000, the 27-year-old defendant was sentenced to 11 months incarceration and 24 months supervised release. The 24-year old youth was sentenced to 33 months incarceration and 36 months supervised release.

Youth Convicted For Misdemeanor Crime of Domestic Violence Apprehended After Attempted Illegal Firearms Purchase. *Los Angeles, CA.* In April 2000, ATF received a California State Dealer Record of Sale denial referral regarding the attempted purchase of a firearm by a 21 year-old youth, previously convicted of a misdemeanor crime of domestic violence. Over the course of the investigation, ATF agents learned that on November 28, 1999, the youth, a prohibited person, attempted to purchase a Bryco 9mm semi-automatic pistol from a Federally licensed firearms dealer. The State of California's Department of Justice denied the firearm sale to the youth as a result of his conviction status. The youth was indicted for violating 18 USC Section 922(a)(6) – Providing false information to a Federally licensed firearms dealer during the acquisition or attempted acquisition of a firearm.

On January 12, 2001, ATF agents, subsequent to the Federal indictment, arrested the youth. During a search of the youth's home, ATF agents removed a fully loaded Ruger .45 semi-automatic pistol from his bedroom nightstand.

On February 26, 2001, the youth pled guilty to violation of one count of 18 USC Section 922(a)(6) – Providing false information to a Federally licensed firearms dealer during the acquisition or attempted acquisition of a firearm.

On June 13, 2001, the youth was sentenced in the Central Judicial District of California to serve 5 months of incarceration followed by 3 years of supervised release, and ordered to pay a $100 special assessment.

Juveniles Falsifying Federal Firearms Licenses to Acquire Firearms through the Internet. *Northern New Jersey.* In May 2000, a United Parcel Service (UPS) driver unsuccessfully attempted to deliver a package to a residence in Northern New Jersey. The UPS driver noticed that the address was a residence, not a gun store as the label on the package indicated. The UPS driver subsequently returned the package to the UPS facility. UPS contacted the sender and confirmed he was a Federal Firearms Licensee (FFL) in Texas. The Texas Federal Firearms Licensee (FFL) contacted the ATF Licensing Center in Georgia to determine whether the FFL in New Jersey was valid. Upon being informed that it was not, the Texas FFL contacted ATF in New Jersey and informed agents of the situation. ATF New Jersey Group I took control of the package from UPS and, with the assistance of the Essex County Prosecutor's Office, Postal Inspection Service, and the Montclair Police Department, conducted a controlled delivery of the package. Two juveniles were arrested after the controlled delivery and a State search warrant was executed. ATF learned that the two juveniles altered a copy of a Federal Firearms License they obtained from an FFL in Florida, whom the juveniles were able to convince they were licensed dealers. The juveniles altered this Federal Firearms License utilizing a fictitious name and the real address of one of the juveniles.

During the investigation, the juveniles admitted altering the Federal Firearms License and making four additional Federal Firearms Licenses. They also admitted to ordering a Glock .357 semiautomatic pistol, a Glock .40 semiautomatic pistol, and two Glock 9 mm semiautomatic pistols via the Internet. Agents and investigators recovered all four weapons, as well as a .22 caliber handgun. Both juvenile defendants pled guilty in State court to illegal firearm possession, forgery, and conspiracy. On July 27, 2000, the juveniles were each sentenced to 1 year probation and curfew provisions.

Intrastate Trafficking in New and Secondhand Firearms Stolen from Licensed Dealer. *St. Louis, MO.* Between December 1999 and January 2000, an employee of a Federal Firearms Licensee stole 14 new and secondhand handguns from the dealer by hiding them in his clothing and leaving the store. After the final theft was committed, the suspect accidentally shot himself in the abdomen while examining one of the handguns. Subsequent investigation by ATF revealed that the suspect had pawned some of the handguns and sold the remaining handguns to his friends—3 youths and 1 adult. After ATF arrested the defendant on August 8, 2000, the defendant provided information on the whereabouts of the stolen firearms and all were eventually recovered.

The defendant was indicted for violation of 18 USC Section, 922 (a)(1)(A), dealing firearms without a license, and 922 (u), theft from a Federal Firearms Licensee. After pleading guilty to these charges, the defendant was sentenced on December 1, 2000, to 13 months incarceration, to be followed by 3 years of supervised release.

Trafficking in Secondhand Firearms Stolen from FFL's Residence. *Charlotte, NC.* On November 16, 1998, an FFL reported the theft of 29 firearms from his personal collection at his residence. A confidential informant advised local law enforcement authorities that the FFL's stepson had stolen the firearms. The firearms were entered into the ATF Suspect Gun Database. Subsequent investigation revealed that the defendant traded the firearms to three 20-year-old youths, for crack cocaine on several occasions. During the execution of a search warrant at a crack distribution house, the three 20-year-old youths were apprehended with three stolen firearms including an Norinco 7.62 X 39mm SKS rifle. In May 1999, the firearms thief and three youthful crack cocaine dealers were indicted.

The firearms thief pled guilty to violations of 18 USC Sections 2, Aiding, Abetting, Counseling, Commanding, or Soliciting a Federal Crime; 18 USC 924(c), Use and/or Carrying a Firearm in Relation to a Drug Trafficking Crime; 21 USC 846, Conspiracy to Distribute Cocaine and Cocaine Base; and 18 USC 924(o), Conspiracy to Use and Carry Firearms During and in Relation to a Drug Trafficking Crime. He was sentenced on July 23, 2000, to 84 months in prison and received a fine of $20,000.

The first youth pled guilty to violations of 21 USC 846, Conspiracy to Distribute Cocaine and Cocaine Base; and 18 USC 924(o), Conspiracy to Use/Carry Firearms During and in Relation to a Drug Trafficking Crime. He was sentenced on June 19, 2000, to 65 months in prison and 24 months probation.

The second youth pled guilty to violations of 21 USC 846, Conspiracy to Distribute Cocaine and Cocaine Base; and 18 USC 924(o), Conspiracy to Use/Carry Firearms During and in Relation to a Drug Trafficking Crime. He was sentenced on June 19, 2000, to 96 months in prison and 36 months probation. The third youth pled guilty to violations of 21 USC 846, Conspiracy to Distribute Cocaine and Cocaine Base; and 18 USC 924(o), Conspiracy to Use/Carry Firearms During and in Relation to a Drug Trafficking Crime. On December 16, 1999, he received a sentence of 96 months in prison, 60 months probation and a $20,000 fine.

Convicted Felon Youth Gang Member in Possession of Stolen Firearms and Obliterated Serial Number Firearm. *Houston, TX.* On March 18, 1999, members of the ATF Violent Gang Task Force assisted the Houston Police Department's Street Level Narcotics Enforcement Unit in the execution of a search warrant at the residence of a 22-year-old convicted felon youth gang member. Officers and agents recovered marijuana as well as 5 firearms including a stolen Harrington & Richardson .32

revolver, a Phoenix .25 semiautomatic pistol that was forcibly taken from a 48-year-old woman during a purse snatching, a RG Industries .25 revolver with an obliterated serial number, a Colt .45 semiautomatic pistol, and a Marlin 9mm rifle.

The 22-year-old youth was charged with violating 18 U.S.C. Sections 922(g)(1) -Convicted Felon in Possession of a Firearm, 922(j) - Possession of a Stolen Firearm, and 922(k) - Receipt, Shipment or Transportation of a Firearm with an Obliterated Serial Number. On March 17, 2000, the defendant pled guilty to 18 U.S.C. 922(g)(1) and was sentenced to 24 months imprisonment, 3 years supervised release, and a $600 fine.

Small-Scale Interstate Gun Trafficking. *New York, NY.* This investigation was initiated in the Spring of 1999 after a handgun was recovered in an attempted robbery where the victim suffered a non-fatal wound. The firearm was recovered by the New York Police Department and traced by ATF to the original purchaser in Killeen, Texas, a 21-year-old youth who was enlisted in the United States Army. ATF conducted additional analyses of Multiple Sales data that revealed the youth had purchased 10 additional firearms in recent months, including 4 Intratec Tec-9 9mm semiautomatic pistols. When ATF interviewed the defendant, he confessed that he had used his military identification to purchase 14 firearms from area pawnshops during the Spring of 1999, and had trafficked 6 firearms to New York City where they were "sold on the streets." He also admitted to obliterating the serial numbers on some of the firearms to conceal his identity. ATF New York subsequently recovered five of the firearms that were destined for sale in New York.

On February 8, 2000, defendant pled guilty to violating 18 USC Sections 922(a)(1)(A)- Dealing Firearms Without a License, 922(k)- Transporting, Shipping, or Receiving in Interstate Commerce a Firearm with the Serial Number Obliterated, and 371- Conspiracy to Violate Federal Law. On May 18, 2000, he was sentenced to 37 months imprisonment.

Convicted Felon Youth Gang Member in Possession of Obliterated Serial Number Firearm in Public Park. *Bronx, NY.* On September 15, 1999, a 21-year-old convicted felon and member of the "Bloods" street gang was arrested in a park located in the Grand Concourse section of the Bronx, by the New York City Police Department for illegal possession of a firearm and a controlled substance. The firearm was a Lorcin .380 semiautomatic pistol with an obliterated serial number. The obliterated serial number was subsequently raised and the gun traced by ATF to a purchaser, who is also a convicted felon, in Hampton, Virginia. The 21-year-old defendant later stated that he could possibly obtain firearms from an adult in Hampton, Virginia.

On December 17, 1999, the youth was convicted by a Federal jury of violating 18 USC Section 922(g)(1), Convicted Felon in Possession of a Firearm. On March 31, 2000, he was sentenced to 46 months imprisonment and 3 years supervisory release.

Interstate Small-Scale Straw Purchasers Trafficking New and Secondhand Firearms to Gang Members. *St. Louis, MO.* On April 17, 2000, after receiving information from the St. Louis Police Department, ATF arrested three suspects, ages 22, 21, and 19, who were transporting across State lines six handguns that they had purchased at pawnshops and gun stores in Mississippi. The handguns were new and secondhand 9mm, .40, and .45 semiautomatic pistols. Four of the six handguns had obliterated serial numbers. Subsequent investigation revealed that the suspects intended to sell those firearms to gang members in Chicago, Illinois. Subsequent firearms trace analysis revealed that one of the defendants had purchased a handgun that was recovered in an illegal use of a weapon crime in downtown St. Louis.

On October 24, 2000, the three defendants pled guilty to violations of 18 U.S.C. Section 922(k), Transporting, Shipping, or Receiving in Interstate Commerce a Firearm with the Serial Number Obliterated. Two defendants were sentenced to 18 months incarceration and 3 years supervised release; the other defendant was sentenced to 12 months incarceration and 3 years supervised release.

Large-Scale Trafficking in New and Secondhand Firearms by Corrupt Licensed Dealer and Unlicensed Seller at Gun Shows. *St. Paul, MN.* In April

1998, the FBI requested that ATF assist in the trace of a Davis .380 semiautomatic pistol used by a 27-year-old male in a bank robbery. The trace revealed that a former FFL, using a current license issued to a Minnesota sports shop, sold the pistol. ATF initiated an investigation of the sports shop FFL, the former FFL, and a third defendant involved in the illegal transfers. The investigation revealed that the former FFL, using the license of the current FFL, purchased and then resold over 1,100 new and secondhand firearms without completing the required transaction paperwork. The investigation further revealed that many firearms were sold to youths at gun shows.

In October 1999, three defendants were indicted for 18 U.S.C. Section 371- Conspiracy to Commit a Federal Crime, 922(a)(1)(A)- Dealing in Firearms Without a License, 924(a)(1)(A)- Making False Statements in FFL Records, and 2- Aiding and Abetting the Commission of a Federal Crime. In June of 2000, all three pled guilty to misdemeanors, and were sentenced to 1 year probation, $1500 fine, and 100 hours community service.

Theft of New and Used Firearms From Licensed Dealer for Use in Armed Robbery. *Austin, TX.* On September 15, 1999, a Federal Firearms Licensee located in Austin, Texas, was burglarized. During the burglary, 24 new and used firearms and 5 bulletproof vests were stolen. These firearms included Sig Sauer 9mm, .40, and .45 semiautomatic pistols, a Heckler & Koch .45 semiautomatic pistol, a Colt .45 semiautomatic pistol, and a Smith & Wesson 9mm pistol. The ATF Austin Field Office was notified of the burglary and initiated an investigation. On September 24, 1999, an armed robbery occurred at an Austin jewelry store. Approximately $500,000 worth of jewelry was stolen. The armed robbers were subsequently tracked to a private residence in San Antonio, TX, via a tracking device, similar to devices used by banks, located in one of the stolen jewelry boxes. The San Antonio Police Department officers arrested three adult males ages 24, 25, and 27, who were in possession of the stolen jewelry as well as 11 firearms, and 5 bulletproof vests that were stolen from the Austin FFL. ATF Austin responded to San Antonio and attempted to interview the three suspects. All three suspects refused to cooperate. ATF agents noticed one of the suspects had a freshly healing cut on his hand. Based on suspect blood that was left at the FFL burglary crime scene, coupled with the recovery of the items stolen from the Austin FFL, ATF agents obtained a Federal court order for a blood sample from this suspect for DNA analysis. ATF submitted the blood sample and recovered blood evidence to the State Police Laboratory, and a DNA analysis established that the recovered blood evidence from the FFL burglary matched the suspect. The suspect was indicted, which led to the suspect's cooperation. All three suspects were convicted in Federal court for the burglary of the FFL and robbery of the jewelry store. As part of this investigation, ATF was able to establish that the defendants had stolen the firearms from the FFL for use in the armed robbery of the jewelry store.

On June 9, 2000, the 24-year-old defendant pled guilty to 18 USC Sections 1951, Interference with Commerce by Robbery, and 924(e), Brandishing a Firearm During and in Relation to a Crime of Violence. He was sentenced to 130 months incarceration followed by 3 years of supervised release.

On June 9, 2000, the 25-year-old defendant pled guilty to 18 USC Sections 922(u), Theft of a Firearm from a Licensed Firearms Dealer, 1951, Interference with Commerce by Robbery, and 924(e), Brandishing a Firearm During and in Relation to a Crime of Violence. He was sentenced to 154 months incarceration followed by 3 years of supervised release. On June 9, 2000, the 27-year-old defendant pled guilty to 18 USC Sections 1951, Interference with Commerce by Robbery, and 924(e), Brandishing a Firearm During and in Relation to a Crime of Violence. He was sentenced to 130 months incarceration followed by 3 years of supervised release.

Large-Scale Trafficking in Secondhand Firearms by Unlicensed Dealer at Gun Shows. *Dallas, TX.* In January 1998, an informant provided information to ATF that a Dallas area 53-year old unlicensed dealer was selling firearms at gun shows and flea markets to anyone who walked up to his table. An undercover ATF agent purchased 2 Ruger 9mm semiautomatic pistols, a Rossi .357 revolver, a Taurus .38 revolver, and a Smith & Wesson .357 revolver. After these undercover purchases, a search warrant

was executed at the defendant's residence. All firearms obtained from the defendant were traced and examined by analyzing On-Line LEAD and multiple sales databases. A firearm recovered from a homicide was traced and determined to have been sold by the defendant. The defendant avoided Multiple Sale reporting requirements by obtaining firearms from other unlicensed sellers at flea markets and gun shows. ATF agents estimate that the defendant was illegally selling between 300 and 400 guns per year.

On May 7, 1999, the defendant was charged with 18 USC Section 922(a)(1)(A), Dealing in Firearms Without a License. On September 13, 1999 the defendant pled guilty and was sentenced to two years probation.

Interstate Trafficking in New Firearms by Small-Scale Straw Purchasers. *New York, NY.* Between May 3, 1999, and July 19, 1999, an undercover NYPD detective purchased a total of 26 firearms from a 23 year-old defendant and a 24 year-old defendant in Manhattan. Twenty-five of these firearms were semiautomatic pistols, including 15 Jennings Bryco 38 .380 caliber pistols. One of the firearms was an AA Arms Model AP9 assault weapon. The firearms were traced by ATF and it was revealed that one of the defendants was purchasing firearms in Cleveland, Ohio, and transporting these firearms to New York. Based on analyses of trace data and multiple firearms sales data, ATF documented that these individuals were associated with 40 illegally transferred firearms.

On September 8, 1999, ATF obtained Federal arrest warrants in the Southern District of New York for both defendants. In October and November 1999, the two defendants were both arrested and charged with engaging in the business of dealing firearms without a license and conspiracy to commit a Federal crime.

On March 10, 2000, the 23 year-old defendant pled guilty to violating 18 USC Sections 922(a)(1)(A), engaging in the business of dealing firearms without a license, and 371, conspiracy to commit a Federal crime. On May 11, 2000, he was sentenced to 33 months imprisonment, which included an additional 18 month sentencing enhancement for the illegal possession of an assault weapon, and 3 years-supervised release in the Southern District of New York.

On June 7, 2000, the 24 year-old defendant pled guilty to violating two counts of 18 USC Sections 922(a)(1)(A), engaging in the business of dealing firearms without a license, and 371, conspiracy to commit a Federal crime. On October 6, 2000, he was sentenced to a total of 27 months imprisonment, which included an additional 17-month sentencing enhancement for the illegal possession of an assault weapon, and 3 years-supervised release in the Southern District of New York.

In-State Trafficking of Secondhand Firearms Stolen from Private Residence to Juveniles. *Tampa, FL.* On October 23, 1999, a 21 year-old defendant stole two Jennings 9mm semi-automatic pistols, a Mossberg 12 gauge shotgun, ammunition, and cash from a residence in Tampa, Florida. The defendant then sold the Mossberg 12 gauge shotgun to a juvenile. Several juveniles in and around the Tampa Bay area later used this shotgun in several armed robberies.

During an investigation of the armed robberies by ATF and the Tampa Police Department, the juvenile who originally purchased the shotgun from the defendant admitted to the crimes and identified the defendant as the source of the shotgun. The defendant was then interviewed by ATF and the Tampa PD and admitted to stealing several firearms and selling the shotgun to a juvenile who made statements that he needed the gun to commit a string of future robberies.

On February 16, 2000, the defendant was indicted for possession and/or transfer of a stolen firearm, 18 USC Section 922(j). On December 20, 2000, the defendant pled guilty to the charge. On May 7, 2001, the defendant was sentenced to 24 months incarceration followed by 24 months supervised release.

Interstate Trafficking of New Firearms Straw Purchased by Spouse and Friend. *Atlanta, GA.* This investigation was initiated in November 1999, after the multiple sales database, On-Line LEAD and information from the Georgia Bureau of Investigations revealed suspicious gun purchasing activities of a 25-year-old female. While maintaining surveillance of this female, ATF agents observed her purchase 3 new semiautomatic pistols from an

Atlanta area FFL. Further investigation revealed that she was married to a 22-year-old convicted felon who was directing her and another 23-year-old female to straw purchase firearms. At the time of these illegal purchases, the 22-year-old convicted felon was enlisted in the U.S. Air Force. These three individuals were responsible for trafficking 28 pistols to New York City. The trafficked firearms included Ruger 9mm and .45 semiautomatic pistols, Intratec .45 semiautomatic pistols, Desert Eagle .40 caliber semiautomatic pistols, Sig Sauer .40 semiautomatic pistols, and Lorcin 9mm semiautomatic pistols.

In February 2000, with the assistance of the U.S. Air Force Office of Special Investigations, agents arrested the youth, his wife, and the second female. The females were charged with violations of 18 USC Sections 2, Aiding, Abetting, Counseling, Commanding, or Soliciting a Federal Crime, and 922(a)(6), Making False Statements to a Licensee to Attempt to Obtain a Firearm. The 22-yeard-old convicted felon was charged with 922(g)(1), Convicted Felon in Illegal possession of Firearms. All defendants pled guilty to these charges. On December 4, 2000, the 22-year-old convicted felon was sentenced to 64 months incarceration and 36 months supervised release. Likewise, his wife was sentenced to 10 months incarceration and 24 months supervised release. On January 31, 2001, the 23-year-old female was sentenced to 8 months incarceration and 24 months supervised release.

Police Officer Killed by Firearm Provided to Gang Members by In-State Straw Purchaser. *Chicago, IL.* In August 1998, a Chicago Police Department officer was shot and killed by a street gang member. ATF subsequently traced the handgun used in the incident. The trace revealed that the handgun had been purchased by a 22-year-old youth at an Illinois FFL just outside the city limits. Further Project LEAD analyses revealed that this youth was also the purchaser of a number of guns recovered from gang members who were in possession of guns and narcotics crimes in public housing projects on the south side of Chicago. Further investigation revealed that the youth had purchased 13 new and used handguns, including Taurus .357 revolvers and Smith & Wesson .357 revolvers. The youth admitted to purchasing handguns on 5 separate occasions for members of the Gangster Disciples Street Gang.

The youth was arrested on April 13, 2000, and charged with 18 USC Sections 371, Conspiracy to Commit a Federal Crime, and 922(a)(1)(A), Engaging in the Business of Selling Firearms Without a License. On July 27, 2000, the youth pled guilty to these charges and, on March 14, 2001, was sentenced to 37 months of incarceration followed by 3 years supervised release.

Interstate Trafficking in New Firearms to Gang Members by Straw Purchasing Ring. *Milwaukee, WI.* Through analysis of multiple sales data, ATF uncovered the purchase of 46 new handguns, including many Lorcin and Bryco semiautomatic pistols, by three defendants at an FFL in Wisconsin between June 1998 and April 1999. These handguns were subsequently transported and illegally sold to juvenile and youth gang members in Chicago, Illinois. At the time this investigation was completed, the Chicago Police Department, Cicero (Illinois) Police Department, and Rockford (Illinois) Police Department had recovered 17 of these handguns. Sixteen of these handguns were recovered from juveniles, many of whom were members of the Latin Kings Street Gang.

On six occasions between June and September 1998, a 24-year-old defendant purchased 26 handguns from the Wisconsin FFL. Immediately after purchase he gave most of the handguns to his co-conspirator, a 20-year-old youth, for the purpose of reselling the handguns. The 20-year-old transported the handguns from Wisconsin to Chicago, where he sold them to Latin King gang members. In December 1998, another 24-year-old defendant became involved in unlawfully dealing firearms after the 20-year-old youth suggested that he could make money buying and selling firearms. On four occasions between December 1998 and April 1999, the third defendant bought a total of 20 handguns from the same Wisconsin FFL. He later admitted that he sold these handguns to gang members in Chicago. On May 15, 1999, ATF executed Federal search warrants and interviewed the three defendants. Each made admissions regarding unlicensed firearms dealing.

In February and March of 2000, each defendant pled guilty to one count of 18 USC Section 922(a)(1)(A), Dealing Firearms Without a License. On April 28, 2000, the first 24-year old was sentenced to 4 months imprisonment, 4 months home detention, and 2 years supervised release. On May 12, 2000, the 20-year-old defendant was sentenced to 3 years imprisonment, 3 years supervised release, and a $1000 fine. On May 19, 2000, the second 24-year-old defendant was sentenced to 5 months imprisonment, 5 months home detention, and 3 years supervised release.

International Firearms Trafficking by Large-Scale Straw Purchasing Ring Buying New and Used Guns from Licensed Dealers and Unlicensed Sellers at Gun Shows. *Phoenix, AZ.* Using Project LEAD and Multiple Sales data, ATF agents identified several individuals that were associated with suspicious purchasing patterns and a number of firearms recovered in narcotics crimes in Tucson, Phoenix, and Mexico between 1996 and 2000. Further investigation revealed that a 24-year-old youth paid five friends and acquaintances from his neighborhood to purchase the firearms for him. The youth used these straw purchasers in an attempt to circumvent the Multiple Sale reporting procedures. Although the confirmed firearm purchases were from licensed dealers, the youth and his ring of straw purchasers were known to frequent gun shows and purchase firearms. Further investigation revealed that this ring of straw purchasers provided in excess of 100 firearms, including Browning 9mm semiautomatic pistols, Colt .38 pistols, Ruger 9mm semiautomatic pistols, and Beretta .380 and 9mm semiautomatic pistols, to drug traffickers moving guns to Mexico.

In August 2000, the defendants were arrested and charged with violating 18 USC Sections 371, Conspiracy to Commit a Federal Crime; 922(a)(1)(A), Engaging in the Business of Dealing Firearms Without a License; and multiple counts of 924(a)(1)(A), Providing False Statements to a Firearms Dealer.

On June 18, 2001, the 24-year-old youth pled guilty to 18 USC Sections 922(a)(1)(A), Engaging in the Business of Dealing Firearms Without a License; and 10 counts of 924(a)(1)(A), Providing False Statements to a Firearms Dealer. He was sentenced to 34 months incarceration and fined $5000.

The lead straw purchaser for the 24-year-old youth pled guilty to18 USC Sections 922(a)(1)(A), Engaging in the Business of Dealing Firearms Without a License; and 2 counts of 924(a)(1)(A), Providing False Statements to a Firearms Dealer. He was sentenced to 15 months incarceration, and fined $1,000. The other four individuals cooperated with the Government in this investigation. They each pled guilty to one count of 18 USC Section 924(a)(1)(A), Providing False Statements to a Firearms Dealer and were sentenced to probation.

Large-Scale Trafficking in New and Used Firearms by Licensed Dealer. *West Palm Beach, FL.* In June 1999, an investigation was initiated into the business practices of a West Palm Beach licensed firearms dealer. The investigation was initiated after ATF firearms trace data analyses revealed this FFL as a top source of recovered crime guns in Palm Beach County each year between 1995 and 1999. Further data analyses revealed that the FFL also had high numbers of multiple firearms sales, NICS denials, and firearms theft reports. ATF also received information from a confidential informant that FFL employees were facilitating straw purchases of firearms to prohibited persons by coaching the prohibited person on how to bring a friend with them who can purchase the firearm.

During the investigation, two different ATF confidential informants with prior felony convictions were sent in to the FFL on multiple occasions, completed an ATF Form 4473, were denied purchase approval during the records check, and were then coached by the owner and a manager on bringing in friends to get the guns for them. Then, on several occasions the felons went back to the FFL, handed the owner and manager money, had a "friend" (actually an undercover ATF agent) fill out the 4473 form for approval, and had the owner and a manager hand the guns to the felon. All transactions were electronically recorded. On one occasion, the owner asked the confidential informant to come to a back room where the owner took out a MAC-10 9MM pistol and silencer, fired the weapon into some tires,

and asked the informant if he was interested. The confidential informant purchased the MAC-10 and silencer with the undercover ATF agent completing the paperwork for the MAC-10 with no mention of the unregistered silencer having no serial number. In January and August 2000, Federal search warrants were served at the business by ATF. During both search warrants, ATF special agents and an inspector examined records and discovered that the FFL had been making false entries and significantly altering firearms purchase and sales records. The business records were seized as evidence.

On March 26, 2001, the owner and manager of the gun store pled guilty to 18 USC Section 371, Conspiracy to Commit an Offense against the United States. The plea agreement also required that the license be immediately surrendered. On August 15, 2001, the owner was sentenced to 30 months in prison and fined $60,000. The manager was sentenced to 14 months in prison.

Although this FFL has been out of business for a year, it continues to be a significant source of traced crime guns, and probably will be for years to come due to the number of firearms they transferred to criminals, gang members, and youths. Based on best estimates from cooperating employees at the FFL, at least 1,000 firearms were transferred illegally over the last 2 years of their business operations. Their self-admitted business motto was "No one leaves without a gun". Firearms sold by this FFL have been recovered in crimes in foreign countries and throughout the United States.

4 - Information for Law Enforcement Executives

This section answers frequently asked questions from law enforcement executives about the Youth Crime Gun Interdiction Initiative, comprehensive tracing, and ATF's firearms enforcement programs.

What are the selection criteria for YCGII cities?
Experience over the years has resulted in ATF modifying the selection criteria to focus on cities with a great number of firearms recoveries and a greater law enforcement infrastructure to support the program. The selection criteria utilize the following:

- City population,
- Youth and juvenile crime rates as derived from the Uniform Crime Reports (UCR),
- Known trafficking source or market areas,
- History of firearms tracing, and
- Mix of city size and demographics.

What are the primary goals of the YCGII program?
The primary goals of the YCGII program are:

- Ensure that 100 percent of all recovered crime guns are traced through ATF's National Tracing Center (NTC),
- Conduct research and analysis to determine community-wide patterns and trends,
- Produce an annual report for State and local authorities for use in developing informed enforcement strategies focused on the reduction of firearms violence and the interdiction of firearms to age groups of concern, and
- Use this information to increase the effectiveness of enforcement efforts in the apprehension and prosecution of those who illegally possess and traffic firearms.

What is a crime gun trace?
A crime gun trace by ATF's National Tracing Center (NTC) seeks to identify the Federal firearms licensees (FFLs) who first came in contact with the firearm, i.e., manufacturer, wholesaler, retailer, and the individual who first purchased the firearm from the retail dealer.

In addition, for certain FFLs, the NTC may also be able to provide trace information for firearms re-sold as used guns and subsequently recovered by law enforcement. Finally, ATF special agents and their State and local counterparts sometimes conduct investigative traces which seek to identify the complete chain of possessors from initial retail purchase to recovery by law enforcement.

What is the investigative value of a crime gun trace? A firearms trace acts as an avenue to obtain additional investigative leads which may tie the suspect to the firearm itself, and to other crimes otherwise unknown if the gun had not been traced. The appearance of an FFL or a first purchaser in association with a crime gun or in association with multiple crime guns does not show that either the FFL or first purchaser has committed unlawful acts. Rather, such information may provide a starting point for further and more detailed investigations.

How does my agency submit a crime gun trace request to the NTC?Traces can be submitted by fax (1-800-578-7223). In emergencies, trace requests can be made by telephone (1-800-788-7133). Trace forms can be obtained by calling the ATF Distribution Center (703-455-7801), by calling your local ATF office, or through the Internet at www.atf.treas.gov.

Will my department be charged for an NTC trace? The NTC will trace any and all crime guns submitted for tracing at no charge.

What is comprehensive crime gun tracing?Comprehensive crime gun tracing occurs when law enforcement authorities in a given jurisdiction routinely submit the serial number, manufacturer, model, caliber, and weapon type of all firearms recovered in their jurisdiction to ATF's NTC. For more complete analysis, law enforcement authorities may submit information on the possessor of the

firearm (when there is a possessor), associate (any individual who may be associated with the possessor at the time of recovery), and recovery date and address.

What is the investigative value to my department of comprehensive crime gun tracing? Large numbers of traces can be analyzed to develop proactive leads to gun traffickers, armed offenders, and illegal possessors of firearms. When the NTC compiles comprehensive crime gun trace information for a law enforcement agency, it can furnish information relating to the following questions: 1. What kinds of guns are being recovered in my area? 2. What types of crimes are associated with these recovered crime guns? 3. Who are the dealers that are the source of crime guns recovered in my area? 4. Who are the individuals supplying firearms to the criminals and juveniles in my area? 5. Where are the recovery locations? 6. Are the source areas in the county or the State, or from out-of-State? 7. Where should my resources be concentrated to stem the flow of firearms to my streets?

With this information, a department working with ATF can maximize enforcement leads to illegal suppliers and their violent customers and establish enforcement strategies to reduce juveniles and criminals illegal access to guns. Firearms tracing can also lead to improved officer safety, since it can alert officers to crime gun activity at a specific address, or by a particular individual.

What is the best method of comprehensive trace submission?
The Electronic Trace Submission System (ETSS) is a stand-alone database that enables ATF field offices and other law enforcement organizations to capture firearm trace related data. This data is then exported from ETSS and the Batch File is then transferred electronically to the NTC for processing. Agencies with only a few hundred traces a year can use fax or mail submission or request ETSS from ATF.

How much does comprehensive tracing cost?
ETSS is currently available to all ATF field offices and can be downloaded from the NTC page on the ATF Intraweb at no charge. Upon request, police departments can upload ETSS by CD-ROM. The largest cost to the department is likely to be the cost of entering trace information in person hours.

What assistance in establishing comprehensive tracing is available from ATF?
Comprehensive crime gun tracing is free to the requesting jurisdiction. The NTC will also work with police departments to establish the easiest methods for them to trace firearms. The Crime Gun Analysis Branch (CGAB) will conduct a full assessment of a city's capability for comprehensive tracing and recommend the steps needed to achieve this goal, including providing funding to improve the city's crime gun data collection process. ATF will also provide the city with a detailed plan of action highlighting specific activities that each party would perform. ATF also provides training directly and in conjunction with the International Association of Chiefs of Police and the Bureau of Justice Assistance.

Will my law enforcement agency receive responses to trace requests directly?
After a firearm is submitted for tracing, the trace report containing the results of the trace is returned to the requester.

How long does a trace response take?
A routine firearm trace averages 12 working days.

Are there special provisions for urgent traces?
Urgent traces, which must adhere to certain criteria, are completed within 24 hours. Criteria for an urgent trace include: assaults, bank robbery, kidnapping, murder/suicide, rape/sex crimes, terrorist act or threat, undercover investigation, high profile, needed for court, needed to hold a suspect in custody, or issuance of a search warrant.

Are trace responses on paper or electronic?
Currently, Federal, State, and local law enforcement agencies can submit trace requests electronically, but can only receive trace responses on paper. In addition, the NTC will respond to law enforcement organization requests for an extract of a jurisdictions trace information and provide it on disk.

Can investigators search available crime gun trace information for investigative leads?
ATF developed Online LEAD, a firearms trafficking information system, to enable investigators to search

for criminal patterns in trace information. It has proven to be a powerful tool in the hands of field investigators. By analyzing the raw data contained in firearms trace and multiple sales records, Online LEAD generates a wealth of investigative leads. For example, ATF and other law enforcement agencies can identify firearms traffickers by researching both the sources of firearms and their destinations. For individual jurisdictions, the value of Online LEAD depends on law enforcement agencies tracing crime guns comprehensively.

Do State and local law enforcement agencies have access to Online LEAD?
Yes. Online LEAD is located at ATF field offices and is readily available to local task forces. The Online LEAD crime gun information system allows ATF agents and inspectors to access crime gun trace and multiple sales data directly from their desktop computers using the ATF Intraweb. The data in the Online LEAD system is updated automatically every 24 hours.

Do all crime gun traces result in identification of purchasers, and if not, why submit all recovered firearms for tracing?
Currently over 53 percent of traces from participating cities result in the identification of a purchaser, and many of these are relatively recent gun buyers. Even without purchaser results, most crime gun traces result in useful information. With gun dealer but not purchaser information, traces can reveal concentrations of crime guns flowing from particular dealers, and provide information on the source States and counties of these firearms, thus helping local law enforcement officials understand whether crime guns they recover have crossed jurisdictional lines. Other information supplied, such as possessor, associate, and recovery information, will allow comprehensive crime gun analysis for your jurisdiction.

Can ATF's CGAB assist my agency in specific investigations?
The CGAB, located at the National Tracing Center, can provide information useful for officer safety precautions when conducting search warrants, to assist in an investigation, hold a suspect, or acquire a search warrant. Your agency can request analysis of crime gun trace data in your jurisdiction by fax (304-260-3640), email CrimeGunAnalysisBranch@trac.atf.treas.gov), or telephone (1-866-360-3418). The CGAB can provide assistance by running an individual suspects name and/or address through the Firearms Tracing System (FTS) to determine whether any firearms have been recovered at a particular address in connection with warrant service, or if an individual at that address has purchased multiple firearms or been involved in crime gun traces.

Can the CGAB assist my agency in using crime gun trace information for strategic purposes?
Analysis of crime gun trace data in your jurisdiction can be provided through the CGAB and Online LEAD. The CGAB can analyze your crime gun trace and related multiple sales information to help identify problems in your jurisdiction. A trace study can be conducted to identify trends and patterns in crimes involving firearms. The CGAB can provide leads and proactive referrals on individuals who may be suspected of straw purchasing or firearms trafficking in your jurisdiction.

Does the NTC provide crime gun mapping?
The CGAB can map crime gun recovery locations on a map of your jurisdiction demonstrating trends and patterns with areas of high amounts of crime gun recovery locations. Mapping of crime gun recovery locations can be provided most effectively when a jurisdiction is tracing comprehensively and when complete recovery address information is supplied.

What does ATF view as best practices in using crime gun tracing as an investigative tool?
Best practices include first ensuring that you are maximizing ATF as a resource by requesting traces through the NTC on all recovered firearms; ensuring that possessors of recovered firearms are interviewed to determine their sources; and ensuring that ATF is the central recipient of all firearms-related information. You should also use other statistical data as shown in the annual Crime Gun Trace Reports and, where possible, develop a gun unit dedicated to investigating firearms offenses and developing strategies based on the analysis, including working with ATF in the conduct of joint firearms trafficking investigations.

How does the FTS relate to the National Integrated Ballistics Identification Network (NIBIN)?
Crime gun tracing and ballistics identification are both crime gun investigative tools. Tracing can be conducted when the crime gun itself is recovered. If only a cartridge or bullet is recovered, this image can be analyzed so that it can be tied with previously identified shooters or firearms. Increasingly, departments are using both tools to assist in solving gun crimes. Ballistics Imaging technology does not automatically submit the crime gun to be traced through the National Tracing Center.

How will comprehensive crime gun tracing help reduce youth gun violence?
Comprehensive crime gun tracing will provide an information platform for developing the best local investigative strategies. One of the findings of the Crime Gun Trace Reports is that a large proportion of youth crime guns are quite new and most likely deliberately and illegally trafficked. Many crime guns were first sold at retail in-State. The long held presumption that guns used in crimes were all borrowed from home, stolen, or trafficked across State lines appears to be incorrect. Comprehensive crime gun tracing and trace analysis can support both trafficking investigations aimed at these sources of newer firearms and the deployment of traditional criminal investigation techniques (debriefings, confidential informants, turning of arrestees, etc.) aimed at sources of new and older firearms. Because juveniles have less access to the firearms market than adults, a strategy that targets their illegal supply can be especially productive.

How does tracing relate to a strategy of deterring and incarcerating persons illegally possessing, carrying, or using firearms?
Local law enforcement authorities are actively searching to find the best mix of local enforcement operations. ATF is providing new assistance to that effort by working to institute comprehensive tracing and ballistics identification capabilities and use these tools to support gun crime investigations. These tools are providing new opportunities to attack gun criminals and the illegal gun market, which includes many felons acting as gun traffickers. At the Federal level, ATF believes that a balance between attacking the illegal supply of firearms to prohibited persons, including juveniles and adult felons, and deterring and incarcerating armed violent offenders, is necessary to reduce violent crime.

What are common types of illegal diversion?
Corrupt Federal firearms licensees, unlicensed sellers, straw purchasers, thieves, and traffickers in stolen guns, all contribute to the illegal market in guns. ATF utilizes all aspects of comprehensive trace data to initiate criminal investigations and to develop ATF regulatory enforcement strategies.

How does comprehensive tracing relate to an ATF regulatory enforcement strategy?
Comprehensive trace data are used to initiate criminal investigations and to develop ATF regulatory enforcement strategies. The focused inspection program addresses some of the following:

- firearms dealers with a significant percentage of unsuccessful firearms traces,
- reported Multiple Sales/unreported Multiple Sales,
- firearms dealers with *more* than one theft involving less than ten firearms, and
- dealers identified with short time to crime firearms.

Comprehensive tracing also allows ATF to identify Federal firearms dealers who may have serious recordkeeping problems, inventory problems, and who may be associated with crime guns. In addition, firearm dealers who do not respond to a crime gun trace request or provide incorrect information in response to firearms trace request(s) are identified. Dealers who have been cited for firearm violations are advised of the correct recordkeeping procedures and if the violations continue, are subject to administrative action, including license revocation.

5 - Progress and Plans: The Strategic Use of Crime Gun Information

This section describes the progress made in comprehensive crime gun tracing during the past year. Crime gun tracing is voluntary for most law enforcement agencies. Through the Youth Crime Gun Interdiction Initiative (YCGII) and other firearms enforcement programs, ATF in 1996 began a concerted effort to work with other law enforcement organizations to maximize the utility of this critical investigative tool. To develop and encourage crime gun tracing, ATF continues to strive to improve the tracing process, quantity, quality, and delivery of crime gun information, and related investigative services to ATF agents and their State and local partners.

5-1 Level and Quality of Crime Gun Tracing

Number of Crime Guns Traced. The number of firearm traces submitted to the National Tracing Center (NTC) remained relatively constant; from 206,070 traces in 1999 to 206,115 traces in 2000. Law enforcement officials in the 50 participating YCGII locations submitted approximately 96,902 crime gun trace requests between January 1, 2000, and December 31, 2000, 47 percent of the total number of crime gun trace requests submitted to the NTC during this period. The 17 new YCGII cities submitted 17,510 trace requests.

Comprehensive Crime Gun Tracing. Police departments that join the YCGII make a commitment to trace all crime guns recovered in their jurisdictions in order to maximize investigative leads and permit analysis of local crime gun patterns by age group. While other law enforcement agencies are making similar commitments and meeting them successfully, the annual Crime Gun Trace Reports currently include only YCGII cities. ATF makes a special effort to ensure the accuracy of the information collected for these reports. While the NTC cannot determine definitively whether all recovered crime guns are being traced, an evaluation can be made based on the number of trace requests, the tracing infrastructure in the law enforcement agencies, and on information obtained from local officials. On this basis, the NTC determined that during 2000, 38 of the 50 locations participating in YCGII were tracing comprehensively. These cities include:

Atlanta, GA	Chicago, IL	Jacksonville, FL	New Orleans, LA	Richmond, VA
Baltimore, MD	Cincinnati, OH	Los Angeles, CA	Nashville, TN	Salinas, CA
Baton Rouge, LA	Dallas, TX	Louisville, KY	New York, NY	San Antonio, TX
Birmingham, AL	Gary, IN	Memphis, TN	Oklahoma City, OK	San Jose, CA
Boston, MA	Greensboro/Highpoint/	Miami, FL	Philadelphia, PA	St. Louis, MO
Camden, NJ	Winston Salem, NC	Milwaukee, WI	Phoenix, AZ	Tampa, FL
Charlotte-	Houston, TX	Minneapolis, MN	Pittsburgh, PA	Tucson, AZ
Mecklenburg, NC	Indianapolis, IN	Newark, NJ	Portland, OR	Washington, DC

Of the remaining cities, a sufficient number of traces for a city-based analysis were received to complete a City Report. In each City Report, Table H reports each city's number of trace submissions.

Number of Completed Traces. The NTC is continually improving its ability to diagnose the reasons for missing crime gun trace information, to learn what type of crime gun information is most consistently missing or inaccurately reported and to determine whether the failure to match serial numbers is due to obliteration, faulty recording, incorrect Federal Firearms Licensee (FFL) records or data mismanagement. This effort is shown in Tables I and J of the City Reports and summarized here nationally for all YCGII cities with a population of over 250,000.

Increased FFL identification rate. Traces in which a Federal firearms licensee was identified accounted for 71 percent of crime gun traces initiated. This represents a decline from the 75 percent rate reported in the 1999 Crime Gun Trace Reports and an increase from the 66 percent rate reported in the 1998 Crime Gun Trace Reports.

Obstacles to identifying purchasers. As in 1999, the NTC identified retail purchasers for over half (53 percent, 47,478) YCGII crime guns. Where a trace was initiated by the NTC, purchasers were not identified for several reasons, including:

- problem with crime gun serial number (10.8 percent)
- records on this crime gun unavailable (6.8 percent)
- problem with importer name (5.6 percent)
- problem with manufacturer name (3.5 percent)
- records not available (1.5 percent)
- expiration of 20-year record retention requirement (2.4 percent)

Uninitiated traces. The NTC did not initiate a trace for 12.8 percent (11,320) of the trace requests, for several reasons, including:

- firearms manufactured before 1969 and not traceable through Out-of-Business records (8.8 percent)
- trace request submitted for informational purposes only (3.4 percent)
- other reasons (0.6 percent)

The initiation of 87 percent of the trace requests from YCGII jurisdictions is a slight decrease from 1999 (90 percent).

Other limitations. With sufficient information about the crime gun, the NTC can identify the firearms first retail purchaser. In most cases, it cannot identify retail purchasers of crime guns re-sold by FFLs as used guns, or of crime guns acquired as used guns from unlicensed sellers. As a result of the structure of the firearms laws, an NTC trace usually stops at the first retail purchase of the firearm recovered by law enforcement.

5-2 Investigative Support for State and Local Law Enforcement Agencies

Crime Gun Analysis Branch Support. The NTC Crime Gun Analysis Branch (CGAB) has been increasingly active in responding to requests from law enforcement agencies for assistance in developing strategic overviews of the local crime gun problem and in law enforcement investigations and regulatory inspections. In 2000, the CGAB completed over 37 crime gun mapping requests, including 15 YCGII cities; 334 requests for crime gun trace information; 389 requests for queries of the Firearms Tracing System (FTS) concerning individuals; 1,162 requests for queries concerning FFLs and 96 proactive referrals to investigators on suspected firearms traffickers. CGAB also made 18 presentations in 2000 on crime gun trace analysis through crime gun mapping and Online LEAD and prepared the Crime Gun Trace Reports.

Field Resource: Online LEAD. Online LEAD is ATF's crime gun trafficking information tool. In 2000, the number of ATF investigators using Online LEAD increased to approximately 1,800 users. In November 1999, Online LEAD was deployed to all ATF field offices to enable ATF agents, inspectors, and local task force officers to access crime gun trace and related multiple sales information directly from their desktop computers using the ATF Intraweb, with over 375 users from YCGII cities receiving access. ATF investigators in all locations can now access not only local but all nationwide crime gun information, facilitating regional and interstate investigations.

Training: Firearms Tracing and Illegal Trafficking Investigations. In 1999, ATF developed a training CD-ROM to help train Federal, State and local law enforcement officers participating in YCGII in firearms identification and tracing procedures. ATF field agents learned how to use the YCGII Instructor CD-ROM and then delivered it locally. Because of the important role of firearms trafficking investigations in the reduction of violent crime, the International Association of Chiefs of Police, in a program funded by the Department of Justice's Bureau of Justice Assistance, continued to provide training at the NTC for police departments interested in starting comprehensive crime gun tracing and trafficking enforcement programs.

Training: Restoration of Obliterated Serial Numbers. ATF continues to work with police departments and law enforcement laboratories to restore obliterated serial numbers on crime guns and to develop local coordinated enforcement efforts to trace and proactively target leads derived from recovered crime guns with obliterated serial numbers. ATF has developed a 3-day session of instructional and hands-on training for State and local investigators and firearm examiners covering the importance of restoring obliterated serial numbers and tracing those firearms. Eleven training sessions were held during this reporting period, four in YCGII cities with representatives from four additional YCGII cities in attendance.

5-3 Improvements in the Tracing Process and Tracing Support for State and Local Law Enforcement Agencies

Currently, a routine firearm trace takes an average of 12 business days to complete. Urgent traces are completed within 24 hours. In 2000, ATF continued to take steps to shorten the time it takes to complete a routine trace, and facilitate law enforcement agencies ability to submit and receive trace information. Compared to 1999, however, there was an increase in the completion time of the tracing process. This increase can be attributed to a higher rate of successful traces through Out-of-Business records and greater attention to improving the quality of traces being submitted.

Access 2000: Firearms Industry Cooperation. Access 2000 is an ATF produced system that allows a manufacturer, importer or wholesaler to download a subset of their firearms data into a stand-alone personal computer. ATF tracers can then dial up and query on a specific serial number in order to obtain a disposition on the firearm. Access 2000 also allows 24-hour access to manufacturer, importer or wholesaler records and is particularly useful for urgent traces. The system shortens the trace process from 1 to 3 days by eliminating the step of calling or faxing the manufacturer, importer or wholesaler and waiting for the results of the crime guns disposition, while also reducing firearms industry trace-related costs. In 2000, use of Access 2000 increased from 10 to 17 manufacturers and/or wholesalers, and now includes 10 manufacturers: Beretta U.S.A. Corp., H&R 1871 Inc., Smith & Wesson, Taurus, Heckler & Koch, Marlin, Mossberg, Colt, Remington Arms and Glock G.m.b.H.; and 7 major wholesalers: RSR Wholesale Guns, Davidsons Supply Company, Acusport, Ellett Brothers, Interarms, Ashland Shooting Supplies and Sports South. Valor Corporation, another major importer, allows queries of crime gun traces to be conducted via the Internet.

Multiple Sales Records and Crime Gun Tracing. The NTC continues to use multiple sales records to speed crime gun tracing. FFLs are required by law to report multiple sales transactions of handguns and to forward those records to the NTC. To facilitate crime gun tracing, the NTC began maintaining multiple sales information in a Multiple Sales Database linked to the FTS. When a crime gun trace request is received, the serial number is entered into the FTS. If the serial number entered matches a serial number in the Multiple Sales Database, the crime gun trace request can be closed immediately with the multiple sales purchaser information without time-consuming telephone calls to FFLs. In 2000, approximately 3 percent (2,752) of YCGII traces were completed with purchaser information from a multiple sales transaction. Because the Multiple Sales Database was established in November 1998, and there may be a delay of several years before a crime gun is traced, the NTC anticipates resolving more traces through the multiple sales database in the future.

Out-of-Business Records Imaging and Crime Gun Tracing. The NTC is also using FFL Out-of-Business records to speed crime gun tracing. When an FFL discontinues business, the FFL is required by law to forward business records within 30 days to the Out-of-Business Records Center (OBRC) located at the NTC. OBRC receives and microfilms the acquisition and disposition records and ATF Form 4473 from all firearm transactions completed by FFLs who have discontinued business. OBRC processed 48,345 firearm traces from January 1, 2000 to December 31, 2000. In this time period, over 14 percent of all crime gun traces were completed with information from an out-of-business dealer.

5-4 Future Developments

Investigative Tracing for Crime Guns. ATF encourages all YCGII cities to conduct investigative traces on all crime guns recovered from juveniles and youths up to age 21. Investigative traces go beyond the first retail purchaser through the chain of possession until the crime gun reaches its final possessor. After its initial retail purchase, a crime gun may be transferred repeatedly before being used in a crime. For instance, it may be re-sold by an unlicensed seller, stolen, and then re-sold to an FFL, and re-sold again. In an investigative trace, special agents attempt to track the full chain of possession to determine how the juvenile or youth obtained the firearm, to build a case against any illegal suppliers. Analysis of investigative trace information will increase our understanding of how prohibited and young people obtain crime guns.

Firearms Identification Guide. To address the problem of unsuccessful traces due to faulty information on the trace request form, the NTC has developed a CD-ROM for reference use by the law enforcement community in firearms identification. Volume I of this CD contains graphic illustrations, historical data, and specifications on the 20 most frequently traced firearms. Subsequent volumes will illustrate additional firearms until the goal of 100 of the top traced firearms has been achieved. The CD is intended to be a stand-alone reference and training aid that can be utilized by everyone from entry level personnel to senior investigators to crime laboratories.

Electronic Trace Submission (ETSS). ETSS Version 2.6 was released in fiscal year 2001. Currently, there are 167 Federal, State and local law enforcement agencies that have received ETSS training for the purpose of submitting firearms traces. The NTC currently receives approximately 61 percent of firearms trace data via electronic format.

Regional Crime Gun Centers. Three Regional Crime Gun Centers (RCGC) have been established to ensure 100% comprehensive tracing of all recovered crime guns. The purpose of the RCGC is to analyze patterns and trends on a local level that can be detected through comprehensive trace information on recovered crime guns. Equipped with the best technological hardware and research software available, the RCGC is staffed with ATF personnel as well as State and local investigators and analysts in order to analyze patterns and trends, develop investigative leads to stop the flow of crime guns into the communities and to assist the State and local police departments in the allocation of their resources. New York, Chicago and Washington D.C. are the first cities to utilize this concept on a local level. Combined, the cities have analyzed over 12,477 firearms and developed 361 investigative leads. More than 39 percent of the leads generated have involved over 20 different States. Los Angeles is the only RCGC site planned for the upcoming year. ATF is currently developing technology that would greatly enhance the development of future RCGC sites nationwide, as well as allowing quicker access to crime gun trace information by State and local investigative agencies.

National Integrated Ballistic Information Network (NIBIN). ATF has successfully integrated its expertise in the regulation of the firearms industry and the effective enforcement of the Federal firearms laws with technological advances in the forensic ballistics examination field. This unique program uses all of the resources that ATF has to offer in working with our law enforcement counterparts to reduce violent firearms violence.

Just as each fingerprint is different, a firearm leaves unique, identifiable characteristics on expelled ammunition. ATF's NIBIN Program employs the Integrated Ballistics Identification System to compare images of ballistic evidence (projectiles and shell casings) obtained from crime scenes and recovered firearms. As new images are entered, the system searches the existing data base for possible matches that must be confirmed by a firearms examiner. As a result, the system has amassed a large ballistics image data base filled with crime gun data from all over the country from which Federal, State and local law enforcement agencies may obtain intelligence information.

With this program, ATF has created a national resource that enables participating law enforcement agencies to store shooting-related data and test-fire exemplars from recovered firearms in one common system capable of performing comparisons and producing probable matches. Also, ATF has developed a mechanism to serve as a repository for all crime gun data that parallels the Automated Fingerprint Analysis System maintained by the Federal Bureau of Investigation. Automated ballistic technology is one more weapon in the arsenal of resources that ATF maintains to assist our partners.

YCGII Contract Support. To enhance the quality and efficiency of firearm trace submissions, the National Tracing Center supports a program to place retired law enforcement officers in strategic locations around the country to assist comprehensive tracing efforts. Retired ATF agents and State/local law enforcement officers knowledgeable in firearms identification and nomenclature have been contracted to secure and transmit pertinent firearms trace data to the NTC. Currently, 23 contracted analysts and data entry clerks have been retained for this task. This program is expected to expand in an effort to ease the tracing burden on law enforcement agencies.

Appendix A

Glossary

ASSOCIATE
Any person or persons who can be linked to the possessor of the crime gun at the time of its recovery by law enforcement.

ATF FORM 3310.4, MULTIPLE SALES REPORT
A form completed by all Federal Firearms Licensees (FFLs) whenever they transfer two or more handguns within 5 consecutive business days to the same individual. The completed form contains full identifying information concerning the purchaser, the firearms, the date of transfer, and the FFL. FFLs are required by Federal law to forward this form to the National Tracing Center either by fax or mail by the close of business on the day on which the sale occurs. 18 U.S.C., Chapter 44, Sec 923 (g)(3).

ATF NATIONAL TRACING CENTER DIVISION (NTC)
The Division includes the National Tracing Branch (NTB) and the Crime Gun Analysis Branch (CGAB). The NTB works with law enforcement entities and the firearms industry to trace the origin and initial sale history of a firearm recovered by law enforcement officials in the United States or abroad. In some instances, the NTB traces crime guns that are sold as used guns by FFLs. The NTB is also the repository for all FFL out-of-business records and multiple sales records. The CGAB provides investigative leads to ATF field personnel, houses the FFL lost and stolen firearms reports, supports the worldwide law enforcement community by identifying firearms traffickers who supply firearms to criminals and juveniles, and prepares maps, trends, and pattern analyses, including the annual Crime Gun Trace Reports.

CALIBER
The diameter of a projectile intended to be expelled from a firearm or the dimension of the bore of a given firearm.

COLLECTOR
Any person who acquires, holds, or disposes of firearms as curios or relics.

COMPREHENSIVE TRACING
The tracing by law enforcement of all recovered crime guns in a geographic area (e.g., town, county, metropolitan area, or State). Trace information is used to maximize investigative leads for use in identifying illegal firearms traffickers and violent criminals, and to analyze crime gun trends and patterns.

CRIME GUN
A crime gun is any firearm that is illegally possessed, used in a crime, or suspected to have been used in a crime. An abandoned firearm may also be categorized as a crime gun if it is suspected it was used in a crime or illegally possessed.

DEALER
Any person engaged in the business of selling firearms at wholesale or retail, or any person engaged in the business of repairing firearms or of making or fitting special barrels, stocks, or trigger mechanisms to firearms, or any licensee who is a pawnbroker.

ELECTRONIC TRACE SUBMISSION SYSTEM (ETSS)
ETSS can be a stand-alone or part of a networked, multi-user system that enables ATF Field Offices and other law enforcement organizations to capture firearm trace related data. This data is exported from ETSS and the batch file is then electronically sent for processing to the National Tracing Center (NTC).

ENGAGED IN THE BUSINESS
A person is engaged in the business as a dealer in firearms if he or she devotes time, attention, and labor to dealing in firearms as a regular course of trade or business with the principal objective of livelihood and profit through the repetitive purchase and resale of firearms. The term does not include a person who makes occasional sales, exchanges, or purchases of firearms for the enhancement of a personal collection or for a hobby, or who sells all or part of his or her personal collection of firearms.

FEDERAL FIREARMS LICENSEE (FFL)

Any persons, including a partnership, corporation, or business entity, holding a valid license issued by ATF that allows them or their employees to engage in the business of dealing, manufacturing, importing, repairing or pawnbrokering firearms. By law, all FFLs must keep records of their firearms transactions and forward all their records to ATF upon going out of business.

FIREARM SERIAL NUMBER

The Gun Control Act of 1968 requires that an individual serial number be affixed to firearms manufactured or imported into the United States. This unique serial number is one of several key elements used in accurately identifying a firearm and tracing it to the FFL who first sold it to an unlicensed purchaser.

FIREARM TRACE

The systematic process of tracking a recovered crime gun's history from its source (manufacturer/importer) through the chain of distribution (wholesaler/retailer) to the individual who first purchases the firearm.

FIREARM TRACE REQUEST

Information submitted to the NTB by the law enforcement community to solve individual crimes and acquire illegal trafficking information. Requests may be submitted by telephone (high priority/urgent), facsimile, mail, or as an electronic file through several different formats. ATF trace request forms require specific information to include, but not limited to, a description of the firearm, the individuals possessing or associated with the firearm, the recovery location, and the underlying offense that brought the crime gun to the attention of law enforcement.

FIREARM TYPE

The NTC categorizes firearms into a number of types that include, but are not limited to, pistols, revolvers, derringers, shotguns, rifles, combination firearms, machine guns, destructive devices, and unknown gun type. Firearms are generally described by identifying the firearm type, manufacturer, and caliber. This information, together with additional data such as the serial number and model, are used to accurately trace a firearm.

SEMIAUTOMATIC PISTOL

Any repeating pistol which utilizes a portion of the energy of a firing cartridge to extract the fired cartridge case and chamber the next round, and which requires a separate pull of the trigger to fire each cartridge.

PISTOL

A weapon originally designed, made, and intended to fire a projectile (bullet) from one or more barrels when held in one hand, and having (a) a chamber(s) as an integral part(s) of, or permanently aligned with, the bore(s); and (b) a short stock designed to be gripped by one hand and at an angle to and extending below the line of the bore(s).

REVOLVER

A projectile weapon of the pistol type, having a breechloading chambered cylinder so arranged that the cocking of the hammer or movement of the trigger rotates it and brings the next cartridge in line with the barrel for firing.

DERRINGER

The term "derringer" has no legal definition, but for the purposes of this report it is interpreted as any one of a variety of small pocket or palm size pistols having one or more barrels.

RIFLE

A weapon designed or redesigned, made or remade, and intended to be fired from the shoulder, and designed or redesigned and made or remade to use the energy of the explosive in a fixed metallic cartridge to fire only a single projectile through a rifled bore for each single pull of the trigger.

SHOTGUN

A weapon designed or redesigned, made or remade, and intended to be fired from the shoulder, and designed or redesigned and made or remade to use the energy of the explosive in a fixed shotgun shell to fire through a smooth bore either a number of ball shot or a single projectile for each single pull of the trigger.

COMBINATION GUN
A multi-barreled firearm designed or redesigned, made or remade, and intended to be fired from the shoulder having two or more different caliber barrels. Such firearms generally exhibit some combination of rifled barrels and smoothbore shotgun barrels.

MACHINEGUN
This term includes, in part, any weapon which shoots, is designed to shoot, or can be readily restored to shoot, automatically more than one shot, without manual reloading, by a single function of the trigger. The term shall also include the frame or receiver of any such weapon.

DESTRUCTIVE DEVICE
This term includes, in part, any type of weapon by whatever name known which will, or which may be readily converted to, expel a projectile by the action of an explosive or other propellant, and which has any barrel with a bore of more than one-half inch in diameter.

IMPORTER
Any person engaged in the business of importing or bringing firearms or ammunition into the United States for purposes of sale or distribution. The term shall include any person who engages in such business on a part-time basis.

INVESTIGATIVE TRACE
Investigative traces are traces that go beyond the first retail purchaser through the chain of possession until the crime gun reaches the crime gun possessor. After its initial retail purchase, a crime gun may be transferred repeatedly before being used in a crime. Further information regarding the crime gun's trail is obtained by ATF field personnel and/or other members of the law enforcement community.

MANUFACTURER
Any person engaged in the business of manufacturing firearms or ammunition for purposes of sale or distribution. The term shall include any person who engages in such business on a part-time basis.

MARKET AREA
An area where firearms acquired in one or more source areas are possessed by individuals from whom they are later recovered.

OBLITERATED SERIAL NUMBER
Some individuals obliterate or attempt to obliterate the firearm serial number to make it more difficult to trace. ATF and local law enforcement agencies can restore the serial numbers of many of these crime guns. Obliteration of a serial number is a felony under Federal law, as is the possession of a firearm with an obliterated serial number.

PAWNBROKER
Any person whose business or occupation includes the taking or receiving, by way of pledge or pawn, of any firearm as security for the payment or repayment of money.

POSSESSOR
The individual in possession of a crime gun at the time of its recovery by law enforcement.

ONLINE LEAD
ATF's information system designed to produce investigative leads concerning illegal firearms trafficking. The system compiles trace information in order to identify recurring trends and patterns that may indicate illegal trafficking. Online LEAD is an investigative tool provided to ATF field offices for use by local and State task forces.

PURCHASER
The individual who purchases a firearm from an FFL. A firearm trace seeks to identify the FFL who first sold the crime gun and the first individual who purchased the firearm. This information can assist law enforcement officials in investigations and in understanding the sources of illegal trafficking in firearms.

SOURCE AREA
A geographic area where illegal firearms traffickers obtain firearms that they acquire and transport to other locations for unlawful resale and/or transfer.

SOURCE STATE
The State in which the FFL that first sold the crime gun at retail is located. The source State can only be determined if a trace identifies the FFL who sold the firearm.

STRAW PURCHASE
The acquisition of a firearm(s) from a Federally licensed firearms dealer by an individual (the straw purchaser) for the purpose of concealing the identity of the true intended receiver of the firearm(s).

STRAW PURCHASER

A person illegally purchasing a firearm from a Federally licensed firearms dealer for another person, including for unlicensed sellers, criminal users, juveniles, and other prohibited possessors. Straw purchasers may be friends, associates, relatives, or members of the same gang.

TIME-TO-CRIME

The period of time between a firearm's acquisition by an unlicensed person from a retail licensee and law enforcement's recovery of that firearm during use, or suspected use, in a crime. A short time-to-crime suggests the firearm will be easier to trace. This measure can be an important indicator of illegal firearms trafficking. In those instances where the date of recovery is not provided, the date of the trace request is utilized to calculate time-to-crime.

Appendix B

Technical Notes

1. Interpreting Information in National Tracing Center Records from Participating Jurisdictions

This note discusses limitations in using this information to compare one participating jurisdiction with another and to track the same jurisdiction from 1 year to the next.

The Youth Crime Gun Interdiction Initiative (YCGII) began in 1996. It is an emerging collaboration among Federal, State, and local law enforcement officials, ATF field offices, the ATF National Tracing Center, and ATF contractors from the academic community to improve enforcement of the Federal firearms laws, especially those relating to illegal firearms transfers to youth offenders, felons, juveniles, and other prohibited persons.

This is the fourth report published by ATF that uses information from trace requests submitted from YCGII jurisdictions to describe crime guns recovered by law enforcement agencies in those jurisdictions. This information improves the knowledge base for the enforcement of Federal and State firearm laws and regulations. It is, however, subject to several limitations. These arise out of three basic factors:

First, the program is undergoing constant change. Over the first 4 years of the YCGII program's operation, for United States cities with populations over 250,000 inhabitants, the percent of the population covered by participating YCGII jurisdictions increased from 28.5 percent to 80.4 percent (see Graph 1). Over this period, the number of cities in the over 250,000-population group also increased from 11 to 44 cities (or from 16.7 to 66.7 percent of this group). These improvements in program coverage are important because achieving comprehensive tracing in cities with populations of over 250,000 inhabitants has been a primary objective of the YCGII program. However, because of YCGII's rapid increases in program coverage, year-to-comparisons for aggregate population group of cities over 250,000 are inappropriate.

Second, the extent of program implementation varies from one jurisdiction to another based on each one's size, extent of agency computerization, information intake procedures, firearms-focused law enforcement activity, and the nature of its crime gun problem. At this stage of development, it is not appropriate to attempt to impose a single standard on all participating jurisdictions.

Third, the program is still developing. ATF and local law enforcement agencies are still learning from each other how to best implement this program and to utilize the information obtained. This report and others to be produced by the Crime Gun Analysis Branch (CGAB) of the National Tracing Center are part of that developing process.

These factors result in data limitations, among them changing law enforcement procedures to obtain all crime guns from all agencies does not happen immediately or consistently throughout a particular agency. In such jurisdictions, the lag in reporting recovered firearms to ATF will generate data on fewer firearms than law enforcement agencies actually recovered.

The data reported here also reflects the behavior of law enforcement agencies whose policies and practices, including when and how firearms are recovered and how those recoveries are recorded, are changing in response to local attention to firearms crimes. These changes could increase or decrease the number of firearms trace requests made to the National Tracing Center.

Crime rates are changing. Changes in the number of trace requests could reflect changes in the number of crime guns that come to the attention of law enforcement agencies.

While the 50 participating jurisdictions represent a wide spectrum of American life, they do not represent a national sample of law enforcement agencies or crime guns recovered by law enforcement agencies. Participation in this program is voluntary, and jurisdictions included were not selected to be representative of the nation as a whole, rather they were included primarily because of a focus on youth gun crime. In 2000, however, 44 of the 50 jurisdictions had a population over 250,000. The population of these 44 jurisdictions represents more than four-fifths of the population of all U.S. cities combined with

populations of 250,000 or more. This made it appropriate to generate summary data for these large cities as a group.

For these and other reasons, the available data from the participating jurisdictions does not yet constitute a fully developed statistical series from which reliable comparisons can be made from one reporting period to the next or from one participating jurisdiction to another. The data is used in this report as descriptive of the trace requests of particular jurisdictions during the past year. The nature of these limitations is similar to those initially encountered by the Federal Bureau of Investigation's Uniform Crime Reports program (UCR). Begun in the 1930's as a voluntary program by a few large jurisdictions, the UCR program has been developed over the past 70 years to include consistent definitions and standards, detailed reporting procedures, and nearly uniform participation by law enforcement agencies. The purpose of YCGII is to assist law enforcement by providing a detailed description of crime guns recovered in a given jurisdiction during the past year, and that is the most appropriate use of the data in this report.

Table B1: Percent of Cities and Percent of Population of Cities over 250,000 Inhabitants Participating in the YCGII Program by Year

	YCGII Program Year			
	1997	**1998**	**1999**	**2000**
Percent of Cities over 250,000 in YCGII Program	16.7	30.3	45.5	66.7
Percent of Population in Cities in YCGII Program	28.5	54.1	67.2	80.4

Figure B1: Percent of Population from Cities over 250,000 Inhabitants Participating in the YCGII Program by Year

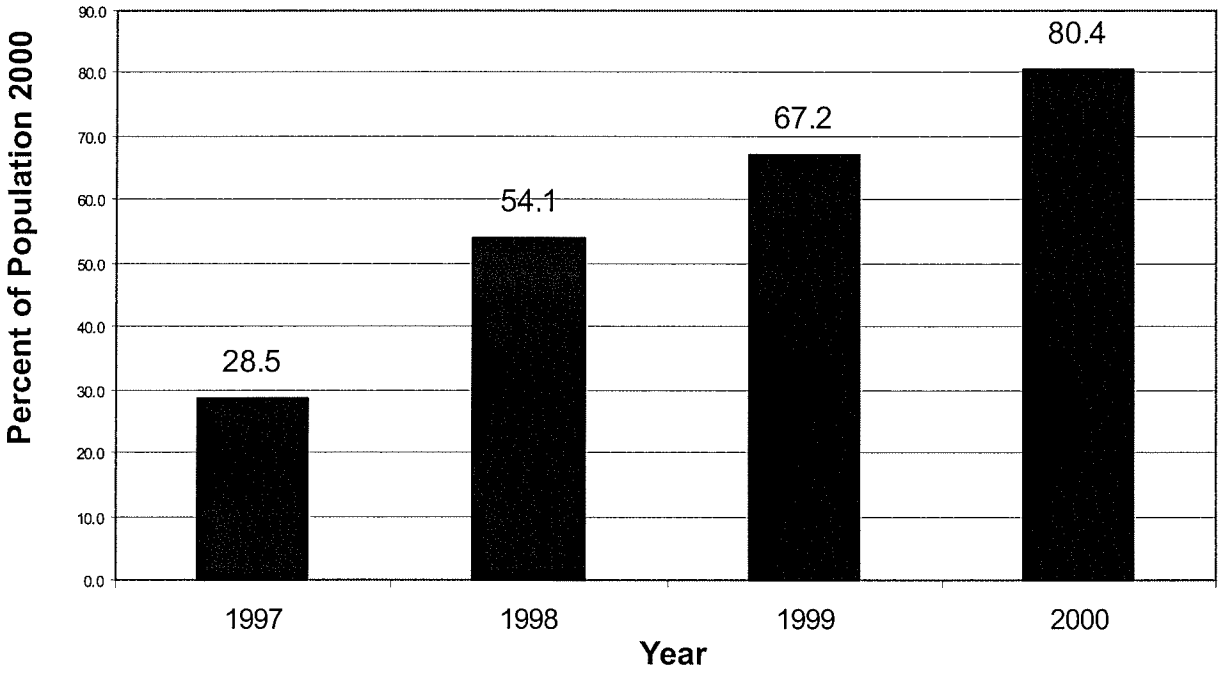
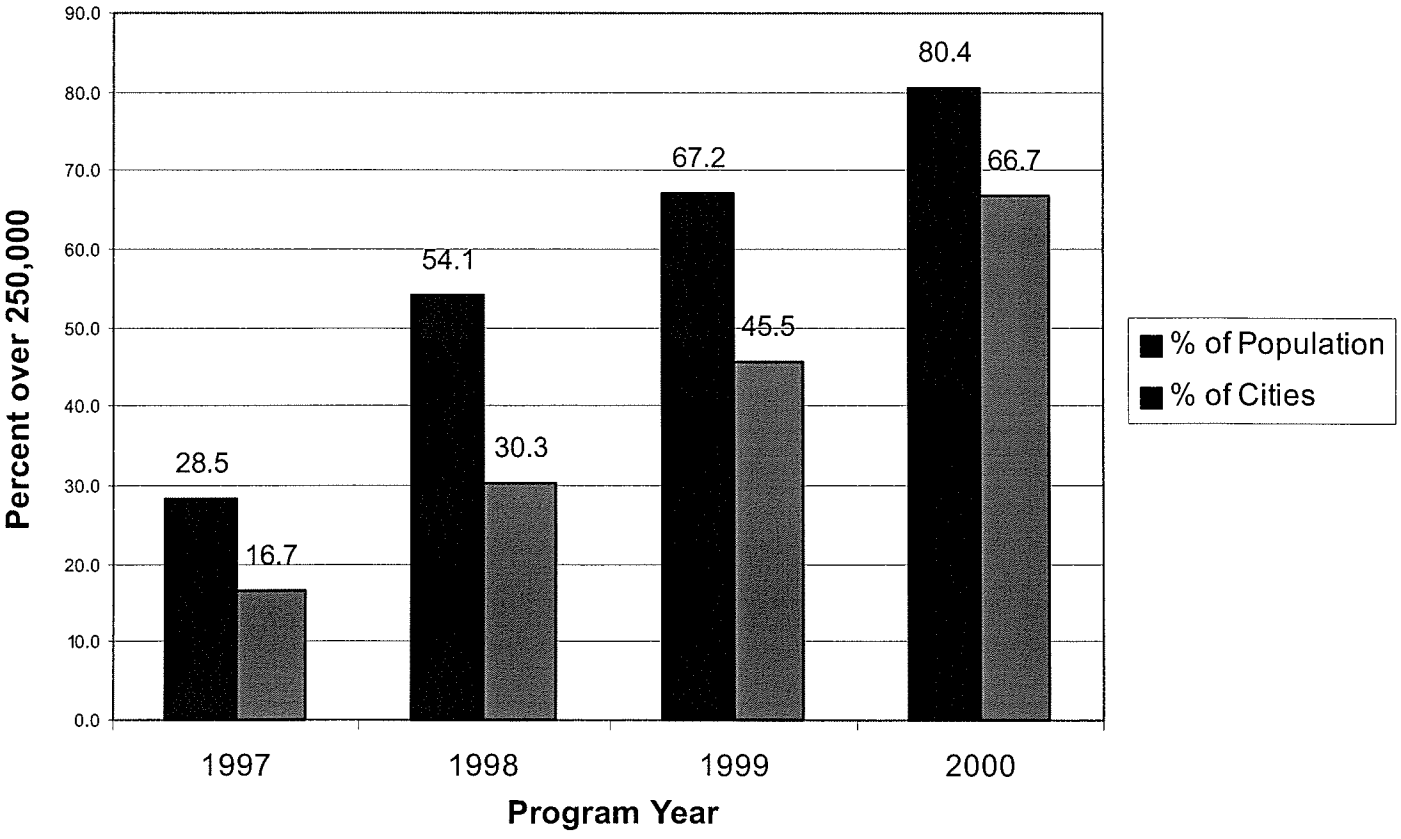


Figure B2: Percent of Cities and Percent of Population of Cities over 250,000 Inhabitants Participating in the YCGII Program by Year



2. National Analysis Based on 80.4 Percent of the Population of Cities with 250,000 or More Inhabitants

This percentage is sufficient for this report to constitute a national report on crime guns in cities of this size. ATF is providing the analysis on a population basis in order to permit use of crime gun trace information in conjunction with the FBI's Uniform Crime Reports, which publish the crime statistics submitted by law enforcement agencies by size of the jurisdiction's population.

3. Classification of Traces Based on Time and Geography

In order to include all crime guns traced from each city during the calendar year period of this report, the Crime Gun Analysis Branch employed the following criteria. If the recovery date on the trace fell within 2000, the trace was included. If no recovery date was given, but the trace was received by the National Tracing Center during 2000, the trace was also included. A careful analysis of recovery State, recovery city, tracing agency ORI Code, tracing agency name, local ATF office codes, and tracing agency city was conducted to determine which traces were from recoveries in each of the 50 cities. The ORI code is used to identify law enforcement agencies in the Firearms Tracing System database. If the recovery city and State fields included either a known city name or the name of a known sub-unit of a YCGII city (for example Bronx, NY), the trace was included in the analysis. If no recovery city was given, but the tracing agency was identified as the YCGII city's main police department or an agency whose jurisdiction was only within the city, the trace was also included.

4. Calculation of Percentages

The tables and figures in this report were prepared using the Statistical Package for the Social Sciences (SPSS) or Microsoft Excel software. We have chosen to report all percentages as these programs calculated them. It is occasionally possible, using a calculator or different software, to produce percentages that differ by as much as 0.1 percent from the reported percentages.

5. Possessor's Age

Table B2: Age of Possessor from Figure 1

Age	Frequency	Age	Frequency
10	13	46	464
11	35	47	604
12	54	48	431
13	141	49	600
14	331	50	203
15	569	51	263
16	1,147	52	277
17	1,706	53	272
18	2,569	54	200
19	2,744	55	211
20	2,751	56	182
21	2,930	57	123
22	2,553	58	137
23	2,420	59	137
24	2,118	60	120
25	1,942	61	107
26	1,768	62	105
27	1,651	63	111
28	1,620	64	54
29	1,339	65	77
30	1,321	66	77
31	1,174	67	65
32	1,041	68	73
33	1,019	69	50
34	1,067	70	73
35	976	71	42
36	932	72	48
37	1,044	73	54
38	1,040	74	38
39	831	75	43
40	1,017	76	464
41	878	77	604
42	845	78	431
43	746	79	600
44	699	80	203
45	699		

6. Distance to Recovery Location

Distance to crime gun recovery location is defined as distance in miles between the business location of the Federally licensed firearms dealer that sold a crime gun recovered by a law enforcement agency and the recovery location of the firearm. Distance-to-Recovery is calculated as the distance between the centroids of the zip code of the Federally licensed firearms dealer that sold the crime gun and the zip code of the location where the gun was recovered by a law enforcement agency. Distance-to-recovery is calculated for crime guns, 1) that were traced to a first time retail purchaser, 2) where a zip code is available for the business location of the FFL that sold the gun or where a zip code could be derived from the business address of the FFL, and 3) where there is a zip code for the location where the crime gun was recovered or where the a zip code could be derived from the street address of the recovery location.

7. Time-to-Crime Estimation

In previous reports to estimate the percentage of crime guns rapidly diverted from retail sale at Federally licensed firearms dealers, ATF produced high and low estimates of the proportion of guns rapidly diverted to crime gun status. These estimates were derived because resource limitations did not allow the National Tracing Center to trace many older crime guns. Since 1999, however, additional resources have enabled the National Tracing Center to initiate traces on all recovered crime guns without respect to the age of the gun. The only exception to this standard is for crime guns that were manufactured prior to 1969 or crime guns that were sold by a manufacturer, wholesaler, or retail gun dealer more than 20 years prior to the gun's recovery by a law enforcement agency. (FFLs are not required to maintain firearm sale and purchase records beyond 20 years.) However, firearms in these latter two categories are still traced by ATF if records of their sale and purchase can be located in ATF's FFL out-of-business records files.

These changes in ATF's tracing procedures have greatly reduced or eliminated the utility of ATF's high and low estimates of time-to-crime, because the percentage of firearms traces not initiated due to the age of the firearm has dropped to approximately ten percent of all trace requests from approximately 30 percent of all trace requests in 1997 and 22 percent in 1998. In addition, there are other categories of crime guns trace requests for which traces are not initiated (e.g., crime guns with obliterated serial numbers) which if they could be traced would yield lower not higher estimates of time-to-crime.

Appendix C

OMB No. 1512-0541

DEPARTMENT OF THE TREASURY
BUREAU OF ALCOHOL, TOBACCO AND FIREARMS
NATIONAL TRACING CENTER TRACE REQUEST

FOR NTC DATA ENTRY ONLY

Phone: 1-800-788-7133 *Falling Waters, WV 25419* *FAX: 1-800-578-7223*

NOTE: * - REQUIRED ENTRY FIELD *(Must be completed for trace processing)* ** - REQUIRED ENTRY WITH LISTED DATA RESPONSE *(See back for codes and options)*

PART I - TRACE INITIATION INFORMATION

1a. DATE OF REQUEST | 1b. PRIORITY** ☐ ROUTINE ☐ **URGENT** *(Justification required)* ☐ FOR NTC INFORMATION ONLY
JUSTIFICATION

1c. SPECIAL INSTRUCTIONS

PART II - CRIME CODE INFORMATION

2a. ☐ GANG INVOLVED? GANG NAME: _____ | 2b. PROJECT CODE**: | 2c. NCIC CRIME CODE**:
☐ JUVENILE INVOLVED? ☐ YOUTH CRIME GUN ☐ ENTERED IN NIBIN? NIBIN No.:

PART III - ATF AGENT REQUESTING TRACE

3a. ORGANIZATION CODE*	3b. PHONE NUMBER: FAX NUMBER:	3c. ATF SPECIAL AGENT'S NAME *(Last, first, middle)*
3d. BADGE NUMBER	3e. ATF CASE NUMBER	3f. FIELD OFFICE

PART IV - OTHER AGENCY REQUESTING TRACE

4a. ORI NUMBER*	4b. PHONE NUMBER: FAX NUMBER:	4c. OTHER AGENCY OFFICER'S NAME *(Last, first, middle)*
4d. BADGE NUMBER	4e. OTHER AGENCY CASE NUMBER	4f. DEPARTMENT/UNIT

4g. MAILING ADDRESS

PART V - FIREARMS INFORMATION

5a. SERIAL NUMBER* ☐ OBLITERATED ☐ ATTEMPT TO RAISE | 5b. FIREARMS MANUFACTURER*

5c. TYPE**	5d. CALIBER*	5e. MODEL*	5f. COUNTRY OF ORIGIN* *(Importer required if other than U.S.)*
5g. IMPORTER*		5h. ADDITIONAL MARKINGS*	

PART VI - POSSESSOR INFORMATION

6a. NAME *(Last)* *(First)* *(Middle)* *(Suffix)* ☐ CRIMINAL HISTORY

ALIAS *(AKA)* *(Last)* *(First)* *(Middle)* *(Suffix)* AKA DATE OF BIRTH

6b. HEIGHT	6c. WEIGHT	6d. SEX	6e. RACE	6f. ADDRESS - ROUTE NUMBER
6g. APT. NUMBER	6h. STREET No.	6i. DIRECTION	6j. STREET NAME	6k. CITY
6l. COUNTY	6m. STATE	6n. ZIP CODE		6o. COUNTRY
6p. DATE OF BIRTH	6q. PLACE OF BIRTH	6r. POSSESSOR'S ID NUMBER		ID TYPE/STATE

PART VII - ASSOCIATE INFORMATION

7a. NAME *(Last)* *(First)* *(Middle)* *(Suffix)* ☐ CRIMINAL HISTORY

ALIAS *(AKA)* *(Last)* *(First)* *(Middle)* *(Suffix)* AKA DATE OF BIRTH

7b. HEIGHT	7c. WEIGHT	7d. SEX	7e. RACE	7f. ADDRESS - ROUTE NUMBER
7g. APT. NUMBER	7h. STREET No.	7i. DIRECTION	7j. STREET NAME	7k. CITY
7l. COUNTY	7m. STATE	7n. ZIP CODE		7o. COUNTRY
7p. DATE OF BIRTH	7q. PLACE OF BIRTH	7r. ASSOCIATE'S ID NUMBER		7s. ID TYPE/STATE

PART VIII - FIREARM RECOVERY INFORMATION

8a. RECOVERY DATE*	8b. ROUTE NUMBER	8c. APT. NUMBER	8d. STREET No.	8e. DIRECTION	8f. STREET NAME
8g. CITY*			8h. STATE*	8i. ZIP CODE	

8j. ADDITIONAL INFORMATION

ATF F 3312.1 (3-2000) PREVIOUS EDITION IS OBSOLETE

INSTRUCTIONS FOR COMPLETING ATF F 3312.1 - REQUEST FOR A FIREARMS TRACE

GENERAL INSTRUCTIONS - *Required Data Entry Fields And **Available Options/Codes Listed For Reference

The information requested on this form is needed to initiate a trace request. All fields marked with an asterisk (*) indicate required entry data fields. All areas so marked must be completed in order to effectively and expeditiously execute the trace request. Fields marked with a double asterisk (**) indicate areas of required data entry with available options and codes listed for reference *(refer to lists below to determine the appropriate entry and correct nomenclature).*

REQUIRED ENTRY FIELDS INCLUDE:

Question 1b** - *(Justify Urgent Trace)* See Priorities listed below
Question 2b & 2c**** - Include Project Code and list NCIC Code
Question 3a* - Office Organizational Code For Use by ATF Requestor Only
Question 4a* - ORI - NCIC Originating Requestor Identifier
Question 5a*, 5b*, 5c, 5d*, 5e*, 5f*, 5g* & 5h*** - Verify data
Question 8a*, 8g* & 8h* - Confirm Recovery data to be submitted

QUESTION 1B - TRACE PRIORITY *(Entered Numbered Qualifier to Justify Urgent Trace Request)*

NOTE: An urgent trace is deemed necessary when the violation are significant and circumstances warrant or require that the firearm be traced without undue delay. Examples of this are: to hold a suspect, provide probable cause, officer and public safety, etc. The following are examples of significant violations.

1 - Assault
2 - Bank Robbery
3 - Kidnapping
4 - Murder/Suicide
5 - Rape/Sex
6 - Terrorist Act
7 - Terrorist Threat
8 - Other *(specify circumstance)*

QUESTION 2B - PROJECT CODES *(Enter all codes that apply)*

AIS - Adult in School
GNG - Gang Related
JSS - Juvenile & School *(Ages 17 & under)*
JVV - Juvenile & Violence *(Ages 17 & under)*
OBL - Obligated Serial Number
ORG - Organized Crime
SCH - School Involvement *(No Possessor)*
SEN - Sensitive/Significant
MUN - Murderand Narcotics *(Ages 25 & older)*
MIL - Militia Related Project
YCG - Youth Crime Gun
YIS - Juvenile and School *(Ages 18 - 24)*

QUESTION 2C - NCIC CRIME CODES *(Enter one code only. For complete listing refer to NCIC Manual)*

0199	Sovereignty	1311	Aggravated Assault *(Police)*	2999	Damage Property	5399	Public Peace
0299	Military	1399	Assault	3599	Dangerous Drugs	5499	Traffic Offense
0399	Immigration	1499	Abortion	3699	Sex Offense	5599	Health - Safekeeping
0907	Homicide *(Police)*	1602	Threat *(Terroristic)*	3799	Obscenity	5699	Civil Rights
0911	Homicide *(Suicide)*	1702	Material Witness *(Federal)*	3802	Cruelty Toward Child	5799	Invade Privacy
0999	Homicide *(Street)*	2099	Arson	3803	Cruelty Toward Spouse	5899	Smuggling *(Customs)*
1099	Kidnapping	2199	Extortion	3999	Gambling	5999	Election Laws
1101	Rape	2299	Burglary	4099	Commercial Sex	6099	Antitrust
1199	Sexual Assault	2399	Larceny	4199	Liquor	6199	Tax Revenue
1201	Robbery *(Business)*	2411	Unauthorized Use of Auto	4899	Obstruction Police	6299	Conservation
1204	Robbery *(Street)*	2499	Stolen Vehicle	4999	Flight - Escape	7099	Crimes Against Person
1211	Bank Robbery	2599	Counterfeiting	5099	Obstruct	7199	Property Crimes
1212	Car Jacking	2699	Fraud	5199	Bribery	7299	Morals
1299	Robbery	2799	Embezzlement	5211	Explosives	7399	Public Order Crimes
1301	Aggravated Assault *(Family)*	2899	Stolen Property	5212	Possession of Weapon	8100	Escape *(Juvenile)*

QUESTION 5C - TYPE OF FIREARM

C = Combination - A weapon designed to be fired from the shoulder which is fitted with both a rifled barrel 16" or greater in length and a smooth-bore barrel 18" or greater in length with an overall length of 26" or more.

M = Machine Gun - A weapon of handgun, rifle or shotgun configuration designed to automatically fire more than one shot, without manually reloading, by a single function of the trigger.

P = Pistol - A weapon which includes single shot and both single or double-action semiautomatic handguns fitted with a barrel(s) with an integral chamber design or having a chamber(s) permanently aligned with the barrel.

PR = Pistol/Revolver - A weapon which includes both single and double-action handguns having a breechloading chambered cylinder designed with a repetitive function based on rotation.

PD = Pistol/Derringer - A weapon which includes single barrel, superposed *(over/under)* and multi-barrel configuration handguns based on a hinged or pivoting barrel small frame pistol design.

R = Rifle - A weapon designed to be fired from the shoulder which discharges a single projectile through one or more rifled barrels 16" or greater in length with an overall length of 26" or more.

S = Shotgun - A weapon designed to be fired from the shoulder which discharge a single or multiple projectiles through one or more smooth-bore barrels 18" or greater in length with an overall length of 26" or more.

PAPERWORK REDUCTION ACT

This request is in accordance with the Paperwork Reduction Act of 1995. The information collection is used by Federal, State and local law enforce-ment officials to request that the Bureau of Alcohol, Tobacco and Firearms trace firearms used or suspected to have been used in crimes.

The estimated average burden associated with this collection of information is 6 minutes per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be addressed to Reports Management Officer, Document Services Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, DC 20226.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

ATF F 3312.1 (3-2000)

Acknowledgements

The development of a new uniform reporting system to present crime gun trace information from cities across the United States is a great challenge and an exceptional amount of hard work. It can only be accomplished through the commitment and dedication of the people who collect, research, analyze, and publish the data contained in this report. ATF would like to acknowledge the assistance of those who have made pivotal contributions in furthering the expertise and effectiveness of law enforcement and expanding the scope of public knowledge in the unique area of firearms enforcement.

The cornerstone of this effort is the wealth of information on firearms and the crimes in which they are misused. This comes solely from the ATF special agents and their police department counterparts who together have ensured that crime gun traces were submitted timely and accurately. Many worked to improve the comprehensiveness of the information systems and developed new investigative uses for trace information.

Many officials and associates of other agencies and organizations have continued to offer encouragement, practical advice, and outstanding support for this effort in the first 4 years, including the International Association of Chiefs of Police and the Department of Justice, in particular the Bureau of Justice Statistics and the National Institute of Justice.

A number of individuals at ATF provided key support and guidance, especially those employees from the offices of Terrence Austin, Chief, National Tracing Center Division and Michael Bouchard, Director Youth Crime Gun Interdiction Initiative. A special thanks to Robin Shoemaker, Program Manager, Firearms Programs Division.

The heart of this project is a unique partnership between ATF and members of academic institutions. Together, this team is responsible for the insight that this information provides. In addition to those already mentioned, our joint team has included Gary Orchowski, ATF, Chief, Crime Gun Analysis Branch, and from that staff: Dr. John Freeman, Jeff Heckel, Michelle Bennett Darden, Neil Troppman, Robert Burrows, Hilda Guy, Robbi Santore, and Christine Kimes Raposa.

Our academic partners who have contributed immeasurably to this report are: Dr. Glenn Pierce, College of Criminal Justice, Northeastern University; Dr. Anthony Braga, John F. Kennedy School of Government, Harvard University; Dr. Joel Garner, Joint Centers for Justice Studies, Shepherdstown, West Virginia; and Dr. Garen Wintemute, University of California, Davis.

Finally, thanks to Teresa Gayhart, Scott Robertson, LaTyce Watkins, Heather DeHaven, Daniel Pinckney and Carol Beebe of Milvets Systems Technology, Inc. for providing the necessary support and assistance to the Crime Gun Analysis Branch.

EXHIBIT "3"

EXHIBIT "3"

Table 1: Illustrative Example of "Fictitious" Traces Included in FTS Data

FTS ID	Request Date	Comp Code	Crime Code	MFG	Serial Number	Model	Recovery City (SA City)	DOB: Possessor	Final Sale?	FFL ID
T20000182559	08-11-00	S4	0999	SR	311-96186	P95	Wilmington, DE	09/07/68	Y	993xxxxx
T20000182582	08-11-00	S4	0999	SR	311-86186	P95	Wilmington, DE	09/07/68	Y	616xxxxx
T20000182590	08-11-00	S7	0999	SR	311-76186	P95	Wilmington, DE	09/07/68	Y	574xxxxx
T20000182596	08-11-00	SK	0999	SR	311-66186	P95	Wilmington, DE	09/07/68	Y	163xxxxx
T20000182603	08-11-00	SK	0999	SR	311-56186	P95	Wilmington, DE	09/07/68	Y	461xxxxx
T20000182612	08-11-00	R6	0999	SR	311-46186	P95	Wilmington, DE	09/07/68	Y	434xxxxx
T20000182616	08-11-00	S4	0999	SR	311-36186	P95	Wilmington, DE	09/07/68	Y	851xxxxx
T20000182620	08-11-00	S4	0999	SR	311-26186	P95	Wilmington, DE	09/07/68	Y	159xxxxx
T20000182628	08-11-00	S4	0999	SR	311-16186	P95	Wilmington, DE	09/07/68	Y	986xxxxx
T20000182636	08-11-00	S4	0999	SR	311-06186	P95	Wilmington, DE	09/07/68	Y	584xxxxx

Source: Firearms Tracing System

EXHIBIT "4"

EXHIBIT "4"

COMPREHENSIVE FIREARMS TRACING: STRATEGIC AND INVESTIGATIVE USES OF NEW DATA ON FIREARMS MARKETS

Philip J. Cook & Anthony A. Braga*

I. INTRODUCTION

In 1999, more than 150,000 firearms were submitted by law-enforcement agencies for tracing by the Bureau of Alcohol, Tobacco, and Firearms (ATF), three times as many as in 1993.[1] This growth in trace requests indicates the success of ATF's program to persuade state and local agencies of the strategic value of comprehensive firearms tracing. About four dozen cities now submit all firearms confiscated by the police for tracing, and the growing database of trace results has provided the raw material for improved intelligence on the channels by which guns are acquired by criminals. But the proper interpretation and use of these data remains controversial.

Firearms tracing is nothing new. The Gun Control Act of 1968[2] established the regulations that make it possible, at least in principle, to determine the chain of commerce for a firearm from the point of import or manufacture to the first retail sale.[3] Best practice in a police investigation of a gun homicide or assault often includes submitting the gun (if available) for tracing, in the hope of

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* Acknowledgments: We would like to thank Terry Austin of the Bureau of Alcohol, Tobacco, and Firearms for providing us with the 1999 ATF firearms trace data as part of ATF's efforts to enhance the development of the Youth Crime Gun Interdiction Initiative. We would also like to thank Glenn Pierce and Alan Saiz of Northeastern University for their assistance in acquiring the data utilized in this study, and Jens Ludwig, Susan Ginsburg, and John Freeman for their helpful comments.

1. The data on traces in 1999 were made available to us by an ATF official in the form of a computer file. There are several ways to count the yearly number of firearms trace requests received by ATF. Firearms trace data can be temporally ordered by any of the following: the date of the firearms recovery; the date the trace request was submitted; the date the trace request was completed; and, if the trace is successful, the date the firearm was first sold at retail. In this paper, we counted the number of traces in 1999 by the date of the firearms recovery. If the recovery date was not known, we used the date the firearms trace request was submitted to ATF.

2. 18 U.S.C. § 922 (1994).

3. *See id.*

identifying a suspect or developing the case against a suspect.[4] But law-enforcement agencies obtain hundreds of thousands of firearms every year that are not linked to a particular violent crime, having been confiscated for some other reason—most often because they were being carried or possessed illegally. While tracing such guns is unlikely to provide information useful in solving a particular homicide or assault, such comprehensive gun-trace data can provide guidance to the regulatory- and criminal-enforcement activities of ATF and more generally provide a statistical basis for understanding the supply side of the gun-violence problem.

The Treasury Department's success in expanding and improving ATF's tracing capacity, persuading more jurisdictions to submit all recovered guns for tracing if they are linked to a crime, and making the results generally available, has created a new tool for combating gun violence. The promising uses for these data can be placed in three categories: (1) informing strategic planning efforts to interdict the transactions by which criminals tend to acquire their guns; (2) identifying specific firearm dealers and traffickers as targets for enforcement actions; and (3) providing a basis for evaluating the effects of changes in gun-control laws. Critics have questioned all three of these uses on the grounds that firearms recovered by police and successfully traced do not constitute a representative sample of firearms used in violent crime, and that the information provided by a typical trace is rather limited.[5] In what follows, this Article discusses these concerns and provides a preliminary assessment of the promises and pitfalls of these data.

The case for comprehensive tracing of firearms rests on the belief that these data will increase the effectiveness of efforts to restrict the availability of guns to youths and criminals. If in fact guns are so widely and readily available as to render futile any effort to regulate their supply, more data will not be helpful.[6] The trace data by themselves cannot resolve that issue, but do provide guidance about promising lines of attack on the illicit supply of guns. The efficacy of such supply-side enforcement is the ultimate measure of the value of comprehensive trace data.

Part II provides details on the tracing process and offers new tabulations based on 1999 data for how guns are successfully traced, and the reasons for failure when they are not. Part III provides a brief history of the development of comprehensive tracing as a component of the supply-side strategy conducted by the Clinton administration. Part IV discusses the statistical relationship of the trace

4. *See* YOUTH CRIME GUN INTERDICTION INITIATIVE, U.S. BUREAU OF ALCOHOL, TOBACCO, AND FIREARMS, U.S. DEP'T OF THE TREASURY, CRIME GUN TRACE ANALYSIS REPORTS: THE ILLEGAL YOUTH FIREARMS MARKET IN 17 COMMUNITIES 4 (1997).

5. *See, e.g.*, CONG. RESEARCH SERVICE, REP. 92-434, "ASSAULT WEAPONS": MILITARY-STYLE SEMI-AUTOMATIC FIREARMS FACTS AND ISSUES 65 (1992); Paul H. Blackman, *The Limitations on BATF Firearms Tracing Data for Policymaking and Homicide Research*, *in* PROCEEDINGS OF THE HOMICIDE RESEARCH WORKING GROUP MEETINGS, 1997 AND 1998 61; Gary Kleck, *BATF Gun Trace Data and the Role of Organized Gun Trafficking in Supplying Guns to Criminals*, 18 ST. LOUIS U. PUB. L. REV. 23, 29–37 (1999).

6. *See* Kleck, *supra* note 5, at 42–43.

"sample" to the relevant "population" of guns in the hands of criminals. Part V provides an analysis of what the trace data tell us about trafficking patterns: that newer guns are over-represented in crime even though criminal users are rarely among the first purchasers, and that the percentage of crime guns imported from out of state tends to be closely linked to the stringency of local controls. Taken together, these findings suggest that licensed dealers are playing a significant role in "supplying the suppliers" of guns to criminals and that firearms trafficking may be one of the important channels by which guns reach criminals, especially in the tight-control states. Part VI then reviews the case for using trace data to guide ATF's enforcement efforts against specific dealers and traffickers and the limitations of this approach. Part VII illustrates the use of these data in the evaluation of gun-control laws. The final Part offers conclusions concerning the promise and pitfalls of wholesale tracing.

II. TRACING THEORY AND PRACTICE

The rather cumbersome procedure used by ATF to trace firearms reflects the fact that most of the relevant commercial-transactions records are not centralized, but rather are kept piecemeal by the dealers, distributors, and manufacturers. This arrangement reflects the intention of Congress to create a mechanism for tracing guns used in crime without establishing a national registry of firearms owners.

A. The Legal Framework

The Gun Control Act of 1968 ("GCA") and its accompanying regulations established the legal framework for regulating firearms transactions and the associated recordkeeping.[7] The Act was intended to limit interstate commerce in guns so that states with strict regulations were insulated from states with looser regulations.[8] To that end, the GCA established a system of federal licensing for gun dealers and required that all individuals engaged in the business of selling guns must be a Federal Firearms Licensee ("FFL").[9] The FFLs serve as the gatekeepers for interstate shipments: only they may legally receive mail-order shipments of guns, and they may not sell handguns to residents of other states. FFLs are explicitly required to obey state and local regulations in transacting their business.[10]

The GCA also sets forth conditions on the transfer of firearms. FFLs may not sell handguns to anyone under the age of twenty-one, or long guns to anyone under the age of eighteen, nor may they sell any gun to someone who is proscribed from possessing one.[11] The list of those proscribed by federal law includes individuals with a felony conviction or under indictment, fugitives from justice,

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7. *See* 27 C.F.R. § 178.124 (1968); *see also* Franklin E. Zimring, *Firearms and Federal Law: The Gun Control Act of 1968*, 4 J. LEGAL STUD. 133, 150 (1975).
8. *See* Zimring, *supra*, at 133.
9. *See* 18 U.S.C. § 922(a) (1994); *see also* Zimring, *supra* note 7, at 149.
10. *See* 18 U.S.C. § 922(a).
11. *See id.*

illegal aliens, and those who have been committed to a mental institution.[12] FFLs must require customers to show identification and fill out a form swearing that they do not have any of the disqualifying conditions specified in the GCA. Beginning in 1994, the Brady Violence Prevention Act required that FFLs initiate a background check on all handgun purchasers through law-enforcement records;[13] as specified in the Act, the background-check requirement was expanded to include the sale of long guns beginning in 1998.[14]

Most important for our purposes, the GCA established a set of requirements designed to allow the chain of commerce for any given firearm to be traced from its manufacture or import through its first sale by a retail dealer.[15] Each new firearm, whether manufactured in the United States or imported, must be stamped with a unique serial number.[16] Manufacturers, importers, distributors, and FFLs are required to maintain records of all firearms transactions, including sales and shipments received.[17] FFLs must also report multiple handgun sales and stolen firearms to ATF and provide transaction records to ATF in response to firearms trace requests. When FFLs go out of business, they are to transfer their transaction records to ATF, which then stores them for use in tracing.[18] Thus, the GCA created a paper trail for gun transactions that, at least in principle, can be followed by ATF agents.

B. The Tracing Process

The tracing process begins with a law-enforcement agency's submission of a trace-request form to ATF's National Tracing Center ("NTC").[19] The form requests information regarding the firearm type (pistol, revolver, shotgun, rifle, etc.), the manufacturer, caliber, and serial number, the location of the recovery, the criminal offense associated with the recovery, and the name and date of birth of the firearm possessor.[20] This information is entered into ATF's Firearms Tracing System at the NTC, where it is first checked against two partially computerized databases kept by ATF: records of out-of-business FFLs that are stored by ATF and records of multiple handgun purchases reported on an ongoing basis by FFLs.[21]

If there is no "hit" from these two databases, NTC contacts the firearm manufacturer (for domestic guns) or the importer (for foreign guns) and requests

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12. *See id.*
13. Brady Violence Prevention Act of 1993, Pub. L. No. 103-159, 107 Stat. 1536 (1993) (codified at 18 U.S.C. §922(q)–(t) (1994)).
14. *See* 18 U.S.C. § 922(t)(1) (1994).
15. *See* 27 C.F.R. § 178.124 (1968).
16. *See* 27 C.F.R. § 178.92(a)(1) (1968).
17. *See* 18 U.S.C. § 923(g)(1)(A) (1994).
18. *See* 18 U.S.C. § 923(g)(4) (1994).
19. *See* U.S. BUREAU OF ALCOHOL, TOBACCO, AND FIREARMS, U.S. DEP'T OF THE TREASURY, COMMERCE IN FIREARMS IN THE UNITED STATES 19 (2000) [hereinafter COMMERCE IN FIREARMS IN THE UNITED STATES].
20. *See id.*
21. *See id.* at 20.

information on which distributor first handled the gun.[22] ATF then follows the chain of subsequent transfers until it identifies the first retail seller. That FFL is then contacted with a request to search his or her records and provide information on when the gun was sold and to whom.[23] Under current law, FFLs are required to comply with such requests, and usually do.

The statistics in Table 1 are for the 154,000 firearms submitted for tracing in 1999.[24] Of these, just fifty-four percent were successfully traced, usually through the FFL who first sold the gun at retail. About one gun in ten was traced through the out-of-business records or multiple-sales reports from FFLs. The forty-six percent of trace requests that failed did so for a variety of reasons. About ten percent of the traces failed because the gun was too old.[25] Similar proportions failed because of problems with the serial number, errors in the submission form, or problems obtaining the necessary information from the FFL that first sold the gun at retail.

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22. *See id.*

23. *See Id.*

24. This total omits the 11,000 requests from foreign agencies.

25. Firearms manufactured or imported before 1968 cannot be traced in most cases because they were not subject to the serial-number and record-keeping requirements of the GCA. *See* Identification of Firearms, 27 C.F.R. § 179.102 (2000); YOUTH CRIME GUN INTERDICTION INITIATIVE, *supra* note 4. Until recently the National Tracing Center's ("NTC") policy was not to trace firearms manufactured before 1990, unless specifically requested by law enforcement officials. *See* YOUTH CRIME GUN INTERDICTION INITIATIVE, *supra* note 4, at 3. However, with an increased budget and enhanced technology, the NTC greatly improved its capacity to trace firearms and ended that policy in 1999. *See* U.S. BUREAU OF ALCOHOL, TOBACCO, AND FIREARMS, U.S. DEP'T OF THE TREASURY, CRIME GUN TRACE REPORTS, 1999: NATIONAL REPORT 52 (2000) [hereinafter CRIME GUN TRACE REPORTS, 1999: NATIONAL REPORT].

TABLE 1: TRACE RESULTS: GUNS SUBMITTED FOR TRACING, 1999

Trace Result	Count	Percentage
Completed Traces (how)	**82,662**	**53.5**
Out of Business records	13,166	8.5
Multiple sale reports	3,627	2.3
FFL record	60,526	39.2
Other	5,343	3.5
Not Traced (reason)	**71,832**	**46.5**
Too old	14,046	9.1
Serial number problem	16,917	10.9
Error on Trace request	15,738	10.2
Dealer record problem	16,610	10.7
Other	8,521	5.6
Total	**154,494**	**100.0**

Source: Original computations from ATF's 1999 firearm-trace-requests database

It should be clear that even when a trace is "successful", it provides rather limited information about the history of the gun. Most successful traces only access the data on the dealer's record for the first retail sale of the gun. Generally, subsequent transactions cannot be traced from the sorts of records required by federal law.

There are two rather minor exceptions where a transaction involving a used (i.e., second-hand) gun can be traced. First, if a used gun is included in a sale of more than one handgun to the same purchaser, that transaction is reported by the FFL and will become part of the NTC's multiple-handgun-transfer database. Second, if the trace involves a gun that was sold second-hand by an FFL who subsequently went out of business and, as the law requires, transferred his transactions records to ATF, that transaction will also be accessible at the NTC. As shown in Table 1, only eleven percent of traces (about twenty percent of successful traces) were completed by use of one of these two databases in 1999. The number of successful traces that involved the sale of used guns is unknown, since the transaction form does not indicate whether the gun is new or used.

In any event, most transactions involving used guns are either off-the-books transfers by private individuals, which cannot be traced because no record keeping is required, or are documented transactions by FFLs that are not reported to ATF. Hence, they are not included in one of their computerized databases.[26] In

26. Between 30% and 40% of firearms are acquired from someone who is not an FFL. *See* PHILIP J. COOK & JENS LUDWIG, GUNS IN AMERICA: RESULTS OF A COMPREHENSIVE NATIONAL SURVEY ON FIREARMS OWNERSHIP AND USE 27 (1996).

exceptional instances where a firearm is involved in a particularly important crime, ATF may launch an "end to end" or "investigative" trace in an attempt to document the chain of possession beginning with an interview of either the first or the most recent known owner.[27] Needless to say, this type of trace is expensive and far from routine.[28]

Someone learning about tracing for the first time may find it a remarkably cumbersome process in this age of computers and telecommunications. Modest changes in the current system could make a big difference.[29] For example, if FFLs were required to report serial numbers for all sales to NTC, the tracing process would be greatly facilitated without creating a central registry of gun owners. The states could also develop reporting or registration systems. Currently, only eleven states do have such a system, and only three (California, Maryland, and Massachusetts) are useful for tracing purposes.[30]

III. THE IMPLEMENTATION OF COMPREHENSIVE TRACING

Until recently, most law-enforcement agencies did not trace firearms unless they needed the information to solve a particular crime. In 1993, about 55,000 trace requests were submitted to ATF.[31] A concerted effort by ATF and the Clinton Administration has generated a considerable increase in the volume of trace requests.[32] This effort entailed enhancements in the capacity and efficiency of the NTC and an outreach effort that has persuaded a number of jurisdictions to submit all guns for tracing and provided local officials with training in how to do so.[33]

The expansion in firearms tracing was part of a campaign to strengthen ATF's licensing and regulatory-enforcement efforts while attacking illicit gun trafficking. This focus on reducing the availability of firearms is not a new idea,[34]

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27. CRIME GUN TRACE REPORTS, 1999: NATIONAL REPORT, *supra* note 25, at 54–55.

28. The Youth Crime Gun Interdiction Initiative ("YCGII") program soon will commence "end to end" tracing for all firearms recovered from persons under 21. *See id.*

29. Jeremy Travis & William Smarrito, *A Modest Proposal to End Gun Running in America (Big Cities, Big Problems: Solutions for the 1990's)*, 19 FORDHAM URB. L.J. 795 (1992).

30. Kleck asserts that law-enforcement agencies in states with registration systems initiate their traces with the state registration database. If true, such traces would not be included among the traces tabulated by the NTC. *See* Kleck, *supra* note 5, at 24-25. The 11 states are California, Connecticut, Hawaii, Maryland, Massachusetts, Michigan, New Jersey, New York, Pennsylvania, South Carolina, and West Virginia plus Washington, D.C. and Puerto Rico. Telephone interview with John Freeman, ATF Crime Gun Analysis Branch (Dec. 4, 2000).

31. *See* COMMERCE IN FIREARMS IN THE UNITED STATES, *supra* note 19, at 21.

32. *See id.*

33. *See id.* at 20.

34. *See* STEVEN BRILL, FIREARM ABUSE: A RESEARCH AND POLICY REPORT 3–4 (1977); Mark H. Moore, *The Bird in the Hand: A Feasible Strategy for Gun Control*, 2 J. POL'Y ANALYSIS & MGMT 185, 187 (1983); Mark H. Moore, *Keeping Handguns from Criminal Offenders*, 455 ANNALS AM. ACAD. POL. & SOC. SCI. 92, 94 (1981) [hereinafter Moore, *Keeping Handguns from Criminal Offenders*]; Franklin E. Zimring, *Street Crime*

and ATF has a history of investigating and seeking prosecution of firearms traffickers.[35] However, the priority given to this supply-side approach has varied over the decades. During the Nixon years, ATF's criminal-enforcement efforts were targeted on locking up violent criminals who happened to be in violation of firearms statutes.[36] Beginning in 1976, the Ford Administration initiated an effort to make broader use of the licensing and enforcement authority of the ATF, with particular focus on stemming the flow of guns to street gangs and organized crime.[37]

This shift in enforcement priorities proved controversial. The National Rifle Association ("NRA") opposed the gun-trafficking focus on the grounds that the ATF was violating the constitutional rights of gun owners by their overzealous enforcement strategies.[38] After the election of Ronald Reagan in 1980, and the election of a Republican majority in the Senate, ATF made a deliberate effort to disassociate itself with controlling the illegal gun trade and instead refocused on using the firearms laws as a tool for controlling criminals.[39] It shifted virtually all of its enforcement resources to apprehending armed street-level drug traffickers and armed criminals, in support of the drugs and crime initiatives of the Reagan and Bush Administrations.[40]

The political environment changed again with the election of President Clinton. Congress enacted the Brady Act in 1993[41] and a partial ban on assault weapons in 1994.[42] The President expressed his belief that the ready availability of guns contributed to the violence problem in his 1993 *Memorandum on Gun Dealer Licensing to the Secretary of the Department of the Treasury*:

> A major problem facing the nation today is the ease with which criminals, the mentally deranged, and even children can acquire firearms. The gruesome consequences of this ready availability of guns is found in the senseless violence occurring throughout the country with numbing regularity. While there is not one solution to

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and New Guns: Some Implications for Firearms Control, 4 J. CRIM. JUST. 95, 102–03 (1976).

35. WILLIAM J. VIZZARD, IN THE CROSS FIRE: A POLITICAL HISTORY OF THE BUREAU OF ALCOHOL, TOBACCO, AND FIREARMS 49 (1997).

36. *See id.* at 45–7.

37. *See id.* at 49.

38. *See* DAVID HARDY, TASK FORCE TO INVESTIGATE THE ENFORCEMENT OF POLICIES OF THE BUREAU OF ALCOHOL, TOBACCO, AND FIREARMS, THE BATF'S WAR ON CIVIL LIBERTIES 10 (1979).

39. *See* VIZZARD, *supra* note 35, at 93.

40. *See id.* ATF's ability to make a successful case against firearms traffickers was undermined by the NRA-sponsored McClure-Volkmer Firearms Owners Protection Act in 1986, which made it difficult to prove that an unlicensed seller was in the business of selling guns, rather than simply someone who happened to be selling off his private collection. *See* Anthony A. Braga, *More Gun Laws or More Gun Law Enforcement*, 20 J. POL'Y ANALYSIS & MGMT 545, 47 (2001).

41. Brady Violence Prevention Act of 1993, Pub. L. No. 103-159, 107 Stat. 1536 (1993) (codified at 18 U.S.C. § 922(q)-(t) (1994).

42. Violent Crime Control and Law Enforcement Act of 1994, Assault Weapon Ban, Pub. L. No 103-322: 18 U.S.C §922(v) (repealed).

> the plague of gun-related violence, there is more than sufficient evidence indicating that a major part of the problem involves the present system of gun dealer licensing, which encourages a flourishing criminal market in guns.[43]

Following this directive, ATF put more resources into crime gun tracing, regulating gun dealers, and investigating gun traffickers.[44]

Before President Clinton's memorandum, obtaining a federal dealer's license from ATF was just a matter of paying a small fee and filling out a form. By 1993, there were over 280,000 people who had done so—most of whom were not actually in the business of selling guns to the public.[45] ATF at that time lacked the authority and resources to screen applicants effectively or to inspect their operations after issuing the license.[46] Thus, the federal licensing system, which had been intended to regulate retail commerce in guns, was itself unregulated. After the Clinton memorandum, ATF stiffened license-application requirements and worked with state and local agencies to ensure that FFLs were complying with applicable state and local laws governing firearms retailing.[47] Further, the Crime Control Act of 1994 increased the fee for a three-year license from $30 to $200.[48] The cumulative effect has been to reduce the number of federal licensees to about 100,000, thereby enhancing ATF's ability to serve its regulatory function.[49]

ATF's push to expand firearms tracing was in part grounded in the development of new applications for trace data. In the early 1990s, methods for utilizing firearms-trace data to detect gun traffickers were developed by several ATF field divisions and ATF's National Tracing Center. ATF's Boston Field Division was among the pioneers of a comprehensive approach, tracing all guns

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43. William Clinton, Memorandum for the Secretary of the Treasury on Gun Dealer Licensing, August 11, 1993, 58 Fed. Reg. 50,833 (1993).

44. *See* COMMERCE IN FIREARMS IN THE UNITED STATES, *supra* note 19, at 15–16.

45. *See* U.S. BUREAU OF ALCOHOL, TOBACCO, AND FIREARMS, U.S. DEP'T OF THE TREASURY, OPERATION SNAPSHOT 9 (1993). Operation Snapshot, an ATF study of 400 randomly selected licensed retail dealers, revealed that nearly half of them had made no gun sales in the 12 months prior to the study. *See id.* Just 20% had sold as many as 10 guns during the prior year and only 7% had sold at least 50 guns. *See id.* ATF concluded that most licensed dealers did not appear to be making a livelihood from the business of firearms dealing. *See id.* at 12. Rather, most seemed to be gun enthusiasts using their FFL privileges, particularly their ability to purchase guns through the mail at wholesale prices, to enhance their personal collections and perhaps make transfers to family, friends, and acquaintances. *See id.*

46. *See* JOSH SUGARMANN, MORE GUN DEALERS THAN GAS STATIONS: A STUDY OF FEDERALLY LICENSED FIREARMS DEALERS IN AMERICA 1 (1992).

47. Garen J. Wintemute, *Guns and Gun Violence*, *in* THE CRIME DROP IN AMERICA 45 (Alfred Blumstein & Joel Wallman eds., 2000).

48. *See* 18 U.S.C. §923(a) (1994).

49. GLENN L. PIERCE ET AL., NATIONAL REPORT ON FIREARMS TRACE ANALYSIS FOR 1996–1997 3 (1998); COMMERCE IN FIREARMS IN THE UNITED STATES, *supra* note 19, at 15–17; U.S. BUREAU OF ALCOHOL, TOBACCO, AND FIREARMS, U.S. DEP'T OF THE TREASURY, GUN DEALER LICENSING AND ILLEGAL GUN TRAFFICKING 2–3 (1997).

recovered by the Boston Police Department beginning in January 1991.[50] In partnership with academic researchers, ATF and the Boston Police Department analyzed the resulting data to describe the nature of the local gun market and provide tactical guidance to investigators.[51]

The results of these trace studies, paired with convincing anecdotal evidence on the successful application of trace data in detecting gun traffickers, generated interest in the value of firearms trace data. In July 1996, President Clinton announced the Youth Crime Gun Interdiction Initiative ("YCGII"), with commitments from a number of cities to trace all recovered crime guns.[52] The program has expanded from seventeen cities in 1996 to thirty-eight cities in 2000, with additional cities to be added in 2001.[53] Other jurisdictions have also expanded their use of gun tracing. Six states, for example, have recently adopted comprehensive tracing as a matter of state policy, either by law (California, Connecticut, North Carolina, and Illinois), by executive order (Maryland), or by law-enforcement initiative (New Jersey).[54]

IV. THE STATISTICAL PROPERTIES OF FIREARMS-TRACE DATA

As more jurisdictions adopt a policy of comprehensive tracing, the database on trace requests becomes more useful for statistical purposes in two ways. First, the larger database supports a more detailed analysis than would otherwise be feasible. For example, ATF is able to produce separate reports on the statistical patterns for each city that participates fully in the YCGII. Second, a jurisdiction that submits all confiscated guns for tracing can be confident that the resulting database of trace requests is representative of a well defined population of guns—namely (and trivially), those recovered by the police during a particular time period. But to be useful for strategic-planning purposes, it is important to know how these data relate to a different population of guns—those in the hands of criminals.

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50. This arrangement was put in place by retired ATF special agent David Carlson, now of Northeastern University. *See* David M. Kennedy et al., *Youth Violence in Boston: Gun Markets, Serious Youth Offenders, and a Use-Reduction Strategy*, 59 LAW & CONTEMP. PROBS. 147, 170 (1996).

51. *See id.*

52. *See* Fox Butterfield, *Federal Program Will Track Sales of Guns to Youth*, N.Y. TIMES, July 8, 1996, at A1. The name of this Initiative is a bit misleading, because it was not limited to youths. *Id.*

53. *See* U.S. BUREAU OF ALCOHOL, TOBACCO, AND FIREARMS, U.S. DEP'T OF THE TREASURY, TREASURY RELEASES REPORT ON 1999 CRIME GUN TRACES ¶7 (visited April 22, 2001) <http://www.atf.treas.gov/press/fy01press/113000ycgiirelease.htm>.

54. *See* CRIME GUN TRACE REPORTS 1999: NATIONAL REPORT, *supra* note 25, at 51.

A. The Gun Population of Interest

Statisticians use the term "population" to refer to a collection of items, events, or individuals (i.e., guns, shootings, victims).[55] A "sample" is a subset of a population that may be used to make inferences about the whole.[56] Whether these inferences are accurate depends on the extent to which the sample is representative of the population, or can be adjusted to be representative, with respect to the characteristics that are being investigated.

The population from which the YCGII guns are sampled are known as "crime" guns, by which is meant any gun "that is illegally possessed, used in crime, or suspected to have been used in crime. An abandoned firearm may also be categorized as a crime gun if there is reason to believe it was used in a crime or illegally possessed."[57]

Most trace requests are associated with guns that were confiscated in connection with possession or carrying offenses, or with drug dealing (see Table 2).[58] A subset of the trace requests are associated with violent crimes, and hence can be said to be sampled from that more narrowly defined population. Finally, it could be argued that most all "crime" guns are relatively likely to be used at some point in criminal violence—that is, after all, the rationale for the laws restricting possession and carrying. These may also be viewed as a sample from the population of guns that are at great risk of misuse.

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55. WILLIAM MENDENHALL ET AL., INTRODUCTION TO PROBABILITY AND STATISTICS 244–247 (10th ed. 1999).

56. *See id.*

57. CRIME GUN TRACE REPORTS 1999: NATIONAL REPORT, *supra* note 25, at xiii. ATF does not include firearms held for "safekeeping" by law enforcement or "found guns" that are not tied to a crime. *See id.* at 10.

58. To be specific, the statistics in Table 2 indicate that almost two-thirds of the "crime" handguns submitted for tracing from the YCGII cities in 1999 were coded as associated with carrying, possession, or other firearms offenses, while only 13% were associated with specific violent crimes. "Vice and Narcotics" is the third category, accounting for about one-fifth of the guns, presumably those that were picked up in connection with arrests for these crimes. There are far fewer long guns recovered by police than handguns, but those that are recovered exhibit a similar pattern of crime involvement.

TABLE 2: CIRCUMSTANCES OF GUN RECOVERIES: YCGII GUNS SUBMITTED FOR TRACING, 1999, HANDGUNS AND LONG GUNS

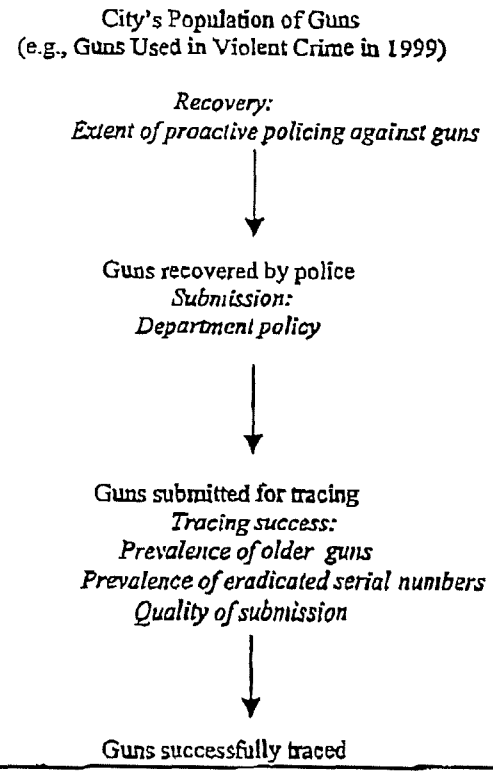
Circumstances	Handgun Count	Handgun Percentage	Long Gun Count	Long Gun Percentage
Homicide	1,427	2.6	338	2.3
Assault and Robbery	5,682	10.5	1,553	10.4
Vice and Narcotics	10,621	19.5	4,116	27.6
Firearms Offenses	35,064	64.5	8,393	56.4
Other	1,569	2.9	493	3.3
Total	54,363	100.0	4,893	100.0

Source: Original computations from ATF's 1999 firearm-trace-requests database for YCGII cities

B. The Sample Selection Process

Consider the population of guns defined as those actually used in criminal violence during the year. The sample of such guns that are successfully traced is the result of a sequence of three selection processes, that may be labeled "recover," "submit for trace," and "trace success." Figure 1 offers a schematic representation of how these three processes operate to produce a sample from the original population. The key question is how representative that sample is of the population of interest.

FIGURE 1
THE SELECTION PROCESS



1. Recover

Only a small fraction of the guns used in criminal violence are recovered by the police. For example, there were about 10,100 homicides in 1999 committed with guns.[59] The 1427 guns recovered in connection with homicide may represent about ten percent of the murder weapons. It is not possible to be more precise, because not all of those guns coded as "associated" with homicide are in fact murder weapons, and some homicides involve more than one gun. The proportion of guns used in robbery and assault that are recovered is no doubt smaller yet.[60]

59. *See* U.S. Department of Justice Bureau of Justice Statistics, *Firearms and Crime Statistics* (visited June 2, 2001) <http://www.ojp.usdoj.gov/bjs/guns.htm>.

60. *See* GARY KLECK, TARGETING GUNS: FIREARMS AND THEIR CONTROL 9 (1997). Of course, the number of guns that are recorded as being associated with violent crimes may understate the true number of such guns that are recovered, since some portion

2. Submit for Trace

Each police agency has discretion whether to submit a recovered gun for tracing. In jurisdictions where tracing is only used for investigative purposes, the guns submitted for tracing will be among those associated with particular violent crimes where it is hoped that the trace result will provide evidence useful in solving the case. These guns will constitute a small and unrepresentative subset of the recovered guns, and even of the recovered guns that are associated with violent crimes. In any event, that problem has been eliminated in most of the YCGII cities and in some other jurisdictions by the adoption of a comprehensive-tracing policy where every gun associated with any sort of criminal activity is traced.

3. Trace Success

The success rate for 1999 submissions of violent-crime guns submitted from YCGII cities was about sixty percent (see Table 4). The guns that are successfully traced are not a representative sample of those submitted. Among other things, older guns and those with eradicated serial numbers are unlikely to be traced. To some extent, the bias introduced at this stage can be delimited by information on why the trace failed. For example, the percentage of recovered guns that were in circulation less than three years can be calculated (as we do below) under the assumption that the guns identified as too old for tracing are more than three years old. However, there is useful information in the NTC database even for guns that are not successfully traced, including the make and model of the gun, the circumstance that led to the confiscation of the gun, and the age of the possessor.

ATF's efforts to expand comprehensive tracing and enhance the capacity of the NTC ensures that the sample of traced guns is more representative of guns recovered by the police. However, the first selection process, "recovery," remains problematic. The relationship between the recovered-guns sample and the underlying population of guns used in crime is not well defined. Further, this relationship will differ among jurisdictions and change over time simply because police-department policies are not uniform in this regard. Chicago, for example, has a long tradition of proactive policing against illegal carrying, a tradition that has resulted in far more guns being confiscated, year in and year out, than would be expected based on its population and gun-crime levels.[61] In general, the rate of gun recovery in a city will depend on the priority given by the police to getting guns off the street, which may vary over time.

Using recovered guns as a basis for estimating the characteristics of all guns used in crime is analogous to using arrestees as a basis for estimating the characteristics of all criminals. Both "samples" are unrepresentative of the relevant populations in various ways and are constituted in a way that is heavily influenced

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of the guns recovered in the context of carrying, possession, or vice offenses will also have been used in homicide, robbery, or assault. *See id.*

61. *See* Mark H. Moore, *The Police and Weapons Offenses*, 452 ANNALS AM. ACAD. POL. & SOC. SCI. 22, 24.

by police priorities and procedures.[62] But criminologists have nonetheless made extensive use of arrest data because these data are the best available for some purposes.[63] Similarly, in analyzing data on recovered guns, the validity of the conclusions depends on the application and the care that is taken to provide appropriate qualifications.

The three important applications for these data are: (1) informing strategic planning efforts to interdict the transactions by which criminals tend to acquire their guns; (2) identifying specific firearm dealers and traffickers as targets for enforcement actions; and (3) providing a basis for evaluating the effects of changes in gun-control laws. We assess each of these in turn.

V. TRAFFICKING INDICATORS

Perhaps the most important use of the data generated from comprehensive tracing has been to make the case that FFLs play an important role in the diversion of guns to the hands of youths and criminals. This use has also been the most controversial, since it contradicts the conventional wisdom that criminals, for the most part, obtain their guns from the huge inventory already in private hands.[64]

That inventory exceeds 200 million, with thirty-five to forty percent of households owning at least one gun.[65] Since guns are highly durable commodities, used guns appear to be a close substitute for new ones. Over 500,000 guns are stolen each year from private homes and vehicles, a number which is apparently sufficient to satisfy the "needs" of robbers and drug dealers.[66] These stolen guns merge with informal voluntary sales to supply a vast secondary market which is largely unregulated.[67]

A. Survey Evidence

Prior to the advent of comprehensive tracing, the importance of theft and the secondary market in supplying youths and criminals was documented by three surveys: Wright and Rossi's survey of prisoners,[68] the survey of state prisoners

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62. *See* Donald Black, *The Production of Crime Rates*, 35 AM. SOC. REV. 736–48 (1970).

63. *See* ALBERT D. BIDERMAN & JAMES P. LYNCH, UNDERSTANDING CRIME INCIDENCE STATISTICS 101 (1991).

64. *See* Kleck, *supra* note 5, at 25.

65. *See* COOK & LUDWIG, *supra* note 26, at 13.

66. *See id.* at 29; Kleck, *supra* note 5, at 40.

67. The term "secondary market" was coined by Cook, Molliconi, and Cole in 1995, and refers to firearms transactions that do not involve an FFL. *See* Philip J. Cook et al., *Regulating Gun Markets*, 86 J. CRIM. L. & CRIMINOLOGY 59, 68 (1995). For a discussion of the practical difficulties or regulating this market, see James B. Jacobs and Kimberly Potter, *Keeping Guns Out of the 'Wrong' Hands: The Brady Law and the Limits of Regulation*, 86 J. CRIM. L. & CRIMINOLOGY 93, 96 (1995).

68. *See* JAMES D. WRIGHT & PETER H. ROSSI, ARMED AND CONSIDERED DANGEROUS: A SURVEY OF FELONS AND THEIR FIREARMS 183 (expanded ed. 1994).

reported by Beck et al.,[69] and Shelley and Wright's survey of youths in juvenile correctional institutions.[70] Some of the results of these survey data are summarized in Table 3. They should of course be interpreted with caution, since the samples are not representative of the relevant populations of criminals,[71] and the respondents' self-reports on their criminal activities are not necessarily reliable.[72]

TABLE 3: SOURCES OF GUNS TO CRIMINALS: RESULTS FROM THREE INMATE SURVEYS

	Most recent handgun acquired Male prisoners in 1982[73]	Most recent handgun acquired Prisoners in 1991[74]	Most recent handgun acquired Juvenile male inmates 1991[75]
Purchase from retail outlet	21	27	7
Black market, "street"	26	28	43
Theft	(32)*	9	12
Family or friends	44	31	36
Other	10	5	2

*In this survey, unlike the others, "theft" was not a "source," but rather a transfer mechanism. Theft could involve any of the source categories.

69. *See* ALLEN BECK & DARRELL K. GILLIARD, U.S. DEP'T OF JUSTICE, SURVEY OF STATE PRISON INMATES 1991 10–14 (1993).

70. *See* JOSEPH F. SHELEY & JAMES D. WRIGHT, IN THE LINE OF FIRE: YOUTHS, GUNS AND VIOLENCE IN URBAN AMERICA 47, 53 (1995).

71. In two cases the samples are what is known as "convenience samples." They are selected from just a few institutions, and within those institutions, the respondents were those who were willing and available to participate. More generally, prisoners are not representative of the population of active criminals.

72. Some analysts have argued that this kind of survey research cannot definitively establish how firearms are diverted to proscribed possessors because the possessors themselves may not know, and that the surveys systematically underestimate the importance of diversion from retail sources by considering only the most recent transferor of firearms to juveniles and adult criminals. *See* Julius Wachtel, *Sources of Crime Guns in Los Angeles, California*, 21 POLICING: INT'L J. POLICE STRATEGIES & MGMT., 220, 223–39 (1998). Felons and juveniles may not know whether a firearm they had just bought from a street source had been stolen in a house burglary or purchased from a store. Moreover, a firearm counted in surveys as being obtained from a "family member or friend" may have been straw purchased from an FFL.

73. Survey of inmates in ten states. Of the respondents, 1,032 admitted to ever owning a handgun. *See* WRIGHT AND ROSSI, *supra* note 68, at 183. Note that "theft" in their tabulation is not a source, but rather a means of obtaining the gun. *Id.*

74. *See* BECK AND GILLIARD, *supra* note 69 (providing a survey of state prisons).

75. Survey of juvenile inmates of six facilities located in four states, over 800 of whom admitted to ever owning a handgun. *See* SHELEY & WRIGHT, *supra* note 70, at 6.

Some respondents in these surveys admitted that they stole their most recent gun, although that is less frequent than might be supposed. Sheley and Wright found that just 12% of their juvenile inmates had obtained their most recent handgun by theft, while Beck et al. found that only 9% of the handgun-using state prison inmates had stolen their handgun. On the other hand, Wright and Rossi found that 32% of the most recent handguns acquired by their prison respondents were stolen by the respondent himself, and that a total of 46% of these handguns had in the opinion of the respondent been stolen at some time.[76] And while the juvenile respondents of Sheley and Wright were much less likely to have stolen their most recent handgun, they had in many cases stolen guns at some point in their "careers": "About 30% of the inmates said they had stolen rifles, shotguns, and military-style weapons; 50% had stolen revolvers; and 44% had stolen automatic or semiautomatic handguns at some point in their criminal careers."[77] Indirect evidence of the importance of theft in supplying the black market comes from the low prices inmates typically report paying for their guns in the informal market.[78]

The survey data actually complement the trace data in suggesting a fairly substantial role, either direct or indirect, for the FFLs. About one quarter of the respondents in the survey of state prisoners said that they had acquired their most recent gun from a retail outlet. While this percentage is much lower for the juvenile respondents, Sheley and Wright note that "[t]hirty-two percent of the [juvenile] inmates...had ...asked someone to purchase a gun for them in a gun shop, pawnshop, or other retail outlet."[79] In most cases, these straw-purchase arrangements involved family or friends as the purchaser. All three survey studies find that "street" and "black market sources" are important, sources that may well include traffickers who are buying from retail outlets and selling on the street.[80]

The comprehensive-trace data serve to focus greater attention on that part of the market that links sales by FFLs to criminal use. The evidence is indirect but quite compelling. FFLs either unwittingly or corruptly sell to straw purchasers or to purchasers with false identification, or sell guns off the books.[81] The YCGII reports note, for example, that while "crime" guns are rarely recovered from the person who is listed as the first retail buyer on the dealer's record, a relatively high percentage of these guns were first sold less than three years before they are

76. *See* Kleck, *supra* note 5, at 39.

77. *See* SHELEY & WRIGHT, *supra* note 70, at 47. Another study analyzed the results of interviews with arrestees in 11 cities that were conducted as part of the Drug Use Forecasting system, finding that 13% of arrestees admitted to having stolen a gun; among juvenile males, fully one quarter admitted to theft of a gun. *See* SCOTT H. DECKER ET AL., U.S. DEP'T OF JUSTICE, ILLEGAL FIREARMS: ACCESS AND USE BY ARRESTEES 2 (1997).

78. *See* SHELEY & WRIGHT, *supra* note 70, at 48; Kleck, *supra* note 5, at 39.

79. *See* SHELEY & WRIGHT, *supra* note 70, at 48.

80. *See* Kennedy et al., *supra* note 50, at 170; Wachtel, *supra* note 72, at 223.

81. By themselves, trace data do not demonstrate that FFLs sell either unwittingly or corruptly to straw purchasers or to purchasers with false identification. A recent analysis of firearms trafficking investigations provides evidence that FFLs sometimes do make improper sales. *See* U.S. BUREAU OF ALCOHOL, FIREARMS, AND TOBACCO, U.S. DEP'T OF THE TREASURY, FOLLOWING THE GUN: ENFORCING FEDERAL LAWS AGAINST FIREARMS TRAFFICKERS 14–16 (2000) [hereinafter FOLLOWING THE GUN].

recovered by police.[82] In states that have the most stringent regulations, a majority of crime guns (including those that are quite new) are first sold out of state.[83] And a disproportionate number of traced handguns are part of a multiple sale when new.[84] The suggestion, then, is that a substantial portion (albeit a minority) of the guns that end up in crime are first purchased from an FFL by a "straw purchaser"—someone who intended to resell them to a trafficker (illicit dealer) or to a proscribed individual. Alternatively, the first purchaser may in fact have been the same person as the possessor, but presented false identification at the time of purchase. The FFL in such illicit transactions may be negligent, or at worst a knowing confederate. In any case, these findings suggest that FFLs, straw purchasers, and traffickers play important roles in diverting guns to crime. If true, then the ATF's efforts to regulate FFLs and investigate trafficking may have the potential for effecting a reduction in gun violence.

B. The Importance of Newer Guns

Newer guns are greatly overrepresented among the crime guns submitted for tracing, despite the fact that it appears quite rare for the purchaser and possessor to be the same person. Tables 4 and 5 report the most recent trace evidence in support of this view. Both tables are based on the data on handguns submitted by the YCGII cities in 1999. Overall, 54% of these were successfully traced so that the first retail sale could be dated. Of these, about 15% of the guns were less than one year old, and 32% were less than three years old. The results in this regard are remarkably uniform across the different recovery-circumstance categories, from homicide to vice to firearms offenses.[85] But in one way these statistics overstate the percentage of guns submitted for tracing that are "new," since one of the important reasons why a gun cannot be traced is that it is too old.[86] Adjusting for that consideration reduces the percentages to 13 for those less than one year and 27 for those less than three years.[87] By comparison, the annual sale of new handguns represents less than 3% of the number of handguns in circulation.[88]

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82. *See* CRIME GUN TRACE REPORTS 1999: NATIONAL REPORT, *supra* note 25, at 24.

83. *See id.* at 36–37.

84. *See id.* at 40.

85. *See infra* tbl. 4.

86. *See supra* tbl. 1.

87. This adjustment assumes that about 10% of all trace attempts fail because the gun is too old, and that the other guns that are not successfully traced have the same age distribution as those that are. *See supra* tbl. 1.

88. The "time to crime" (time elapsed from the date of the first retail sale to the date of confiscation by the police) differs across firearm types and across age groups. The median time-to-crime of semiautomatic pistols (4.3 years) is shorter than revolvers (11.7 years), shotguns (7.1 years), and rifles (7 years). *See* CRIME GUN TRACE REPORTS 1999: NATIONAL REPORT, *supra* note 25, at 26. The median time-to-crime of firearms recovered from youth (4.8 years) is shorter than adults (5.6 years) and juveniles (6.3 years). *See id.* There are also significant differences in the time-to-crime among manufacturers and types of firearms. Among the quickest time-to-crime guns, Bryco Arms 9mm semiautomatic pistols had a median time-to-crime of 1.6 years, and 68.3% were recovered in three years or less of their first retail sale; Bryco Arms .380 semiautomatic pistols had a median time-to-

It should be noted that some of the untraceable guns are also likely to be quite new. In some cases FFLs may sell guns off the books, either in their state or another. Guns from such sales can be traced to the dealer but will generally be recorded as incomplete when there is no record of the sale. About ten percent of all traces are unsuccessful due to problems with dealer records.[89]

TABLE 4: TIME FROM RETAIL SALE TO RECOVERY BY POLICE, BY CIRCUMSTANCE OF THE RECOVERY: YCGII HANDGUNS SUBMITTED FOR TRACING, 1999

	Homicide	Assault and Robbery	Vice and Narcotics	Firearms Offenses	Total
Number submitted for tracing	1,427	5,682	10,621	35,064	54,433
Number traced	818 (57%)	3,357 (59%)	5,962 (56%)	18,233 (52%)	29,302 (54%)
1 year old or less	14.9%	15.0%	14.0%	15.8%	15.3%
3 years old or less	32.4%	33.5%	30.6%	32.7%	32.4%

Source: Original computations from ATF's 1999 firearm-trace-requests database for YCGII cities

Note that only 18% of the handguns that are identified as less than three years old were in the possession of the original buyer at the time they were recovered by police.

crime of 2.5 years, and 54.4% were recovered in three years or less of their first retail sale. *See id.* at 28. The production history of these firearms only explains a fraction of the observed time-to-crime distribution for the quick time-to-crime guns. For example, 34% of Bryco 9mm semiautomatic pistols recovered by law enforcement in 1999 had a time to crime of less than one year. *See* GLENN PIERCE ET AL., U.S. DEP'T OF JUSTICE, ANALYSIS OF ILLEGAL GUN MARKETS IN 5 CITIES: FINAL REPORT TO THE NATIONAL INSTITUTE OF JUSTICE 22 (2001). However, only 6% of all Bryco 9mm semiautomatic pistols were manufactured in 1998. *See id.*

89. *See supra* tbl. 1.

TABLE 5: LIKELIHOOD OF PURCHASER AND POSSESSOR BEING THE SAME NEW GUNS (UP TO 3 YEARS FROM SALE TO RECOVERY)BY CIRCUMSTANCE, YCGII HANDGUNS SUBMITTED FOR TRACING, 1999

	Homicide	Assault and Robbery	Vice and Narcotics	Firearms Offenses	Total
Number traced	265	1,128	1,823	5,961	9,501
Number with complete information[90]	149 (56%)	746 (66%)	1,040 (57%)	4,280 (72%)	6,439 (68%)
Percent same owner[91]	12%	26.5%	17%	17%	18%

Source: Original computations from ATF's 1999 firearm-trace-requests database for YCGII cities

There are two caveats. First, in only 68% of these successfully traced "new" guns is there a possessor identified. Second, some fraction of the cases in which the purchaser and possessor are identified as having different names may in fact be the same person, if false identification was used in the purchase. However, in making the case for regulatory enforcement, the distinction between false identification and straw purchaser actually does not matter much: whether the first purchase was by a criminal with false identification, or a straw purchaser, it remains true that the FFL is implicated in the transaction.

From one perspective, the disproportionate representation of new guns among those recovered by the police provides a basis for optimism about the potential crime-reducing effects of gun control measures. Franklin Zimring was the first analyst to document this pattern and interpret it.[92] He suggested that "new" guns and "old" guns were not perfect substitutes for criminal use, so that an intervention that was successful in reducing the rate of introduction of new guns into a jurisdiction might have greater leverage on criminal gun use than would be expected, given the large inventory of guns in private hands.

A still more optimistic interpretation is that the "new guns" pattern is simply a reflection of a broader (but more speculative) pattern. This view posits that people who use guns in crime usually acquire them shortly before the criminal use. Hence the time since first retail sale is less important in determining the likelihood of criminal use than the time since the most recent transaction.[93] The

90. All guns for which the possessor is identified in the trace request and the trace was successful in identifying the first buyer.

91. The percentage of cases with complete information in which the identified possessor is the same as the first buyer listed in the dealer's records.

92. *See* FRANKLIN ZIMRING, STREET CRIME AND NEW GUNS: SOME IMPLICATIONS FOR FIREARMS CONTROL 97 (1976); Zimring, *supra* note 7, at 150–51.

93. *See* PHILIP J. COOK, THE TECHNOLOGY OF PERSONAL VIOLENCE, IN CRIME AND JUSTICE: AN ANNUAL REVIEW OF RESEARCH 1 (M. Tonry ed., 1991). We are not arguing

population of active street criminals is characterized by brief careers and a high turnover rate.[94] Further, there is considerable evidence that gun-using criminals go through a number of guns during the course of their brief "careers."[95] Therefore we expect that gun use by gang members, robbers, and drug dealers occurs shortly after the gun is acquired, if at all. The trace data do not tell us about the time from the most recent transaction, but rather (in most cases) the time from the first retail sale. We suspect that even the older guns had a short time to crime measured from the (unobserved) most recent transaction. Thus the new guns may show up disproportionately because new guns tend to be in more active circulation.[96]

But this interpretation, with the focus on the transaction, does not detract from the strategic importance of the "new guns" finding. Some types of transactions are easier for authorities to interdict than others, and the transactions that divert guns from the licit to the illicit market may be particularly vulnerable to enforcement efforts.[97] Those transactions include off-the-books sales of new guns by FFLs and sales to straw purchasers.[98] The importance of the "new guns" finding, then, is to identify transactions involving FFLs as being among those that lead more-or-less directly to criminal use.

Cities in tight-control, low-density jurisdictions tend to have a different "new guns" pattern than other cities. Table 6 breaks out the relevant data for Washington, D.C., New York, and Boston, all tight-control cities.[99] For each of these cities, new handguns form a relatively small percentage of their 1999 crime guns. One explanation is that since there are few legal sales of handguns to residents by FFLs in these cities, most handguns that end up in crime have been imported. New handguns will be relatively expensive in these cities, since the transactions by which the gun moved from the retail dealer to the criminal were conducted under legal threat. Before making any confident generalizations,

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that the age of the gun is irrelevant to criminals. For example, the preferences of criminal consumers for certain types of guns may partially explain why semiautomatic pistols have quicker time-to-crime distributions. In Boston, interviews with youthful probationers revealed that they preferred modern and stylish semiautomatic pistols that were "new in the box." *See* Kennedy et al., *supra* note 50, at 169. The preference for newer semiautomatic pistols arose from "street wisdom" that older, less expensive firearms may have a "body" on them, and they wished to avoid being caught and charged with crimes they did not personally commit. *See id.* at 170.

94. *See* VOL. 1 CRIMINAL CAREERS AND "CAREER CRIMINALS" 4 (Albert Blumstein et al. eds., 1986).

95. *See* Cook et al., *supra* note 67, at 65.

96. We are unaware of any documentation on this pattern, but are confident that it is true. Older guns may be war souvenirs or family heirlooms kept in deep storage. A new gun is more likely to be in good working order and to be put to whatever use that the current owner intended at the time that he acquired it.

97. *See* Christopher S. Koper & Peter Reuter, *Suppressing Illegal Gun Markets: Lessons from Drug Enforcement*, 59 LAW & CONTEMP. PROBS. 119, 127 (1996).

98. *See* Cook et al., *supra* note 67, at 79.

99. It is not possible for most residents of New York and Washington to obtain a handgun legally. *See* National Rifle Association, Institute for Legislative Action, *Fact Sheet-Rationing Handgun Purchasing Rights*, July 29, 1999 *available at* <www.nraila.org>. Boston is also quite restrictive. *See* Kennedy et al., *supra* note 50, at 148–49.

however, it should be noted that these three cities all have relatively low success rates in tracing guns,[100] and those missing data may be confounding the results on the new-gun percentage.

Also shown in Table 6 are the results on matching names of the first purchaser and the possessor. For new handguns in the three cities, the possessor is less likely to be the retail purchaser than is true in other cities, again bespeaking the importance of informal (and mostly illegal) transactions in supplying these cities.

TABLE 6: TRAFFICKING INDICATORS: THREE TIGHT-CONTROL CITIES, YCGII HANDGUNS SUBMITTED FOR TRACING, 1999

	Washington DC	New York	Boston	YCGII Cities Total
A. Number submitted for tracing	3,809	6,080	447	54,433
B. Number traced[101]	1,312	2,736	188	29,302
(% of A)	(34%)	(45%)	(42%)	(54%)
C. Number new guns[102]	252	587	40	9,501
(% of B)	(19%)	(21.5%)	(21%)	(32%)
D. Number of new guns with complete information[103]	133	380	28	6,439
E. Number with same owner[104]	10	38	1	1,150
(% of D)	(7.5%)	(10.0%)	(3.6%)	(17.9%)

Source: Original computations from ATF's 1999 firearm-trace-requests database for YCGII cities

C. Interstate Movements

Firearms trace data allow law enforcement agencies to determine where recovered firearms were first sold at retail. A key result is that the percentage of crime guns imported from out of state is closely linked to the stringency of local

100. *See supra* tbl. 6 row 2.

101. The number successfully traced that include both a "date of first sale" and a "date of recovery".

102. Three years or less from time of first sale to time of recovery.

103. All guns for which the possessor is identified in the trace request and the trace was successful in identifying the first buyer.

104. The percentage of cases with complete information in which the identified possessor is the same as the first buyer.

firearm controls.[105] In 1999, sixty-two percent of traced YCGII firearms were first purchased from FFLs in the state in which the guns were recovered.[106] However, this fraction was far lower in the tight-control northeastern cities such as Boston, New York City, and Jersey City, where less than half of the traceable firearms were first sold at retail within state.[107] In contrast, Birmingham (Ala.), Gary (Ind.), Houston (Tex.), Miami (Fla.), New Orleans (La.), and San Antonio (Tex.) had at least eighty percent of their traceable firearms first sold at retail in the state in which the city was located.[108]

Table 7 provides specific results for Washington, New York, and Boston, as above. The most extreme case is Washington, which has banned the acquisition of handguns by residents since 1975.[109] Boston and especially New York also import most of their crime handguns. The corresponding percentages for "new" handguns (less than three-years old) are just as high, suggesting that the process by which handguns reach criminals in these cities is not one of gradual diffusion; rather, the handguns that make it into these cities are imported directly after the out-of-state retail sale.

TABLE 7: PROPORTION OF HANDGUNS FROM OUT-OF-STATE: OVERALL AND NEW GUNS, YCGII HANDGUNS SUCCESSFULLY TRACED, 1999

	Washington DC	New York	Boston	YCGII Cities Total
All Handguns				
% out-of-state	100.0%	89.3%	69.1%	37.9%
(number)	(1,314)	(2,747)	(191)	(29,392)
New Handguns[110]				
% out-of-state	100.0%	92.5%	67.5%	25.9%
(number)	(251)	(584)	(40)	(9,473)

Source: Original computations from ATF's 1999 firearm-trace-requests database for YCGII cities

D. Other Indicators of Trafficking

The recovery of firearms with obliterated serial numbers is viewed by ATF as a key indicator of firearms trafficking.[111] Guns with thoroughly obliterated

105. *See* CRIME GUN TRACE REPORTS 1999: NATIONAL REPORT, *supra* note 25, at 14.

106. *See id.* at 34.

107. A noteworthy number of firearms originated from southern states with less restrictive legislation such as Virginia, North Carolina, Georgia, and Florida. *See* CRIME GUN TRACE REPORTS 1999: NATIONAL REPORT, *supra* note 25, at 34

108. *See id.*

109. *See* D.C. CODE ANN. § 6-2311 (181 & Supp. 2000).

110. Less than 3 years since first retail sale.

111. *See* CRIME GUN TRACE REPORTS 1999: NATIONAL REPORT, *supra* note 25, at 38.

serial numbers are untraceable, thus protecting a criminal who is concerned about being tied to an illegal use of the gun.[112] But the prevalence of obliterated serial numbers among crime guns is not great.[113] In the eleven YCGII cities that reliably submitted information on guns with obliterated serial numbers in 1999, the prevalence was 9% for semiautomatic pistols and 5% for revolvers.[114] The percentages for cities where most crime guns are imported appear to be higher—13% of recovered handguns had obliterated serial numbers in New York, and 16% in Boston.[115] Obliterated serial numbers are more common among guns recovered from youths than guns recovered from adults. In a study of Boston data, firearms with obliterated serial numbers were found to closely resemble newer crime guns as they were mostly semiautomatic pistols, concentrated among particular brands and calibers, and recovered in neighborhoods suffering from youth gun violence.[116]

Another possible indicator of trafficking is multiple sales by FFLs. Trace results suggest that handguns that were first sold as part of a reportable multiple sale are much more likely than others to move quickly into criminal use.[117]

E. Implications

A successful supply-side strategy for reducing gun crime does not require that today's street criminals have guns taken away from them. It is sufficient to block the transactions that supply guns for criminal use. Given the high turnover among the ranks of the criminally active, that strategy could be effective in short order. The transactions that put guns in the hands of criminals take a variety of forms, some of which appear more vulnerable to law enforcement efforts than others. In particular, the illicit, consensual transactions by which guns make the transition from the legal to the illegal market constitute a target that is vulnerable to ATF's capacities for regulation and enforcement. The trace data suggest that these transactions, including the sale of guns by FFLs to straw purchasers and traffickers, figure to a surprising extent as a direct source of crime guns. The importance of FFLs in such transactions is in fact understated by the trace data, since illicit off-the-book sales by FFLs are not traceable.

But what will be the ultimate effect of an enforcement strategy that is effective in reducing the importance of FFLs and traffickers as a direct source of crime guns? In jurisdictions with a high density of gun ownership and lax regulations on sales, other sources, such as theft and informal sales, may provide a ready substitute for straw purchasing and scofflaw FFLs. It may be more feasible to make a difference with a supply-side strategy in cities with tight controls. The stakes are high enough to warrant a direct test.

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112. *See* Kennedy et al., *supra* note 50, at 174.
113. *See* Kleck, *supra* note 5, at 28–29.
114. *See* CRIME GUN TRACE REPORTS 1999: NATIONAL REPORT, *supra* note 25, at 38.
115. These figures represent the Author's original calculations.
116. *See* Kennedy et al., *supra* note 50, at 174.
117. *See* CRIME GUN TRACE REPORTS 1999: NATIONAL REPORT, *supra* note 25, at 40.

VI. TRACE DATA AS AN INVESTIGATIVE TOOL

Comprehensive trace data provide a lens, however clouded, for viewing the big picture of how guns are diverted into criminal use. They also provide more focused information on the identity of FFLs and others who are most active in this illicit trade. These data have become an increasingly important tool in the enforcement effort.

The use of trace data as an investigative tool has been enhanced by development of Project LEAD, which began in 1993.[118] Project LEAD is a computer-software application that contains information on all traced firearms from the NTC's Firearms Tracing System. The system provides ATF agents with data useful in identifying gun traffickers, straw purchasers, and scofflaw FFLs.

One of the more interesting applications of comprehensive trace data has been as a guide to licensing and regulatory enforcement. As it turns out, relatively few FFLs account for the bulk of all first retail sales identified through tracing of crime guns. To be specific, in 1998 1.2% (1020) of FFLs accounted for 57% of all successful traces.[119] It makes sense for ATF to focus its investigations on this small group. Indeed, in 2000 ATF began requiring certain FFLs with ten or more crime-gun traces with a time-to-crime of less than three years to report certain firearms transaction information to the NTC,[120] presumably as a prelude for closer scrutiny of their business practices.

It has also been suggested that information of this sort could be used by manufacturers and distributors as the basis for self-policing the industry.[121] The recent settlement of the law suits brought against Smith & Wesson by the U.S. Department of Housing and Urban Development and several cities includes some language concerning this possibility.[122]

The concerns about using trace data to implicate FFLs begin with the possibility that the concentration of trace data may simply reflect the concentration of sales. If the FFL's sales volume tends to be proportional to the number of traces, then it would be unfair or at least inefficient to use trace data as a basis for singling out certain FFLs. Unfortunately, it has been difficult to determine the distribution of sales among FFLs in most states using available data.[123] One

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118. U.S. BUREAU OF ALCOHOL, TOBACCO, AND FIREARMS, U.S. DEP'T OF THE TREASURY, PROJECT LEAD: HOW TO GENERATE INVESTIGATIVE LEADS 1-1–1-2(1995).

119. *See* COMMERCE IN FIREARMS IN THE UNITED STATES, *supra* note 19, at 23–24.

120. *See id.* at 29–31.

121. *See* Hamilton v. Accu-Tek, 935 F. Supp. 1307, 1330 (E.D.N.Y. 1996); NATIONAL ECONOMIC RESEARCH ASSOCIATES, EXPERT REPORT OF LUCY ALLEN AND JONATHAN PORTES 95-CV-0049 (JBW) (Nov. 1998).

122. Agreement between Smith & Wesson and the Departments of the Treasury and Housing and Urban Development, Local Governments and States, March 17, 2000.

123. Since all FFLs are required to initiate a background check before transferring a gun to a buyer, the number of such checks originating from a dealer would provide a good proxy for his volume of sales. But data on the number and distribution of background checks are not generally available from centralized sources. Currently only Brady denial information is centrally compiled by the National Instant Check System ("NICS"). *See* U.S.

exception is California, where handgun sales by dealers are tabulated by a state agency. One analysis of these data found that sales of handguns are highly concentrated: the 13.1% of FFLs with more than 100 sales during 1996–98 accounted for 88.1% of all sales.[124] Handgun trace volume from 1998 was strongly correlated with handgun sales volume, and is highly concentrated among the high-volume dealers, yet "...trace volume varied substantially among dealers with similar sales volumes."[125] The study did not determine whether this variation was greater than could be explained by chance alone, however.[126]

One would expect that guns sold by some FFLs would be more likely to be traced than others, even if all dealers were equally scrupulous in their dealings, for two reasons that do not imply wrongdoing by the high-trace FFL. First, tracing policies are still highly uneven. FFLs that operate in areas that have not adopted comprehensive tracing are going to be largely invisible to trace results, unless their guns end up in other cities that do trace. Second, FFLs that operate in high-crime urban neighborhoods are more likely to inadvertently supply criminals than those whose clientele are primarily sportsmen. All of this is to say that the guidance provided by the number of traces to a particular FFL is only a rough indicator of the likelihood that the FFL is engaging in negligent or criminal sales practices. The continuing expansion of comprehensive tracing will help, as will continuing efforts to refine the indicators from trace data used to identify bad actors among the FFLs.

VII. USING TRACE DATA IN POLICY EVALUATION

In addition to the uses described above, trace data have increasingly been used in policy evaluation. Of the early uses of this sort, the analysis by Weil and Knox is the most prominent.[127] They studied the effects of Virginia's law limiting handgun purchases by any individual to no more than one during a thirty-day period.[128] Prior to the implementation of this law in July, 1993, Virginia had been one of the leading source states for guns recovered in the Northeast.[129] The study showed that during the first eighteen months the law was in effect, Virginia's role

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DEP'T OF JUSTICE & U.S. DEP'T OF THE TREASURY, NATIONAL INTEGRATED FIREARMS VIOLENCE REDUCTION STRATEGY 40 (2000).

124. *See* Garen J. Wintemute, *Relationship Between Illegal Use of Handguns and Handgun Sales Volume*, 284 J. AM. MED. ASS'N 556, 557 (2000).

125. *Id.* at 567.

126. One approach would be to compare the distribution of traces with the distribution that would result from a circumstance in which every gun that was sold, regardless of which FFL sold it, had the same probability of being traced. The latter hypothetical distribution would have the same qualitative characteristic as found by Wintemute, *supra* note 124; FFLs with the same level of sales would have widely differing numbers of traces, just by chance alone.

127. *See* Douglas S. Weil & Rebecca C. Knox, *Effects of Limiting Handgun Purchases on Interstate Transfer of Firearms*, 275 J. AM. MED. ASS'N 1759 (1996).

128. *See* VA CODE ANN § 18.2-308.2:2(Q) (1996 & Supp. 2000).

129. *See* Weil & Knox, *supra* note 127, at 1760–61 (reporting that 41% of a sample of guns seized in New York City in 1991 had been traced to Virginia). The reports also identified Virginia as a primary source state for guns recovered in Boston and Washington, D.C. *See id.*

in supplying guns to New York and Massachusetts was greatly reduced.[130] In particular, guns recovered in the Northeast corridor that were first sold in the Southeast were much less likely to have originated in Virginia if they were sold after its one-gun-a-month law went into effect, than before.[131] Subsequent studies have made use of the fact that the gun-trace database includes detailed characteristics of these guns.[132]

To further illustrate the use of trace data for evaluation purposes, we use such data to assess the effects of the Brady Handgun Violence Prevention Act ("Brady Act") on interstate trafficking.[133] Implemented in February 1994, the Brady Act required FFLs to conduct a background check on all handgun buyers and mandated a one-week waiting period before transferring the gun to the purchaser. FFLs operating in eighteen states were not affected because state law already required a background check; FFLs in the remaining states were required to institute the change.[134] Thus the Brady Act created a sort of experiment with a natural control group—the "no change" states. A recent evaluation of this act found that there was no discernible difference in homicide trends in the affected ("Brady") states as compared with the eighteen "non-Brady" states,[135] concluding that the Brady Act had no direct effect on homicide rates. That result leaves open the possibility that the Brady Act had an *indirect* effect on homicide rates by reducing interstate gun trafficking and hence gun violence in the "no change" states.

Here we limit our illustrative analysis to Chicago, where, as noted above, the police recover an exceptionally large number of guns every year.[136] It was one of the first cities to adopt comprehensive tracing, in 1996.[137] In what follows we

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130. *See id.* at 1760.

131. *See id.*

132. A recent study used trace data to analyze the effect of the national assault-weapons law implemented in 1994. *See* JEFFREY A. ROTH & CHRISTOPHER S. KOPER, U.S. DEP'T OF JUSTICE, IMPACTS OF THE 1994 ASSAULT WEAPONS BAN: 1994–96 (1999). A study of the Maryland law that banned "Saturday night special" handguns found that these guns were less likely to be recovered by the police in Baltimore than in 15 cities outside of Maryland where no such ban was in effect. *See* Jon S. Vernick & Stephen P. Teret, *New Courtroom Strategies Regarding Firearms: Tort Litigation Against Firearm Manufacturers and Constitutional Challenges to Gun Laws*, 36 HOUS. L. REV. 1713, 1740 (1999).

133. Brady Violence Prevention Act of 1993, Pub. L. No. 103-159, 107 Stat. 1536 (1993) (codified at 18 U.S.C. § 922(q)-(t) (1994)).

134. The 32 states required to implement the provisions of the Brady Act included Alabama, Alaska, Arizona, Arkansas, Colorado, Georgia, Idaho, Kansas, Kentucky, Louisiana, Maine, Minnesota, Mississippi, Montana, Nebraska, New Hampshire, New Mexico, North Carolina, North Dakota, Tennessee, Texas, Utah, Vermont, Washington, West Virginia, and Wyoming. *See* Jens Ludwig & Philip J. Cook, *Homicide and Suicide Rates Associated with Implementation of the Brady Handgun Violence Prevention Act*, 284 J. AM. MED. ASS'N 585, 586 (2000).

135. *See id.* at 588–89.

136. *See* Moore, *supra* note 61, at 24.

137. Telephone interview with Terry Austin, ATF YCGII Director (Dec. 4, 2000); *see* Kennedy et al., *supra* note 50, at 170.

utilize the database on traces conducted on guns recovered in Chicago during the period 1996–99.

Handguns used in crime in Chicago are imported either from the rest of Illinois or other states. Illinois was one of the states that required a background check even before the Brady Act was implemented, and so it did not make any changes in 1994. Hence, if *Brady* requirements affected the flow of guns into Chicago this effect must have been due to reductions in interstate trafficking. And that, according to the trace data, is just what happened.

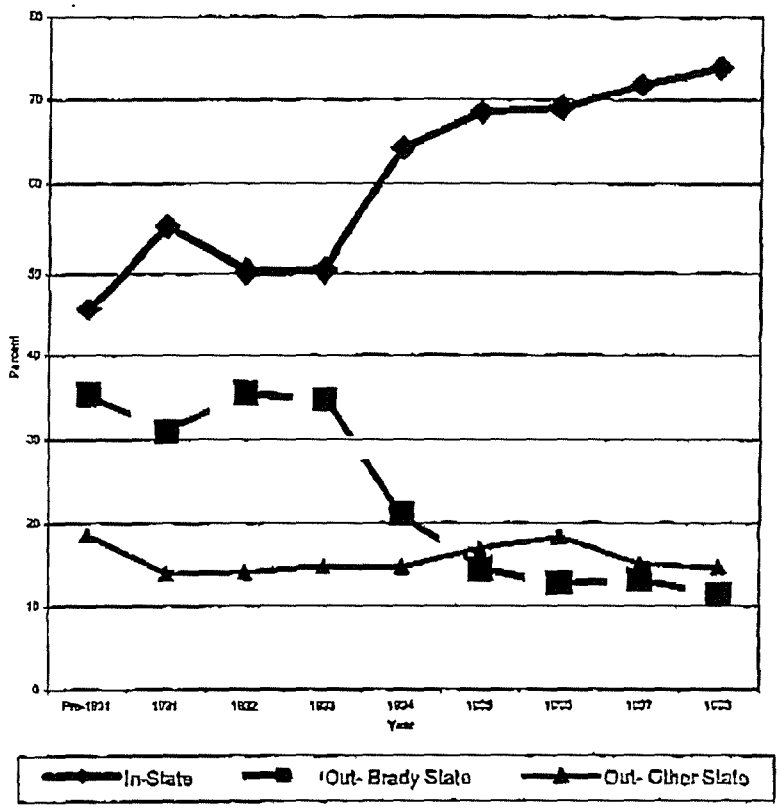
In the years prior to the Brady Act's implementation in 1994, about half of the handguns recovered in Chicago were first sold in Illinois and half in other states.

TABLE 8:THE EFFECT OF THE BRADY LAW ON CHICAGO:COMPREHENSIVE TRACE DATA OF HANDGUNS RECOVERED DURING 1996–1999

Location of First Sale	First Sold before 1994	First sold in 1994 or after
In-State (Illinois)	54.0%	68.3%
Out-State, Brady State	32.5%	16.0%
Out-State, Other State	13.5%	15.7%
Total	100%	100%
(Count)	(14,862)	(11,571)

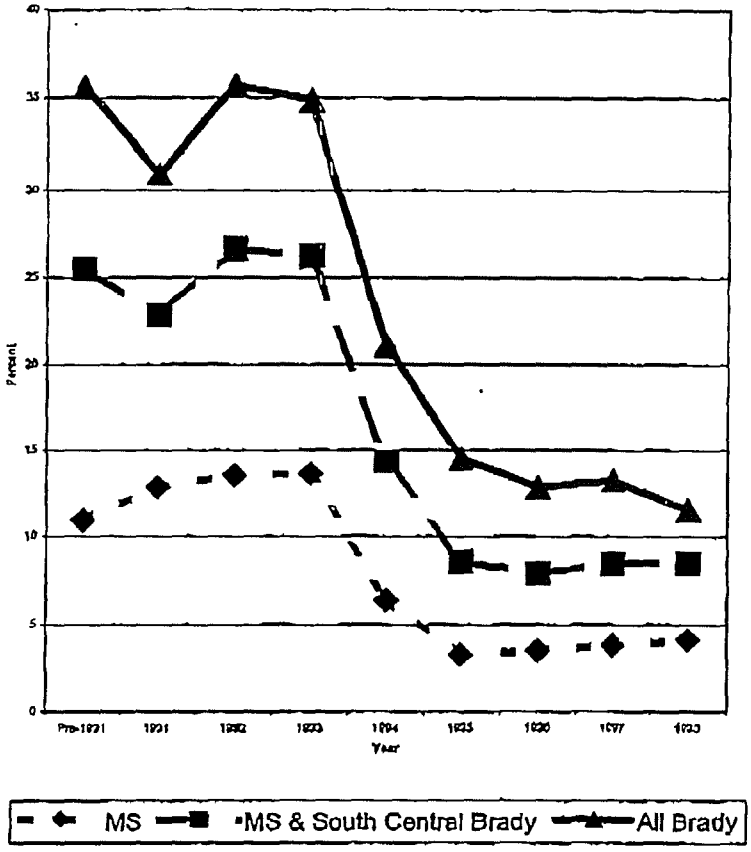
Source: Original computations from ATF's YCGII firearm-trace requests from Chicago, 1996–99

Figure 2. Source States of Traceable Handguns Recovered In Chicago, 1996-1999



Thereafter, the percentage of such handguns first sold in Illinois jumped up to about sixty-eight percent. Handgun imports from other states fell correspondingly, but the fall was confined to those source states (designated "Brady" states) that were required by the Brady Act to institute a waiting period for handgun sales and begin conducting background checks. Figure 3 provides more detail on how interstate flows into Chicago were affected.

Figure 3. Traceable Firearms Recovered in Chicago Imported from Brady States, 1996-1999



As can be seen, the South-Central states, and Mississippi in particular, accounted for most of the out-of-state handguns in Chicago: all of these were *Brady* states. The effect of the Brady Act's implementation appears to have been immediate and large. A natural interpretation of these results is that the Brady Act made interstate gun running from lax-control states to Chicago less profitable by making it more difficult for traffickers to buy handguns from FFLs in those states. The result was a large reduction in imports from those states, replaced (as a portion of the total) by an increase in the use of in-state sources.

The next question, of course, is whether these changes made it more difficult for Chicago residents to obtain handguns in Chicago, and in particular whether gun violence was curtailed. It is certainly plausible that the Brady Act increased the cost of supplying new handguns to Chicago criminals, since new

sources had to be found to replace those that were no longer convenient, due to the new requirements. But that speculation cannot be tested directly, since there are no data available on the street prices of handguns in Chicago. The ultimate question, whether gun use in violent crime was reduced, requires an analysis of data on gun use in violent crime.[138] Thus the trace data are helpful in suggesting whether the intervention may have been effective in reducing gun availability, but they do not provide a "bottom line" on violence.

Trace data provide a direct basis for assessing the effects of a policy on gun movements or the use of particular types of guns in crime. Of course any results must be qualified since the trace data are not necessarily a representative sample of guns used in crime.[139] Nevertheless, these data provide an accurate basis for tracking changes over time if the "sample" bears a consistent, albeit imperfect, relationship to the population from one period to the next. It would be surprising indeed if the intertemporal patterns we found in the Chicago trace data were simply some sort of sampling artifact.

Another limitation is that gun-control policies' ultimate purpose is the reduction of gun use in crime, and trace data do not provide direct evidence on that outcome. Rather, trace data provide a basis for tracking the proximate effects of a policy intended to work through the supply side of the gun market. If the intervention is effective in affecting trafficking patterns, then it becomes at least plausible that it also curtails criminal use of guns.

VIII. CONCLUDING THOUGHTS

The case for comprehensive tracing rests on a belief that enforcement efforts directed at the supply of guns to criminals have the potential of reducing the use of guns in violence. That potential can be most efficiently realized if enforcement efforts are guided by data.

The case against comprehensive tracing follows from the belief that guns in America are so readily available, and from such a variety of sources, that efforts to restrict supply are futile. For example, if we view every one of the thirty-five million or so handgun owners[140] as a potential source of a crime gun, then the enforcement task does indeed appear overwhelming. It is conceivable that regulatory measures such as requiring guns to be locked or personalized and stored safely could help restrict criminal access to such diffuse sources. But current enforcement efforts are more tailored to identifying and shutting down what could, in the parlance of environmental regulation, be called "point"

138. In fact, there was little change in the percentage of homicides committed with guns in Chicago during the three years following implementation of the Brady Act, which suggests that access to guns by violent people was not much affected.

139. *See supra* Part IV.

140. *See* TOM W. SMITH, 1999 NATIONAL GUN POLICY SURVEY OF THE NATIONAL OPINION RESEARCH CENTER: RESEARCH FINDINGS 49 (2000) (providing a survey-based estimate that 17.1% of adults owned at least one handgun in 1999). In 1998, there were about 200 million people in the United States age 18 and over. U.S. CENSUS BUREAU, U.S. DEP'T OF COMMERCE, STATISTICAL ABSTRACT OF THE UNITED STATES, 1999 at 17 (119th ed. 1999).

sources—scofflaw dealers or trafficking rings that are diverting guns to criminals on an ongoing basis.

The trace data provide evidence that these point sources are quite important in supplying criminals, thus strengthening the case for a supply-side strategy. The distribution channels connecting FFLs to criminal uses are often short and well traveled. About one-quarter of crime guns in the YCGII cities are less than three years old and have changed hands at least once since the initial purchase,[141] suggesting that the initial purchase was made with the intent of diverting the gun into the black market. In addition, there are an unknown but possibly large number of crime guns that are untraceable because corrupt FFLs sold them "off the books," presumably to criminals.

These patterns stand side by side with data indicating that more than half a million guns are stolen each year,[142] and that most youths and criminals report obtaining their guns from casual, informal sources.[143] A reasonable conclusion is that, as in the case of pollution, both point sources and diffuse sources are important. Quite possibly, the actual mix depends on the stringency of state-level controls and the prevalence of gun ownership—systematic gun trafficking may well be more important in strict-control jurisdictions such as Boston and New York than in looser-control jurisdictions such as Atlanta and Dallas.

Given that there is a mix of concentrated and diffuse sources, the question is whether a successful regulatory or enforcement action against the former will reduce gun availability and hence gun use in crime. On that question we have little direct evidence. Given the high stakes in this area, systematic "experimentation" with different tactics appears warranted.

We have sought to document in this paper the potential uses of trace data in guiding a supply-side strategy. Trace data have improved rapidly during the last seven years as more and more jurisdictions have adopted comprehensive tracing and ATF has expanded its capacity to handle trace requests.

The growing database of trace data, together with the LEAD software, are an increasingly important tool in identifying particular FFLs and nonlicensed individuals as being important in trafficking. This seems like the least controversial basis for demonstrating the usefulness of the data.

Trace data are also establishing a unique niche in policy evaluation, providing a basis for exploring the effects of supply-oriented interventions on the types and sources of guns used in crime. The example offered above demonstrates both the usefulness of these data and their limits. We learn that the implementation of the Brady Act was associated with a dramatic change in sources of crime guns in Chicago, but we do not learn what effect the Act might have had on gun violence.

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141. See *supra* tbls. 4 & 5.
142. *See* COOK & LUDWIG, *supra* note 26, at 29.
143. See *supra* tbl. 3.

Comprehensive tracing of firearms is one of the important legacies of the Clinton years. The hope for the future is that this new resource will be utilized with due awareness of its limitations.

EXHIBIT "5"

EXHIBIT "5"

CITY OF OAKLAND
Agenda Report

To: Office of the City Manager
Atten: Mr. Robert C. Bobb
From: Police Department
Date: November 30, 1999

Subj: AN INFORMATIONAL REPORT FROM THE CHIEF OF POLICE ON EFFORTS TO TRACE GUNS USED IN CRIMES

SUMMARY

At the Public Safety Committee meeting of September 28, 1999, Vice Mayor Chang requested a report on the efforts taken by the Police Department to trace guns used in the commission of crimes in Oakland. This report provides statistics on crime guns traced through the Criminal Investigation Division's Weapons Unit and tracked by the National Tracing Center and information on active local programs designed to reduce and eliminate the illegal flow of firearms to violent criminals.

FISCAL IMPACT

This is an informational report with no fiscal impacts.

KEY ISSUES AND IMPACTS

"Firearms (crime guns) related violence by criminals, gang offenders, and juveniles is one of Oakland's and the nation's primary concerns. Firearms related violence, spurred by an indifference to human life, depletes the cultural and economic resources of our society and erodes our basic quality of life. While it has become increasingly difficult for prohibited purchasers (such as convicted felons, those under the age of 18, those convicted under certain prohibitive misdemeanors, and persons subject to protective orders) to obtain firearms through Federal firearms licensees (FFL), criminals, juveniles, and youthful gang offenders continue to obtain firearms through straw purchases, illegal firearms traffikers, and in some instances corrupt FFLs." [1]

The Department recovers firearms through a variety of means: Recovered as evidence in a crime, turned in for destruction by the owner, for safe keeping (usually in domestic violence cases), as found property, and those received during special buy back / trade-in programs. For each weapon confiscated by the Department (Table 1), a card [Attachment (A)] is filled out by police personnel and recorded in a data base.

Firearms are not always released or destroyed in the same year they are received, this accounts for the difference shown in the "weapons received" and "weapons out" categories. The time of a guns release depends on whether a firearm is returned to an eligible owner or if the firearm was

[1] Youth Crime Gun Interdiction Initiative (YCGII), Statement of Participants

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collected as evidence in a crime and must be retained until after the case has been adjudicated by the courts.

TABLE 1: Weapons Statistics from the Evidence & Property Unit

Description	1997	1998	1999 *
Handguns received	1159	1151	774
Long guns received	317	517	334
TOTAL weapons received	**1476**	**1668**	**1180**
Handguns released	592	180	106
Long guns released	123	41	21
Hand guns destroyed	953	609	815
Long guns destroyed	226	144	272
TOTAL weapons out	**1894**	**974**	**1214**
DIFFERENCE	**OUT 418**	**IN 694**	**OUT 106**

* January – October 1999

The Department's goal is to trace all firearms recovered by the Department. At this time, the Department's priority is to trace crime guns in those cases where the Department's criminal investigators believe the information will be of assistance in solving the crime or series of crimes. When guns used in the commission of a crime are confiscated, the Police Department makes a request to the ATF to trace the weapon(s). The crime gun information is retrieved from the Department's Evidence and Property Unit data base and transferred to the AFT "YOGI" computer. The information is then forwarded to the National Tracing Center, where it is entered into a permanent record. Tables 2 below shows the number of traces that have been requested by the Department since 1995 and Table 3 shows the crimes with which the guns are associated.

TABLE 2: Crime Gun Traces per Year

Year **	Number of Traces
1995	422
1996	226
1997	135
1998	127
1999	165
TOTAL	1075

** January 1, 1995 – November 1, 1999

TABLE 3: Crimes Associated with Traced Guns

Offense	Number of Guns
Weapon Offense	916
Homicide	42
Health / Safety	39
Dangerous Drugs	29
Assault	24
Robbery	13
Burglary	5
Concealed Weapon	4
Kidnapping	1
Sex Offense	1
Possession of a weapon	1
** TOTAL	1075

** January 1, 1995 – November 1, 1999

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The "top ten" manufacturers of the crime guns traced in Oakland are:

TABLE 4: Top Ten crime guns traced

Manufacturer	Caliber	Number of Traces
Smith & Wesson	.38	52
Raven	.25	42
Davis	.380	35
Smith & Wesson	.357	25
Lorcin	.380	22
Mossberg	12 gauge	22
Ruger	9 mm	22
Glock	9 mm	21
Intratec	9 mm	21
Smith & Wesson	9 mm	20

The crime gun tracking performed by the ATF starts with the manufacturer, then proceeds to the distributor and then the individual dealer(s) who sold the weapon. When the Police Department tracks a gun they begin with the dealer and then attempt to establish whether the gun was stolen from the original owner, was an illegal sale, or was part of a straw purchase. A straw purchase is the acquisition of a firearm(s) from a Federal Firearm Licensee (FFL) by an individual (the "straw"), done for the purpose of concealing the identity of the true intended receiver of the firearm(s). This activity facilitates illegal firearms trafficking. When contacted by the police, the "straw" will often claim the gun was stolen – even though the "theft" was not reported. There is no requirement to report a stolen gun. Establishment of a straw sale is very complex investigation and requires a large amount of surveillance work.

The information requested by the Department on Oakland crime guns traced by the National Tracing Center was not received in time for inclusion in this report. The following information is an extraction of Bay Area Dealers contained in a NTC report on "Top Retail Dealers for Firearms Traced by California for calendar years 1997 – 1998" :

TABLE 5: Top Bay Area retail dealers for firearms

Dealer, City, (Number of traces)	Ranking
Trader Sports, Inc., San Leandro, (127)	4
Reeds Sport Shop, San Jose, (97)	7
Target Master West, Milpitas, (63)	12
Tri-City Sporting Goods, Fremont, (59)	14

Siegles Guns, Inc. (15 traces in 1997), located in Oakland, was not among the 30 dealers listed.

NOTE: These are legitimate and licensed gun dealers. It is neither implied nor inferred that the crime guns traced back to these dealers was due to any impropriety on the part of the seller.

Partnerships

Youth Crime Gun Interdiction Initiative

The Youth Crime Gun Interdiction Initiative (YCGII) is a component of the ATF's illegal gun trafficking enforcement program. Begun in July 1996 in 17 cities, YCGII seeks to reduce the illegal supply of firearms to juveniles, youth and adult criminals. Police departments participating in the program agree to trace all recovered crime guns and to collaborate with the ATF in investigations of trafficking. ATF assists the departments in developing electronic tracing capability and provides training in tracing and trafficking interdiction. ATF's Crime Gun Analysis Branch also provides each participating community with standardized analysis of the crime guns recovered and traced from that jurisdiction. Today, 27 communities, of which Oakland is one, participate in YCGII. JACKSONS INC. 1999

Under the YCGII program, the Police Department and the ATF agree to:

- Develop and exchange information relating to the unlawful acquisition, illegal trafficking, and criminal misuse of firearms.
- Ensure that all recovered crime guns are traced through ATF's National Tracing Center.
- Ensure that ATF is the central recipient of all crime gun related information and that this information is then analyzed, shared, and used in furtherance of strategic enforcement objectives.
- Ensure coordination with existing partnership programs and local law enforcement efforts, as well as cooperation in the mutual conduct of joint firearms trafficking investigations where resources allow.

Gun Tracing Committee

A Gun Tracing Committee, comprised of representatives from the Police Department, the Office of the City Manager, the City Attorney's Office, Youth Alive!, Legal Communities Against Violence, the East Oakland Partnership to Reduce Juvenile Gun Violence and the Office of Vice Mayor Henry Chang has been formed. Part of the mission of the Committee is to address specific concerns and issues of the individual groups involved:

- The East Oakland Partnership to Reduce Juvenile Gun Violence is committed to tracing guns, confiscated from youth, to their source. The goals of the partnership are to reduce the flow of guns and change the conditions that draw youth to guns in the first place.

- The Office of the City Attorney has joined the City of Oakland as co-plaintiff in the multi-city litigation effort to hold gun manufacturers, distributors and retailers liable for the costs of gun injuries and death.

CONCLUSION

The Department will continue working in partnership with the ATF National Tracing Center to further streamline and refine efforts to trace every firearm recovered in Oakland. In addition, the Department will also continue working with its partners on the Gun Tracing Committee to eliminate firearms related violence in Oakland.

RECOMMENDATION

Recommend acceptance of the report.

Respectfully submitted,

Richard L. Word
Chief of Police

Prepared by: Lt. R. Yee, Criminal Investigation Division and Bill Uber, Management Assistant
Research, Planning & Budget Division

Attachment

APPROVED AND FORWARDED TO
THE PUBLIC SAFETY COMMITTEE:

Office of the City Manager

YA 0483

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Attachment (A)

RD # (If known)	Offense(s)	Recovery Date
Complainant	Arresting Officer(s)	Serial No.
Recovery Location	Suspect's Birth Date	Juvenile ☐ Yes ☐ No

SUSPECT

LAST Name	First	Middle

Sex ☐ F ☐ M	Race	Height	Weight	Hair	Eyes	PFN	CDL #

Address	City	State/Zip

FIREARM DESCRIPTION *(Must be Filled Out Completely)*

Manufacturer	Serial No.	Caliber	Barrel Length

Magazine/Cylinder Capacity	Type	Model	Finish ☐ Blue ☐ Black ☐ Silver ☐ Chrome ☐ Other _____
Country of Origin (If known)	Importer (If known)	Other Identifying Marks	

TF-654 (10/96)

FIREARM REFERRAL SLIP
OAKLAND POLICE DEPARTMENT

YA 0484

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November 30, 1999