

20-55437

IN THE UNITED STATES COURT OF APPEALS  
FOR THE NINTH CIRCUIT

**KIM RHODE, et al.,**

Plaintiffs-Appellees,

**v.**

**XAVIER BECERRA, in his official capacity as  
Attorney General of the State of California,**

Defendant-Appellant.

On Appeal from the United States District Court  
for the Southern District of California

No. 3:18-cv-00802 BEN JLB  
The Honorable Roger T. Benitez, Judge

**APPELLANT'S EXCERPTS OF RECORD**

**VOLUME 4 OF 7**

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Pursuant to Federal Rules of Appellate Procedure for the Ninth Circuit, Rule 30-1, Appellant Xavier Becerra, by and through his attorney of record, Nelson R. Richards, hereby confirms the contents and form of Appellant's Excerpts of Record on Appeal.

Dated: June 12, 2020

Respectfully submitted,

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**INDEX**

<b>File Date</b>	<b>District Court Docket Entry No.</b>	<b>Document</b>	<b>Vol. No.</b>	<b>Page Nos.</b>
4/23/20	60	Order Granting Plaintiffs' Motion for Preliminary Injunction	1	ER 1-120
4/24/20	66	Order of USCA as to Notice of Interlocutory Appeal to the 9 <sup>th</sup> Circuit Filed by Xavier Becerra	1	ER 121
4/24/20	65	Notice of Interlocutory Appeal to the 9 <sup>th</sup> Circuit filed by Xavier Becerra	1	ER 122
4/24/20	64	Notice of Interlocutory Appeal to the 9 <sup>th</sup> Circuit as to Order Granting Plaintiff's Motion for Preliminary Injunction	1	ER 123-126
4/24/20	62	Order Denying Ex Parte Motion for Stay	1	ER 127-129
4/24/20	61	Defendant's Motion to Stay Order Granting Preliminary Injunction to Allow for Interlocutory Appeal	2	ER 130-133
4/10/20	59	Fourth Supplemental Declaration of Mayra G. Morales in Support of Defendant Xavier	2	ER 134-154

<b>File Date</b>	<b>District Court Docket Entry No.</b>	<b>Document</b>	<b>Vol. No.</b>	<b>Page Nos.</b>
		Becerra's Opposition to Plaintiffs' Motion for Preliminary Injunction		
4/10/20	58	Defendant's Response to Court's Inquiry at April 1, 2020 Status Conference	2	ER 155-162
4/6/20	57	Transcript of April 1, 2020 Status Conference	2	ER 163-233
4/1/20	56	Order Denying Leave to Participate as Amici Curiae	2	ER 234
2/28/20	53	Third Supplemental Declaration of Mayra G. Morales in Support of Defendant Xavier Becerra's Opposition to Plaintiffs' Motion for Preliminary Injunction	2	ER 235-265
2/14/20	52	Order	2	ER 266
1/17/20	51	Order Granting Joint Motion to Vacate Mandatory Settlement Conference and Vacating Mandatory Settlement Conference	2	ER 267-268
1/15/20	50	Joint Motion to Vacate the Mandatory Settlement Conference	2	ER 269-284

<b>File Date</b>	<b>District Court Docket Entry No.</b>	<b>Document</b>	<b>Vol. No.</b>	<b>Page Nos.</b>
11/18/19	48	Second Supplemental Declaration of Mayra G. Morales in Support of Defendant Xavier Becerra's Opposition to Plaintiffs' Motion for Preliminary Injunction	2	ER 285-304
11/7/19	47	Joint Status Report	2	ER 305-308
10/29/19	46-4	Declaration of Nandu Ionescu in Support of Plaintiffs' Supplemental Brief in Support of Motion for Preliminary Injunction	2	ER 309-312
10/29/19	46-3	Declaration of William D. Shepard in Support of Plaintiffs' Supplemental Brief in Support of Motion for Preliminary Injunction	2	ER 313-320
10/29/19	46-2	Declaration of Edward Allen Johnson in Support of Plaintiffs' Supplemental Brief in Support of Motion for Preliminary Injunction	2	ER 321-323
10/29/19	46-1	Request for Judicial Notice in Support of Plaintiffs' Motion for Preliminary Injunction	2	ER 324-332
10/29/19	46	Supplemental Brief in Support of Plaintiffs'	2	333-344

<b>File Date</b>	<b>District Court Docket Entry No.</b>	<b>Document</b>	<b>Vol. No.</b>	<b>Page Nos.</b>
		Motion for Preliminary Injunction		
10/23/19	45	Transcript of October 1, 2019 Status Conference	2	ER 345-391
9/27/19	42	Supplemental Declaration of Mayra G. Morales in Support of Defendant Xavier Becerra's Opposition to Plaintiffs' Motion for Preliminary Injunction	2	ER 392-406
9/3/19	39	Transcript of Proceedings, August 19, 2019	3	ER 407-543
8/12/19	37-1	Declaration of Matthew D. Cubeiro in Support of Plaintiffs' Reply to Defendants' Opposition to Motion for Preliminary Injunction	3	ER 544-586
8/12/19	37	Plaintiffs' Reply to Defendant's Opposition to Motion for Preliminary Injunction	3	ER 587-598
8/9/19	36	Motion by Everytown for Gun Safety Support Fund for Leave to File Amicus Curiae Brief in Support of Defendant's Opposition to Plaintiffs' Motion for Preliminary Injunction	3	ER 599-602

<b>File Date</b>	<b>District Court Docket Entry No.</b>	<b>Document</b>	<b>Vol. No.</b>	<b>Page Nos.</b>
8/9/20	35	Notion of Motion and Motion for Leave to Participate as Amici Curiae	3	ER 603-604
8/5/19	34-7	Request for Judicial Notice in Support of Defendant Xavier Becerra's Opposition to Plaintiffs' Motion for Preliminary Injunction; Declaration of Nelson R. Richards	3	ER 605-688
8/5/19	34-6	Exhibits 8-12 to Declaration of Morales	4	ER 689-724
8/5/19	34-5	Exhibit 7 (part 2) to Declaration of Morales	4	ER 725-760
8/5/19	34-4	Exhibit 7 (part 1) to Declaration of Morales	4	ER 761-821
8/5/19	34-3	Exhibit 6 to Declaration of Morales	4	ER 822-872
8/5/19	34-2	Exhibits 1-5 to Declaration of Morales	4	ER 873-943
8/5/19	34-1	Declaration of Mayra G. Morales in Support of Defendant Xavier Becerra's Opposition to Plaintiffs' Motion for Preliminary Injunction	4	ER 944-961

<b>File Date</b>	<b>District Court Docket Entry No.</b>	<b>Document</b>	<b>Vol. No.</b>	<b>Page Nos.</b>
8/5/19	34	Defendant Xavier Becerra's Opposition to Plaintiffs' Motion for Preliminary Injunction	5	ER 962-994
7/22/19	33-1	Exhibits 11-34 to Request for Judicial Notice in Support of Plaintiffs' Motion for Preliminary Injunction [part 1]	5	ER 995-1258
7/22/19	33-1	Exhibits 11-34 to Request for Judicial Notice in Support of Plaintiffs' Motion for Preliminary Injunction [part 2]	6	ER 1259-1352
7/22/19	33	Request for Judicial Notice in Support of Plaintiffs' Motion for Preliminary Injunction	6	ER 1353-1487
7/22/19	32-16	Declaration of George Dodd	6	ER 1488-1492
7/22/19	32-15	Declaration of Christina McNab	6	ER 1493-1506
7/22/19	32-14	Declaration of Daniel Gray	6	ER 1507-1511
7/22/19	32-13	Declaration of Myra Lowder	6	ER 1508-1516

<b>File Date</b>	<b>District Court Docket Entry No.</b>	<b>Document</b>	<b>Vol. No.</b>	<b>Page Nos.</b>
7/22/19	32-12	Declaration of Ethan Bartel	6	ER 1517-1521
7/22/19	32-11	Declaration of Travis Morgan	6	ER 1522-1526
7/22/19	32-10	Declaration of Chris Puehse	6	ER 1527-1531
7/22/19	32-9	Declaration of David Burwell	6	ER 1532-1536
7/22/19	32-8	Declaration of Bill Ortiz	6	ER 1537-1542
7/22/19	32-7	Declaration of Scott Lindemuth	6	ER 1543-1545
7/22/19	32-6	Declaration of Denise Welvang	6	ER 1546-1548
7/22/19	32-5	Declaration of Dan Wolgin	6	ER 1549-1552
7/22/19	32-4	Declaration of James Gilhousen	6	ER 1553-1556
7/22/19	32-3	Declaration of Richard Travis	7	ER 1557-1561
7/22/19	32-2	Declaration Sean A. Brady	7	ER 1562-1600
7/22/19	32-1	Memorandum of Points and Authorities in Support of Plaintiffs' Motion for Preliminary Injunction	7	ER 1601-1634

<b>File Date</b>	<b>District Court Docket Entry No.</b>	<b>Document</b>	<b>Vol. No.</b>	<b>Page Nos.</b>
7/22/19	32	Plaintiffs' Notice of Motion and Motion for Preliminary Injunction	7	ER 1635-1638
7/3/19	27	Order Granting Joint Motion to Amend Scheduling Order and Issuing Amended Scheduling Order	7	ER 1639-1644
10/31/18	17	Answer to the First Amended Complaint	7	ER 1645-1661
10/17/18	16	Order re: Defendant's Motion to Dismiss and Request for Judicial Notice	7	ER 1662-1673
7/18/18	11-2	Request for Judicial Notice in Support of Defendant Xavier Becerra's Motion to Dismiss the First Amended Complaint; Declaration of Nelson R. Richards	7	ER 1674-1714
7/18/18	11	Defendant Xavier Becerra's Notice of Motion and Motion to Dismiss the First Amended Complaint	7	ER 1715-1717
6/11/18	9	First Amended Complaint for Declaratory and Injunctive Relief	7	ER 1718-1750



<b>File Date</b>	<b>District Court Docket Entry No.</b>	<b>Document</b>	<b>Vol. No.</b>	<b>Page Nos.</b>
5/9/18	7	Order of Transfer Pursuant to Low Number Rule	7	ER 1751
4/26/18	3	Plaintiffs' Notice of Related Cases	7	ER 1752-1754
4/26/18	1	Complaint for Declaratory and Injunctive Relief	7	ER 1755-1790
		District Court Docket	7	ER 1790-1798

# EXHIBIT 8

## **Finding of Emergency**

The Department of Justice (Department) finds that an emergency exists, and that the immediate adoption of Chapter 4, of Division 5, of Title 11 is necessary to avoid serious harm to the public peace, health, safety, or general welfare, within the meaning of Government Code section 11346.1.

Government Code section 11346.1, subdivision (a)(2), requires that at least five working days prior to submission of the proposed emergency action to the Office of Administrative Law, the Department provide a notice of this proposed action to every person who has filed a request for notice of regulatory action with the agency. The Department will also post the proposed emergency regulation amendments on its website and simultaneously disseminate notice of the proposed emergency action to all persons who have filed a request for notice.

After submission of the proposed emergency regulation amendments to the Office of Administrative Law, the Office of Administrative Law shall allow interested persons five calendar days to submit comments on the proposed emergency regulation as set forth in Government Code section 11349.6. To determine the Office of Administrative Law's five-day comment period, interested persons are instructed to visit <http://www.oal.ca.gov/>.

### **Subject Matter of Proposed Regulation Amendments**

Identification Requirements for Firearms and Ammunition Purchases and Eligibility Checks.

### **Regulation to Be Adopted**

Title 11, section 4045.1.

### **Specific Facts Demonstrating the Need for Immediate Action**

The Department is statutorily required to perform an eligibility check under state and federal law for all firearms purchases in California. The Department is also statutorily required to perform an eligibility check to determine eligibility to possess a firearm or ammunition under state and federal law in numerous other contexts. Eligibility checks are also required for certificates of eligibility, firearm ownership reports, law enforcement gun release applications, dangerous weapons license/permit applications, entertainment firearms permit applications, as well as for peace officer applicants, custodial officers, transportation officers, applicants to a basic course of training certified by the Commission on Peace Officer Standards and Training that includes the carrying and use of firearms, applicants for an explosives permit, and applicants for a permit to carry a concealed weapon. Eligibility checks are required for ammunition sales (as of July 1, 2019). Federal law prohibits certain categories of non-citizens from purchasing or possessing a firearm or ammunition, including any alien who is "illegally or unlawfully in the United States." (18 U.S.C. § 922 (d)(5)(A), (g)(5)(A).)

California law requires a prospective firearms purchaser to present "clear evidence of [the purchaser's] identity and age." (Pen. Code, §§ 26815, subd. (c), 27540, subd. (c), 28215, subd. (a)(1).) A valid California driver license or identification card satisfies this requirement. (*Id.*,

§ 16400.) California law also requires a prospective ammunitions purchaser to provide a driver license or identification card. (Pen. Code, § 30352, subd. (a)(2).) Before recent changes in the law, an applicant for a California driver license or identification card had to show to the Department of Motor Vehicles proof of lawful presence in the United States during the application process. (Cal. Code Regs., tit. 13, § 15.00.)

In 2013, California passed Assembly Bill (AB) 60, the Safe and Responsible Driver's Act, creating a driver license program for individuals who could not provide proof of lawful presence in the United States. (Stats. 2013, Ch. 524.) AB 60 became effective in 2015 and allows individuals to apply for a driver license or identification card in California regardless of their immigration status and without providing proof of lawful presence in the United States. AB 60 driver licenses and identification cards were distinguishable from regular California driver licenses and identification cards, by the notation "FEDERAL LIMITS APPLY" imprinted on the front. After the AB 60 licenses and identification cards became available, the Federal Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) issued guidance to firearm dealers stating that because the AB 60 driver license or identification card "is only issued to a person who cannot provide proof of lawful presence in the United States," there is "reasonable cause to believe a potential transferee in possession of an AB [60] driver license is illegally or unlawfully in the United States and prohibited from receiving or possessing firearms or ammunition. As such, you may not transfer firearms or ammunition to the person. . . ." ("Open Letter to All California Federal Firearm Licensees," June 30, 2016.)

At the beginning of 2018, California began issuing driver licenses and identification cards in accordance with the federal REAL ID Act. Passed by Congress in 2005, the REAL ID Act enacted the 9/11 Commission's recommendation that federal government set standards for the issuance of sources of identification. Obtaining a REAL ID version of a driver license or identification card is optional. However, after October 1, 2020, California residents will need to have a REAL ID-compliant driver license or identification card (or another REAL ID-compliant identification, such as a passport), rather than a regular California driver license or identification card, to board a domestic flight or enter secure federal facilities. In 2018, the Department of Motor Vehicles began offering two types of identification—a federal compliant REAL ID driver license/identification card, and a federal non-compliant California driver license/identification card. The federal non-compliant California driver licenses and identification cards with the words "FEDERAL LIMITS APPLY" on the front are issued to both: (1) individuals applying under AB 60; and (2) individuals who are able to submit satisfactory proof that their presence in the United States is authorized under federal law, but choose not to apply for a "REAL ID" driver license or identification card. The AB 60 driver license/identification card is no longer distinguishable from a regular California driver license/identification card. It is thus unclear whether a person with a federal non-compliant California driver license or identification card is eligible to purchase a firearm under federal law, because that person was not necessarily required to submit satisfactory proof of lawful presence in the United States. Because of this change, ATF rescinded the June 30, 2016 open letter, by removing the letter from its website.

At the end of 2018, California passed another law, Senate Bill (SB) 244, affecting AB 60 driver licenses and identification cards, which went into effect on January 1, 2019. (Stats. 2018, Ch. 885.) That law prohibits AB 60 driver licenses and identification cards—those issued to persons

who were not required to submit satisfactory proof of lawful presence in the United States—from being used as evidence of an individual’s citizenship or immigration status for any purpose. (Veh. Code § 12801.9, subd. (l).) Because AB 60 driver licenses and identification cards are indistinguishable from other federal non-compliant California driver licenses and identification cards issued to individuals who have provided satisfactory proof of lawful presence in the United States, neither form of identification may be used to determine an individual’s eligibility to purchase a firearm.

As set forth above, there have been significant changes recently to California driver licenses and identification cards, as well as to California law governing their use as evidence of citizenship or immigration status. These changes have affected the eligibility check process and have left firearm dealers and ammunition vendors, as well as law enforcement agencies, unable to rely on federal non-compliant licenses when determining whether a prospective purchaser or applicant is permitted to possess a firearm or ammunition, consistent with state and federal law.

Failure to act may result in significant public harm. The Department is concerned that firearm dealers and ammunition vendors may inadvertently sell firearms or ammunition to individuals who are not eligible under federal law because they are not lawfully present in the United States.

The result is widespread confusion for firearm dealers, law enforcement agencies, and the public. Current regulations do not address the recent changes to California law regarding California driver licenses and identification cards. Some firearm dealers have declined to sell firearms to persons who only have a federal non-compliant license or identification card without proof of lawful presence in the United States. But the Department has no way of knowing whether all firearm dealers follow the same protocol. Before the passage of SB 244, the National Rifle Association had advised firearm dealers to ask for additional information at their discretion if the dealer had “cause to believe the individual using one of these licenses may be prohibited from possessing firearms.” (National Rifle Association Institute for Legislative Action, “California Special Alert: Update Regarding Use of Non-REAL IDs for Firearm Purchases,” March 22, 2018.)

This confusion has had a negative financial impact on 1800 firearm dealers and their employees throughout the state, and will negatively impact 250 ammunition vendors (as of July 1, 2019). Also, firearm dealers that require additional documentation may lose business to those that do not require any additional documentation. This confusion also increases the risk that firearms or ammunition will be inadvertently sold to persons who are not eligible to make such purchases under federal law.

This emergency regulation is necessary to secure the eligibility check process, and to assist firearm dealers and ammunition vendors, as well as law enforcement agencies, to obtain sufficient information that will allow for an accurate determination of whether a prospective purchaser or applicant is permitted to possess firearms or ammunition, consistent with federal law.

### **Explanation of Failure to Adopt Nonemergency Regulations**

After the passage of SB 244 in September 2018, the Department issued guidance to firearm dealers suggesting that they consider asking prospective purchasers with federal non-compliant driver

licenses or identification cards for additional documentation establishing lawful presence in the United States. The Department also issued a consumer alert to California residents with a federal non-compliant license or identification that a firearm dealer may require additional documentation for firearm purchases.

But the guidance issued by the Department is voluntary and not all firearm dealers follow the guidance. After six months the Department has determined that the guidance is not sufficient to address the threat to public harm resulting from changes in California law relating to California driver licenses and identification cards.

**Technical, Theoretical, and Empirical Study, Report, or Similar Document, Upon Which the Department Relied**

National Rifle Association Institute for Legislative Action, “California Special Alert: Update Regarding Use of Non-REAL IDs for Firearm Purchases,” March 22, 2018.

U.S. Department of Justice, Bureau of Alcohol, Tobacco, Firearms and Explosives, “Open Letter to All California Federal Firearms Licensees,” June 30, 2018.

**Authority and Reference Citations**

Authority: Sections 28060, 28100, 28155, 28215, and 28220, Penal Code.

Reference: Sections 832.15, 832.16, 13511.5, 16400, 18900, 18905, 23000, 26150, 26155, 26170, 26710, 26815, 27540, 27560, 27565, 27875, 27920, 27966, 28000, 28160, 28215, 28220, 28250, 29182, 29500, 30105, 30370, 31000, 31005, 32650, 32655, 32700, 32705, 32710, 32715, 33300, 33305, and 33850, Penal Code; Section 12101, Health & Safety Code; 18 U.S.C. § 922(d) and (g); and Title 27, Part 178.32, Code of Federal Regulations.

**Informative Digest/Policy Statement Overview**

Penal Code section 28060 authorizes the Department to adopt regulations to allow the seller or transferor of a firearm or the person loaning the firearm, and the purchaser or transferee of a firearm or the person being loaned the firearm, to complete a sale, loan, or transfer through a firearm dealer. Penal Code section 28220 requires the Department to examine its records to determine if a purchaser or transferee is prohibited by state or federal law from possessing, receiving, owning, or purchasing a firearm. Penal Code section 30370 requires the Department to approve the purchase or transfer of ammunition through a vendor to individuals who are not prohibited, and authorizes the Department to write regulations regarding this process. Further, the United States Code, Title 18, section 922, subdivisions (d) and (g), and the Code of Federal Regulations, Title 27, section 478.99, subdivision (c)(5) provide that an alien illegally or unlawfully in the United States is prohibited from owning or possessing firearms or ammunition.

The only way for the Department to fulfill its statutory obligation to determine that an individual is not prohibited from purchasing or possessing firearms or ammunition is through this emergency



rulemaking. This regulation is also imperative for firearm dealers and ammunition vendors to determine that an individual is not prohibited. If this regulation does not become effective by July 1, 2019, there will be continued uncertainty regarding firearms and ammunition sales in California for which the purchaser presents a federal non-compliant driver license or identification card, as well as continued uncertainty regarding eligibility checks involving federal non-compliant driver licenses and identification cards. This uncertainty increases the risk that firearms and ammunition will fall into the hands of individuals who are prohibited by either state or federal law, creating an imminent threat to the public safety and general welfare of California residents.

The Department has determined that this proposed regulation is not inconsistent or incompatible with existing state regulations which do not address the possibility that persons without lawful presence in the United States could hold a validly issued California driver license or identification card.

#### **§ 4045.1. Additional Documentation Requirements for Eligibility Checks.**

This section describes “eligibility checks” as background checks based on any application or report for which an applicant is required to submit a driver license or identification card, or the number of a driver license or identification card, so that the Department may determine whether the applicant is eligible to possess a firearm or ammunition. California law requires eligibility checks in multiple contexts. This section is necessary to capture all eligibility checks required under California law. Furthermore, this section establishes guidelines regarding how copies of the driver licenses or identification cards and proof of lawful presence in the United States shall be retained by law enforcement agencies, firearm dealers, ammunition vendors, or submitted by the applicant.

Subdivision (a) states the basic requirement that when submitting any application or report for which an applicant is required to submit a driver license or identification card, or the number from a driver license or identification card, a copy of the applicant’s driver license or identification card shall also be submitted. This subdivision is necessary to inform applicants that a copy of the applicant’s driver license or identification card is required as part of the application or report.

Subdivision (b) establishes that if the applicant presents a federal non-compliant California driver license or identification card with the notation “FEDERAL LIMITS APPLY” on the front, instead of a REAL ID, the applicant shall also submit proof of lawful presence in the United States. In addition, this subdivision establishes the forms of acceptable proof of lawful presence in the United States. This subdivision is necessary so that individuals with a federal non-compliant California driver license or identification card will know what additional document(s) they need to provide the Department when undergoing an eligibility check to purchase a firearm or ammunition.

Subdivision (c) addresses name mismatches. If the name on the driver license or identification card does not match the name on the document submitted in accordance with subdivision (b), the applicant must provide additional documentation as to the name change. The acceptable types of documentation are listed. This subdivision is necessary because it is common, whether due to marriage, divorce, or some other circumstance, that an individual’s name may not match their birth certificate, passport, or other document listed in subdivision (b).

Subdivision (d) describes eligibility checks initiated by applications or reports submitted to the Department in a paper format and establishes how an individual shall prove lawful presence in the United States when using a paper form. These forms have been updated and are incorporated by reference, as it would be cumbersome, unduly expensive, or otherwise impractical to publish all of the forms listed in their entirety in the California Code of Regulations. This section is necessary to identify all the paper applications and reports that will be affected by the regulation.

Under Penal Code section 27560, subdivision (a), the “New Resident Report of Firearm Ownership,” form BOF 4010A is used by individuals who are moving into California and wish to bring all of their California-legal firearms with them. These individuals must report the firearm(s) to the Department. The Department revised this form to indicate what fields are mandatory, so the applicant will complete the form and it will not be returned without processing. The Firearm(s) Information section was revised to provide more options when reporting firearms and explains what the additional options are. This was necessary so an applicant can better describe the firearm, and so the Department will have a better understanding of the type of firearm the applicant is reporting. In addition, language was added regarding the document(s) that should be included if the applicant has a “FEDERAL LIMITS APPLY” driver license or identification card and not a REAL ID. This was necessary so an individual will know what document(s) to include preventing the form from being returned without processing.

Under Penal Code section 28000, the “Firearm Ownership Report,” form BOF 4542A is used by individuals who wish to report firearm ownership to the Department. The Department revised this form to change the name from “Firearm Ownership Record” to “Firearm Ownership Report.” The new name for this report is better suited as it is an optional form and dependent upon an owner choosing to report their firearm(s). The form was revised to indicate what fields are mandatory, so the applicant will complete the form and it will not be returned without processing. The Firearm(s) Information section was revised to provide more options when reporting firearms and explains what the additional options are. This was necessary so the applicant can better describe the firearm, and so the Department will have a better understanding of the type of firearm the applicant is reporting. In addition, language was added regarding the document(s) that should be included if the applicant has a “FEDERAL LIMITS APPLY” driver license or identification card and not a REAL ID. This was necessary so an individual will know what document(s) to include preventing the form from being returned without processing.

Under Penal Code section 27565, the “Curio or Relic Firearm Report,” form BOF 4100A, is used by individuals who must report their out-of-state purchase of a curio or relic firearm. The Department revised this form to indicate what fields are mandatory, so the applicant will complete the form and it will not be returned without processing. The Firearm(s) Information section was revised to provide more options when reporting firearms and explains what the additional options are. This was necessary so the applicant can better describe the firearm, and so the Department will have a better understating of the type of firearm the applicant is reporting. In addition, language was added regarding the document(s) that should be included if the applicant has a “FEDERAL LIMITS APPLY” driver license or identification card and not a REAL ID. This was necessary so an individual will know what document(s) to include preventing the form from being returned without processing.



Under Penal Code section 27966, the “Collector In-State Acquisition of Curio or Relic Long Gun Report,” form BOF 961 is used by individuals who must report their in-state acquisition of a curio or relic firearm. The Department revised this form to indicate what fields are mandatory, so the applicant will complete the form and it will not be returned without processing. The Firearm(s) Information section was revised to provide more options when reporting firearms and explains what the additional options are. This was necessary so the applicant can better describe the firearm, and so the Department will have a better understanding of the type of firearm the applicant is reporting. In addition, language was added regarding the document(s) that should be included if the applicant has a “FEDERAL LIMITS APPLY” driver license or identification card and not a REAL ID. This was necessary so an individual will know what document(s) to include preventing the form from being returned without processing.

Under Penal Code sections 27875 and 27920, the “Report of Operation of Law or Intra-Familial Transaction,” form BOF 4544A is used by individuals who must report the possession of a firearm by operation of law, or the transfer of a firearm to a family member (Intra-Familial transfer). The Department revised this form to indicate what fields are mandatory, so the applicant will complete the form and it will not be returned without processing. The Firearm(s) Information section was revised to provide more options when reporting firearms and explains what the additional options are. This was necessary so an applicant can better describe the firearm, and so the Department will have a better understanding of the type of firearm the applicant is reporting. In addition, language was added regarding the document(s) that should be included if the applicant has a “FEDERAL LIMITS APPLY” driver license or identification card and not a REAL ID. This was necessary so an individual will know what document(s) to include preventing the form from being returned without processing.

Under various Penal Code statutes, the “Dangerous Weapons License/Permit(s) Application,” form BOF 030, and the “Dangerous Weapons License/Permit(s) Renewal Application,” form BOF 031, are used by individuals who wish to apply for or renew a dangerous weapons license of permit. The Department revised these forms to add language regarding the document(s) that should be included if the applicant has a “FEDERAL LIMITS APPLY” driver license or identification card and not a REAL ID. This was necessary so an individual will know what document(s) to include preventing the form from being returned without processing.

Subdivision (e) describes the eligibility checks initiated by applications and reports submitted electronically through the Department’s California Firearms Application Reporting System (CFARS). This subdivision also indicates what forms to upload in CFARS to prove lawful presence in the United States. This subdivision is necessary to identify the forms that may be submitted electronically through CFARS.

Subdivision (f) describes the eligibility checks initiated by applications or reports submitted electronically through the Department’s Dealer Record of Sale (DROS) Entry System. This subdivision also indicates what documentation an individual shall provide through the DROS Entry System to prove lawful residence in the United States. This subdivision is necessary to identify the forms that may be submitted electronically through the DROS Entry System.

Subdivision (g) addresses eligibility checks initiated by applications or reports submitted to other agencies that include fingerprint data to be used by the Department in order to determine whether

an individual is eligible to possess a firearm or ammunition under state or federal law. This subdivision is necessary to inform other government agencies of what the Department has determined is acceptable documentation to prove lawful presence in the United States.

#### **Forms Incorporated by Reference**

Form BOF 030 (Rev. 05/2019), Dangerous Weapons License/Permit(s) Application

Form BOF 031 (Rev. 05/2019), Dangerous Weapons License/Permit(s) Renewal Application

Form BOF 961 (Rev. 05/2019), Collector In-State Acquisition of Curio or Relic Long Gun Report

Form BOF 4010A (Rev. 05/2019), New Resident Report of Firearm Ownership

Form BOF 4100A (Rev. 05/2019), Curio or Relic Firearm Report

Form BOF 4542A (Rev. 05/2019), Firearm Ownership Report

Form BOF 4544A (Rev. 05/2019), Report of Operation of Law or Intra-Familial Firearm Transaction

#### **Mandate on Local Agencies or School Districts**

The Department has determined the proposed emergency regulation does not impose a mandate or a mandate requiring reimbursement by the State pursuant to Part 7 (commencing with Section 17500) of Division 4 of the Government Code. It will not require local agencies or school districts to incur additional costs in order to comply with the proposed emergency regulations.

#### **Duplication of State Statutes as Necessary to Satisfy Government Code Section 11349.1(a)(3)**

To satisfy the requirements of Government Code section 11349.1(a)(6), the text of the proposed regulations are non-duplicative.

#### **Other Matters Prescribed by Statute Applicable to the Agency or to Any Specific Regulation or Class of Regulations**

None.

#### **Fiscal Impacts**

The Department has assessed the potential for significant adverse impact that might result from the proposed emergency action and has determined:

- There will be no non-discretionary costs or savings to local agencies
- There will be no costs to school districts
- There will be no costs or savings in federal funding to the State

As detailed on the attachment to the Economic and Fiscal Impact Statement (STD 399), the Department estimates its costs (state agency) directly related to the additional documentation

requirements relating to “FEDERAL LIMITS APPLY” driver licenses or identification cards will be insignificant.

**STATEMENT OF CONFIRMATION OF MAILING OF FIVE-DAY  
EMERGENCY NOTICE**

(Title 1, CCR section 11346.1(a)(2))

The Department sent notice of the proposed emergency action to every person who has filed a request for notice of regulatory action at least five working days before submitting the emergency regulation to the Office of Administrative Law in accordance with the requirements of Government Code section 11346.1(a)(2).

# EXHIBIT 9

# **NRA-ILA**

INSTITUTE for LEGISLATIVE ACTION

APPEARS IN      LEGAL & LEGISLATION

## **California Special Alert: Update Regarding Use of Non-REAL IDs for Firearm Purchases**

THURSDAY, MARCH 22, 2018



NRA and CRPA attorneys recently received further clarification from the Bureau of Alcohol, Tobacco, Firearms and Explosives ("ATF") regarding the use of non-REAL IDs when purchasing a firearm at a California licensed firearms dealer. According to ATF, California licensed firearm dealers:



*[M]ay accept post-January 22, 2018 licenses/identification documents that meet the definition in 18 U.S.C. 1028(d) in fulfilling their requirements under 18 U.S.C. 922(t)(1)(C) and 27 CFR 478.124(c)(3) (i). However, licensees may consider asking for additional documentation (e.g., passport) so that the transfer is not further delayed.*

As a result, California residents who are issued non-REAL IDs after January 22, 2018, by the California Department of Motor Vehicles (“DMV”) may use their IDs for the purposes of purchasing a firearm, even if the ID contains the language “FEDERAL LIMITS APPLY” on the front of the license and states on the back of the license that “This card is not acceptable for official federal purposes.”

### **Prior ATF Open Letter to Dealers Rescinded**

ATF also informed NRA and CRPA attorneys that the letter issued in June of 2016 concerning “FEDERAL LIMITS APPLY” licenses, will be rescinded. A recent review of the ATF website for the letter states “Page Not Found.”

Pursuant to AB 60, the California Department of Motor Vehicles (“DMV”) may issue licenses and identification cards to individuals who cannot prove legal status in the United States. The licenses and identification cards issued pursuant to AB 60 stated “FEDERAL LIMITS APPLY” on the front of the card making them distinguishable from licenses issued to U.S. citizens.

Federal law prohibits those who are illegally in the United States from receiving and possessing firearms. In June 30, 2016, ATF sent a letter to firearm dealers informing them they could not transfer firearms to individuals using AB 60 licenses (licenses with “FEDERAL LIMITS APPLY” on their front) due to the likelihood the individual was in the country illegally and thus prohibited from receiving and possessing firearms.

Recently California started to implement the federal REAL ID Act, which requires state-issued licenses and identification cards to meet federal requirements for verification. AB 60 licenses do not meet these requirements. On January 22, 2018, DMV started issuing licenses to people who did not apply for or go through the process to acquire a REAL ID. Unfortunately, after January 22, 2018, the licenses issued pursuant to AB 60 and those issued to Californians who didn’t apply for a REAL ID state on their face “FEDERAL LIMITS APPLY,” and thus, according to the June 30, 2016 ATF letter, are unacceptable for firearm purchases.

Presumably this problem was corrected by DMV. ATF initially stated that licenses issued pursuant to the AB 60 undocumented individuals differed from those issued to U.S. citizens because on the back of the AB 60 licenses the license stated, “This card is not acceptable for official federal purposes.” Thus, there would be a way to differentiate between licenses issued pursuant to AB 60 and to U.S.

citizens who did not apply for a REAL ID license. Unfortunately, this information was incorrect as both AB 60 licenses and the licenses issued to U.S. citizens stated, "This card is not acceptable for official federal purposes" on the reverse side.

NRA and CRPA attorneys pointed this concern out to ATF soon after it was discovered. ATF now realizes that they cannot avoid this problem as these licenses with the same language on the front and back are sent out to U.S. citizens and undocumented individuals alike. Thus, ATF's position changed, and they are withdrawing the June 30, 2016 letter concerning "FEDERAL LIMITS APPLY."

### Lingering Concerns

Not all "FEDERAL LIMITS APPLY" licenses can be used to acquire firearms. Licenses issued prior to January 22, 2018 with "FEDERAL LIMITS APPLY" on them were likely issued to individuals who cannot show lawful citizenship status. Firearm dealers are strongly advised to insist on an additional form of identification before accepting a license issued before January 22, 2018 with "FEDERAL LIMITS APPLY" marker.

Licenses issued after January 22, 2018 that state "FEDERAL LIMITS APPLY" may or may not have been issued to a person who is within the United States illegally. If a firearm dealer has cause to believe the individual using one of these licenses may be prohibited from possessing firearms, as ATF suggests, the dealer may want to consider asking for additional documentation.

Californians who want to make sure they have zero problems purchasing a firearm in the future may want to consider applying for and acquiring a REAL ID through the DMV. Remember these licenses can be used to board airplanes, gain access to military bases, and other federal facilities in 2020. Californians will not be able to use their non-REAL IDs for these purposes after 2020 and will be required to provide some other form of identification.

California licensed firearm dealers should be aware, however, that the California Department of Justice ("DOJ") may nonetheless continue to hold the position that any "FEDERAL LIMITS APPLY" licenses cannot be used for the purposes of purchasing a firearm. That position is an unlawful overreach because the question of lawful presence in the United States as it relates to firearm purchases falls directly under ATF's control. Under California law, one only needs to provide "clear evidence of the person's identity and age" when attempting to acquire a firearm from a California licensed dealer. "Clear evidence" is defined as a valid California Driver's License or Identification Card. Because both AB 60 licenses and non-REAL IDs are considered valid California identification, regardless if they satisfy federal requirements or not, both satisfy California's requirement of "clear evidence of the person's identity and age." In addition, ATF has informed NRA and CRPA attorneys that they will be rescinding their previous policy prohibiting the use of such licenses.



Continue to check your inbox and the California Stand and Fight web page for updates on issues impacting your Second Amendment rights and hunting heritage in California.

#### IN THIS ARTICLE

CALIFORNIA

SECOND AMENDMENT

FEDERALLY LICENSED FIREARMS RETAILERS

## NRAEXPLORE MORE LIKE THIS FROM AROUND THE NRA



#### AMERICA'S 1ST FREEDOM

Now a Democrat Running for President Wants to Require You Apply for Your Rights



#### AMERICAN HUNTER

California Statewide Lead Ammo Ban Goes Into Effect July 1



#### SHOOTING ILLUSTRATED

Springfield Armory Announces Partnership With Hillsdale College

# EXHIBIT 10





## U.S. Department of Justice

Bureau of Alcohol, Tobacco,  
Firearms and Explosives

Washington, DC 20226

[www.atf.gov](http://www.atf.gov)

**JUN 30 2016**

### OPEN LETTER TO ALL CALIFORNIA FEDERAL FIREARM LICENSEES

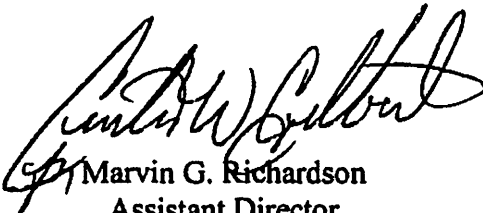
The Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) has received an inquiry from the California Department of Justice regarding California driver licenses issued pursuant to The Safe and Responsible Driver Act, also known as California State Assembly Bill 60 (AB 60) and its applicability to Federal firearms laws. This open letter responds to that inquiry and provides guidance on the issue and to assist you, a Federal firearms licensee (FFL), in complying with Federal firearms laws and regulations. As of January 1st, 2015 California began issuing driver licenses, commonly referred to as an AB 60 license, to persons with a California residence who are unable to provide satisfactory proof that his or her presence in the United States is authorized under federal law. AB 60 driver licenses are identified by the statement "FEDERAL LIMITS APPLY" in bold on the front of the license and a notice on the back that states "This card is not acceptable for official federal purposes. This license is issued only as a license to drive a motor vehicle. It does not establish eligibility for employment, voter registration, or public benefits."

As you know, Federal law, 18 U.S.C. § 922(g)(5)(A), prohibits any person who is illegally or unlawfully in the United States from shipping, transporting, receiving or possessing firearms or ammunition. Further, Federal Law, 18 U.S.C. § 922(d)(5)(A), makes it unlawful for any person to sell or otherwise dispose of any firearm or ammunition to any person knowing or **having reasonable cause to believe** that such person is illegally or unlawfully in the United States. As provided by 27 C.F.R. § 478.11, an alien illegally or unlawfully in the United States means someone "who is not in a valid immigrant, nonimmigrant or parole status." An AB 60 driver license is only issued to a person who cannot provide proof of lawful presence in the United States;<sup>1</sup> given this fact, a FFL has a reasonable cause to believe a potential transferee in possession of an AB driver license is illegally or unlawfully in the United States and prohibited from receiving or possessing firearms or ammunition. As such, you may not transfer firearms or ammunition to the person, even if the person answered "no" to question 11.k. on ATF Form 4473.

<sup>1</sup> Pursuant to California Vehicle Code § 12801.9, a California driver's license may be issued if the applicant attests that he or she is both ineligible for a social security number and although unable to submit satisfactory proof that his or her presence in the United States is authorized under federal, is able to establish identity and proof of California residency.

-2-

ATF is committed to assisting you in complying with Federal firearms laws. If you have any questions, please contact ATF's Firearms Industry Programs Branch at (202)648-7190 OR [FIPB@atf.gov](mailto:FIPB@atf.gov).



Marvin G. Richardson  
Assistant Director  
Enforcement Programs and Services

ER 708

# EXHIBIT 11

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\* ALSO ADMITTED IN TEXAS AND THE  
DISTRICT OF COLUMBIA

April 9, 2018

**VIA CERTIFIED MAIL**

Attorney General Xavier Becerra  
Office of the Attorney General  
P.O. Box 944255  
Sacramento, CA 94244-2500

Re: Pre-Litigation Demand to Rescind Policy Prohibiting Purchase of  
Firearms Using Non-REAL IDs

To Whom It May Concern:

We write on behalf of our clients the National Rifle Association of America and the California Rifle & Pistol Association, Incorporated, as well as their hundreds of thousands of members who reside in California.

It is our understanding that several California licensed firearm dealers are receiving instruction from the California Department of Justice, Bureau of Firearms, ("CA DOJ") to not accept a driver's license with "FEDERAL LIMITS APPLY" language as "clear evidence of the person's identity and age"<sup>1</sup> when attempting to purchase a firearm no matter when the license was issued. As illustrated below, CA DOJ's policy is unsupported under both state and federal law. This letter constitutes a pre-litigation demand for CA DOJ to rescind this policy for California IDs<sup>2</sup> issued after January 22, 2018 and provide any further clarification of its intentions to do so.

**I. BACKGROUND**

In 2005, the federal government enacted the REAL ID Act, which requires states to issue driver's licenses or identification cards that meet minimum federal requirements by the year 2020 for use when boarding airplanes. As the law began to be implemented, questions arose regarding the purchase of firearms using non-REAL IDs. In response, the Bureau of Alcohol, Tobacco, Firearms and

<sup>1</sup> Cal. Penal Code § 27540(e).

<sup>2</sup> For purposes of this letter we will use the term "ID" to include driver's licenses and identification cards.

Explosives ("ATF") issued a newsletter in 2012 to all Federal Firearm Licensees ("FFLs") discussing the implications of the READ ID Act on the sale and transfer of firearms.<sup>3</sup> According to this newsletter, a non-REAL ID may still be used to purchase a firearm provided the ID used satisfies the criteria required under the Gun Control Act.<sup>4</sup>

But the following year, California enacted Assembly Bill No. 60 ("AB 60"). Among its provisions, AB 60 requires the California Department of Motor Vehicles ("CA DMV") to "issue an original driver's license to a person who is unable to submit satisfactory proof that the applicant's presence in the United States is authorized under federal law," provided that the person meets several additional requirements.<sup>5</sup> Licenses issued pursuant to AB 60 stated on their face "FEDERAL LIMITS APPLY."

On or about February 2016, California Department of Justice sent an "Important Notice" to firearm dealers concerning AB 60 licenses.<sup>6</sup> The Notice stated that the AB 60 license "does not establish eligibility to purchase firearms." The rationale behind this statement was that individuals who are unable to provide proof of their lawful residence within the United States are those generally prohibited from owning or possessing firearms under federal law. Federal law prohibits an individual from possessing firearms if he or she is an alien illegally or unlawfully in the United States.<sup>7</sup>

The notice further stated:

"An applicant who does not have proof of lawful presence can receive an AB 60 license; however, as an alien applicant it would not establish legal or lawful presence even when admitted under a non-immigrant visa. A person who is illegally or unlawfully in the United States is federally prohibited from receiving firearms."<sup>8</sup>

ATF on June 30, 2016 in an open letter to all California firearm dealers provided guidance to firearm dealers, stating:

"[I]t [is] unlawful for any person to sell or otherwise dispose of any firearm or ammunition knowing or having reasonable cause to believe that such person is illegally or unlawfully in the United States... **An AB 60 driver license is only issued to a person who cannot provide proof of lawful presence in the United States; given this fact, a FFL has reasonable cause to believe a potential transferee in possession of an AB driver licenses is illegally or unlawfully in the United States and prohibited**

<sup>3</sup> As stated on the required 4473, the FFL "must establish the identity, place of residence, and age of the transferee/buyer. The transferee/buyer must provide a valid government-issued photo identification document to the transferor/seller that contains the transferee's/buyer's name, residence address, and date of birth." *See ATF E-Form 4473 (5300.9)*.

(Oct.

2016).

<sup>5</sup> Cal. Vehicle Code § 12801.9(a).

<sup>6</sup> *See* attached DOJ "IMPORTANT NOTICE Re: Assembly Bill (AB) 60 Driver's License" (undated) (Exhibit A.)

<sup>7</sup> 18 U.S.C. § 922(g)(5).

<sup>8</sup> Emphasis in original (Exhibit A.)





firearm. To take just one example, CA DOJ Operator 213 (who provided her first name "Chelsea") advised a California licensed firearms dealer that because of AB 60, only federally-approved "REAL ID"-type driver licenses were acceptable as "clear evidence of the person's identity and age" for the purposes of purchasing a firearm. We are aware of one other DOJ employee and DOJ inspector who provided similar advice to firearm dealers. The employee's name and employee number were not obtained when the advice was received. The DOJ inspector wishes to remain anonymous. Ultimately, this position has no basis under California law.

### III. CALIFORNIA LAW

#### a. "Clear Evidence" of Identity and Age Requirement

Under California law, a firearm dealer may not deliver a firearm without "clear evidence of the person's identity and age."<sup>10</sup>

For the entirety of the Part 6 of the Penal Code, "clear evidence of the person's identity and age" is defined as either 1) a valid California driver's license; or, 2) a valid California identification card issued by the Department of Motor Vehicles.<sup>11</sup> No other requirements under California law or CA regulations exist regarding a person's clear evidence of identity and age. In other locations where identification is referred to, the reference is to a person's driver's license or valid driver's license. There is no basis under California law or regulation to state IDs with "FEDERAL LIMITS APPLY" language are unacceptable for these requirements. Regardless of whether the license is issued pursuant to the REAL ID Act or AB 60, or the ID is a non-REAL Act ID, all of these licenses are "valid" under California law. Requiring or insisting on any other type of license other than a "valid" driver's license is contrary to the requirements of California law.

#### b. California Firearm Restrictions

ATF's initial opinion regarding AB 60 IDs was based on the idea that a dealer could reasonably infer a person's immigration status from the AB 60 ID. The validity of the ID was never at issue. As stated above, an individual who cannot prove lawful status in the United States can still obtain an AB 60 license. But if identical licenses are issued after January 22, 2018 to U.S. citizens and persons who have entered, or are in, the country illegally, dealers cannot use those licenses as prima facie evidence the individual is prohibited from possessing firearms under federal law.

CA DOJ may attempt to claim that licenses issued after January 22, 2018 are unacceptable because there is a concern that anyone possessing these licenses may be prohibited from possessing firearms. But because that concern is based on a person's immigration status, and because the question of immigration status as it relates to the purchase of a firearm is solely the concern of federal law enforced by the ATF, CA DOJ has no basis for such a claim. There are no restrictions under California law against the possession of a firearm by a person who is illegally or unlawfully present in the United

---

<sup>10</sup> Cal. Penal Code §§ 26815 and 27540

<sup>11</sup> Cal. Penal Code § 16400.



cc.

**VIA CERTIFIED MAIL**

Sean McCluskie  
P.O. Box 160487  
Sacramento, CA 95816-0487

**VIA CERTIFIED MAIL**

Stephen Lindley  
California Department of Justice  
Bureau of Firearms  
P.O. Box 820200  
Sacramento, CA 94203-0200

**VIA CERTIFIED MAIL**

Robert Wilson  
Office of the Attorney General  
1300 I St., Ste 125  
Sacramento, CA 95814

# Exhibit A

ER 716

## IMPORTANT NOTICE

### Re: Assembly Bill (AB) 60 Driver's License

The purpose of this notice is to advise California Firearms Dealers (CFDs) that the AB 60 driver's licenses are meant to grant the licensee legal ability to drive and does not establish eligibility to purchase firearms.

In 2013, Governor Brown signed AB 60 into law which directed the Department of Motor Vehicles (DMV) to issue an original driver's license to any California resident who is eligible for a driver's license, regardless of immigration status. An applicant who does not have proof of lawful presence can receive an AB 60 license; however, as an alien applicant it would not establish legal or lawful presence even when admitted under a non-immigrant visa. A person who is illegally or unlawfully in the United States is federally prohibited from receiving a firearm.

See below examples (circled red) that identify the distinguishing license characteristics.



**Exhibit B**

**ER 718**





## U.S. Department of Justice

Bureau of Alcohol, Tobacco,  
Firearms and Explosives

Washington, DC 20226

[www.atf.gov](http://www.atf.gov)

JUN 30 2013

### OPEN LETTER TO ALL CALIFORNIA FEDERAL FIREARM LICENSEES

The Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) has received an inquiry from the California Department of Justice regarding California driver licenses issued pursuant to The Safe and Responsible Driver Act, also known as California State Assembly Bill 60 (AB 60) and its applicability to Federal firearms laws. This open letter responds to that inquiry and provides guidance on the issue and to assist you, a Federal firearms licensee (FFL), in complying with Federal firearms laws and regulations. As of January 1st, 2015 California began issuing driver licenses, commonly referred to as an AB 60 license, to persons with a California residence who are unable to provide satisfactory proof that his or her presence in the United States is authorized under federal law. AB 60 driver licenses are identified by the statement "FEDERAL LIMITS APPLY" in bold on the front of the license and a notice on the back that states "This card is not acceptable for official federal purposes. This license is issued only as a license to drive a motor vehicle. It does not establish eligibility for employment, voter registration, or public benefits."

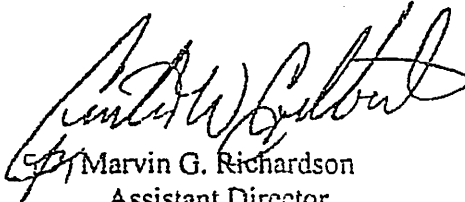
As you know, Federal law, 18 U.S.C. § 922(g)(5)(A), prohibits any person who is illegally or unlawfully in the United States from shipping, transporting, receiving or possessing firearms or ammunition. Further, Federal Law, 18 U.S.C. § 922(d)(5)(A), makes it unlawful for any person to sell or otherwise dispose of any firearm or ammunition to any person knowing or having reasonable cause to believe that such person is illegally or unlawfully in the United States. As provided by 27 C.F.R. § 478.11, an alien illegally or unlawfully in the United States means someone "who is not in a valid immigrant, nonimmigrant or parole status." An AB 60 driver license is only issued to a person who cannot provide proof of lawful presence in the United States;<sup>1</sup> given this fact, a FFL has a reasonable cause to believe a potential transferee in possession of an AB driver license is illegally or unlawfully in the United States and prohibited from receiving or possessing firearms or ammunition. As such, you may not transfer firearms or ammunition to the person, even if the person answered "no" to question 11.k. on ATF Form 4473.

<sup>1</sup> Pursuant to California Vehicle Code § 12801.9, a California driver's license may be issued if the applicant attests that he or she is both ineligible for a social security number and although unable to submit satisfactory proof that his or her presence in the United States is authorized under federal, is able to establish identity and proof of California residency.



-2-

ATF is committed to assisting you in complying with Federal firearms laws. If you have any questions, please contact ATF's Firearms Industry Programs Branch at (202)648-7190 OR FIPB@atf.gov.



Marvin G. Richardson  
Assistant Director  
Enforcement Programs and Services

# EXHIBIT 12

### **IMPORTANT NOTICE**

#### **CALIFORNIA DEPARTMENT OF JUSTICE UPDATE REGARDING THE USE OF “FEDERAL LIMITS APPLY” DRIVER LICENSES AND IDENTIFICATION CARDS TO PERFORM ELIGIBILITY CHECKS**

“*Eligibility checks*” refers to applications or reports for which an applicant is required to submit a driver license or identification card, or the number from a driver license or identification card, so that the Department of Justice may determine the applicant’s eligibility to possess a firearm or ammunition under state or federal law.

Eligibility checks are required upon submission of the following DES transactions:

- Applications to purchase a firearm
- Applications to purchase ammunition

For all eligibility checks, a copy of the applicant’s driver license or identification card shall be submitted.

If the applicant presents a California driver license or identification card with the notation “FEDERAL LIMITS APPLY” on the front, the applicant shall also submit a copy of a document that proves their lawful presence in the United States, in the form of one of the following documents:

- Valid, unexpired U.S. passport or passport card
- Certified copy of U.S. birth certificate
- Certification of Birth Abroad (FS-545), Certification of Report of Birth (DS-1350) or Consular Report of Birth Abroad of a Citizen of the United States of America (FS-240), issued by the U.S. Department of State
- Valid, unexpired foreign passport with valid U.S. immigrant visa and approved Record of Arrival/Departure (I-94) form
- Certified copy of birth certificate from a U.S. Territory
- Certificate of Naturalization or U.S. Citizenship
- Valid, unexpired Permanent Resident Card

For all eligibility checks, if the applicant’s California driver license or identification card has the notation “FEDERAL LIMITS APPLY” on the front and the applicant’s name as it appears on the driver license or identification card differs from the name on the document supplied, the applicant shall also submit a copy of one of the following certified documents:

- An adoption document that contains the legal name of the applicant as a result of the adoption.
- A name change document that contains the applicant’s legal name both before and, as a result of, the name change.
- A marriage certificate.
- A dissolution of marriage document that contains the legal name of the applicant as a result of the court action.

- A certificate, declaration or registration document verifying the formation of a domestic partnership.
- A dissolution of domestic partnership document that contains the legal name of the applicant as a result of the court action.

The dealer shall keep copies of the documents required as part of the permanent record of the transaction.

These requirements also pertain to an application or report submitted to the Department of Justice in a paper format. Copies of the documents required shall be submitted along with the paper application. These applications and reports include:

- New Resident Report of Firearms Ownership (*BOF 4010A*)
- Firearms Ownership Report (*BOF 4542A*)
- Curio or Relic Firearm Report (*BOF 4100A*)
- Collector In-State Acquisition of Curio and Relic Long Gun Report, (*BOF 961*)
- Report of Operation of Law or Intra-Familial Firearm Transaction (*BOF 4544A*)
- Dangerous Weapons License/Permit(s) Application (*BOF 030*) or (*BOF 031*)

These requirements also pertain to an application or report submitted to the Department of Justice electronically via CFARS. Copies of the documents required shall be uploaded to CFARS as prompted during the application or reporting process. These applications and reports include:

- Certificate of Eligibility Application
- Unique Serial Number Application
- New Resident Report of Firearms Ownership
- Firearms Ownership Report
- Curio and Relic Firearm Report
- Collector In-State Acquisition of Curio and Relic Long Gun Report
- Report of Operation of Law or Intra-Familial Firearm Transaction

Please see the examples of California “REAL ID” and “Federal Limits Apply” Driver Licenses on the following page.

For additional information, please refer to the California Code of Regulations, Title 11, Division 5, Chapter 4 § 4045. Definitions and Requirements.

Should you have any questions please contact the Bureau of Firearms, Customer Support Center at (855) 365-3767 or via e-mail at [bofdes@doj.ca.gov](mailto:bofdes@doj.ca.gov).



# **EXHIBIT 7 cont.**





## DES Application – Firearms and Ammunition Dealer User Guide

**PAWN/CONSIGNMENT LONG GUN REDEMPTION**

Select the ***Pawn/Consignment Long Gun Redemption*** transaction type when a long gun is being redeemed that had been pawned or consigned.

To submit a Pawn/Consignment Long Gun Redemption transaction:

- 1) From the *Main Menu* page, select the ***Submit DROS*** link. The *Select Transaction Type* page will display.
- 2) Select the ***Pawn/Consignment Long Gun Redemption*** link. The *Submit Pawn/Consignment Long Gun Redemption* form will display.
- 3) Enter the Purchaser Information (see Entering Purchaser and Seller Information above).
- 4) Enter the Transaction and Firearm Information as follows:
  - a. **Gun Show Transaction** – Select *Yes* or *No* from the drop down list.
  - b. **Waiting Period Exemption** – If applicable, select a waiting period exemption:
    - **CFD Number** – Select **CFD** from the drop down list if the purchaser is an active licensed firearm dealer. Selecting the CFD number waiting period exemption displays a ***Purchaser CFD Number*** field. Enter the purchaser's valid CFD number.
    - **Peace Officer** – This waiting period exemption requires a signed letter (wet signature) from the head of their law enforcement agency. You must keep a copy of the letter on file.
    - **Special Weapons Permit** – Select **Special Weapons Permit** from the drop down list if the purchaser has a valid Special Weapons permit. Selecting the Special Weapons permit exemption displays a ***Special Weapons Permit Number*** field. Enter the purchaser's Special Weapons permit number.
  - c. **Receiver Only** – Select *Yes* or *No* whether the purchase is for a receiver only; if *Yes* is selected then the firearm caliber, additional caliber, barrel length, or unit of measure will not be available for updating.
  - d. **Make** – Select the name of the firearm manufacturer from the ***Make*** drop down list. **Tip:** Opening the ***Make*** drop down list and typing the first character of the make will take you to that section of the list.
  - e. **Model** – Enter the model of the firearm being purchased.
  - f. **Caliber** – Select the caliber of the firearm from the ***Caliber*** drop down list.
  - g. **Additional Caliber** – If appropriate, select any additional calibers from the ***Additional Caliber*** drop down list.
  - h. **Barrel Length** – Enter the length of the firearm's barrel. The barrel length can be from 1 - 4 numbers, and may contain a decimal point. The barrel length may be reported in inches or centimeters.





## DES Application – Firearms and Ammunition Dealer User Guide

- i. **Unit** – Select the barrel length unit of measure from the **Unit** drop down list.
  - j. **Gun Type** – Select the type of long gun from the **Gun Type** drop down list.
  - k. **Category** – Select the appropriate long gun category from the **Category** drop down list. **Note:** The Category drop down list is blank until a **Gun Type** is selected.
  - l. **Serial Number** – Enter and then re-enter the serial number stamped on the firearm.
  - m. **Other Number** – If applicable, enter an additional number stamped on the firearm.
  - n. **Color** – Select the color of the firearm from the **Color** drop down list.
- Comments** – Enter any additional pertinent information in the **Comments** field, if applicable.

**CURIO/RELIC LONG GUN SALE**

Select the **Curio/Relic Long Gun Sale** transaction type when the firearm being purchased meets the Curio / Relic long gun definition.

**To submit a Curio/Relic Long Gun Sale transaction:**

- 1) From the *Main Menu* page, select the **Submit DROS** link. The *Select Transaction Type* page will display.
- 2) Select the **Curio/Relic Long Gun Sale** link. The *Submit Curio / Relic Long Gun Sale* form will display.
- 3) Enter the Purchaser Information (see Entering Purchaser and Seller Information above).
- 4) Enter the Transaction and Firearm Information as follows:
  - a. **Gun Show Transaction** – Select **Yes** or **No** from the drop down list.
  - b. **Waiting Period Exemption** – If applicable, select a waiting period exemption:
    - **CFD Number** – Select **CFD** from the drop down list if the purchaser is an active licensed firearm dealer. Selecting the CFD number waiting period exemption displays a **Purchaser CFD Number** field. Enter the purchaser's valid CFD number.
    - **Collector** – This waiting period exemption requires a valid 03 FFL and COE. Enter the purchaser's valid COE. You must keep a copy of the 03 FFL and COE on file.
    - **Peace Officer** – This waiting period exemption requires a letter from a valid law enforcement agency. You must keep a copy of the letter on file.
    - **Special Weapons Permit** – Select **S Special Weapons Permit** from the drop down list if the purchaser has a valid Special Weapons permit.



## DES Application – Firearms and Ammunition Dealer User Guide

Selecting the Special Weapons permit exemption displays a **Special Weapons Permit Number field**. Enter the purchaser's Special Weapons permit number.

- c. **Receiver Only** – Select *Yes* or *No* whether the purchase is for a receiver only; if *Yes* is selected then the firearm caliber, additional caliber, barrel length, or unit of measure will not be available for updating.
- d. **Make** – Select the name of the firearm manufacturer from the **Make** drop down list. **Tip:** Opening the **Make** drop down list and typing the first character of the make will take you to that section of the list.
- e. **Model** – Enter the model of the firearm being purchased.
- f. **Caliber** – Select the caliber of the firearm from the **Caliber** drop down list.
- g. **Additional Caliber** – If appropriate, select any additional calibers from the **Additional Caliber** drop down list.
- h. **Barrel Length** – Enter the length of the firearm's barrel. The barrel length can be from 1 - 4 numbers, and may contain a decimal point. The barrel length may be reported in inches or centimeters.
- i. **Unit** – Select the barrel length unit of measure from the **Unit** drop down list.
- j. **Gun Type** – Select the type of long gun from the **Gun Type** drop down list.
- k. **Category** – Select the appropriate long gun category from the **Category** drop down list. **Note:** The Category drop down list is blank until a **Gun Type** is selected.
- l. **Serial Number** – Enter and then re-enter the serial number stamped on the firearm.
- m. **Other Number** – If applicable, enter an additional number stamped on the firearm.
- n. **Color** – Select the color of the firearm from the **Color** drop down list.
- o. **New/Used Gun** – Select whether the firearm is new or used from the **New/Used Gun** drop down list.
- p. **Firearm Safety Device (FSD)** – Select the method that the Purchaser is using to comply with the FSD requirements. (For information regarding Roster of Firearms Safety Devices Certified for Sale, see the Office of the Attorney General's website: <http://oag.ca.gov/firearms/fsdcertlist>.) **Note:** This field will not display when the waiting period exemption is for a peace officer.
  - **Antique** – Select this type if the firearm is an antique pursuant to federal law.
  - **Approved Lock Box** – Select this type if the FSD is a DOJ Certified Lock Box.



## DES Application – Firearms and Ammunition Dealer User Guide

- **FSD Purchased** – Select this type if the purchaser is purchasing a DOJ Certified FSD that is not included with the purchase of the firearm.
  - **OEM** – Select this type if the firearm being purchased comes with a Certified FSD from the manufacturer.
  - **Safe Affidavit** – Select this type if the purchaser provides an affidavit that they own a Certified FSD Gun Safe.
- q. **Comments** – Enter any additional pertinent information in the *Comments* field, if applicable.

**LONG GUN LOAN**

Loan between two California residents with an anticipated return to owner date.

**To submit a Long Gun Loan transaction:**

- 1) From the *Main Menu* page, select the **Submit DROS** link. The *Select Transaction Type* page will display.
- 2) Select the **Long Gun Loan** link. The *Submit Long Gun Loan* form will display.
- 3) Enter the Purchaser and Seller Information (see Entering Purchaser and Seller Information above).
- 4) Enter the Transaction and Firearm Information as follows:
  - a. **Gun Show Transaction** – Select *Yes* or *No* from the drop down list.
  - b. **Waiting Period Exemption** – If applicable, select a waiting period exemption:
    - **CFD Number** – Select **CFD** from the drop down list if the purchaser is an active licensed firearm dealer. Selecting the CFD number waiting period exemption displays a **Purchaser CFD Number** field. Enter the purchaser's valid CFD number.
    - **Peace Officer** – This waiting period exemption requires a signed letter (wet signature) from the head of their law enforcement agency. You must keep a copy of the letter on file.
    - **Special Weapons Permit** – Select **Special Weapons Permit** from the drop down list if the purchaser has a valid Special Weapons permit. Selecting the Special Weapons permit exemption displays a **Special Weapons Permit Number field**. Enter the purchaser's Special Weapons permit number.
  - c. **Receiver Only** – Select *Yes* or *No* whether the purchase is for a receiver only; if *Yes* is selected then the firearm caliber, additional caliber, barrel length, or unit of measure will not be available for updating.





## DES Application – Firearms and Ammunition Dealer User Guide

- d. **Make** – Select the name of the firearm manufacturer from the **Make** drop down list. **Tip:** Opening the **Make** drop down list and typing the first character of the make will take you to that section of the list.
- e. **Model** – Enter the model of the firearm being purchased.
- f. **Caliber** – Select the caliber of the firearm from the **Caliber** drop down list.
- g. **Additional Caliber** – If appropriate, select any additional calibers from the **Additional Caliber** drop down list.
- h. **Barrel Length** – Enter the length of the firearm's barrel. The barrel length can be from 1 - 4 numbers, and may contain a decimal point. The barrel length may be reported in inches or centimeters.
- i. **Unit** – Select the barrel length unit of measure from the **Unit** drop down list.
- j. **Gun Type** – Select the type of long gun from the **Gun Type** drop down list.
- k. **Category** – Select the appropriate long gun category from the **Category** drop down list. **Note:** The Category drop down list is blank until a **Gun Type** is selected.
- l. **Serial Number** – Enter and then re-enter the serial number stamped on the firearm.
- m. **Other Number** – If applicable, enter an additional number stamped on the firearm.
- n. **Color** – Select the color of the firearm from the **Color** drop down list.
- o. **Comments** – Enter any additional pertinent information in the **Comments** field, if applicable.

## 11. PREVIEWING, PRINTING, AND SUBMITTING/DELIVERING FIREARM DROS TRANSACTIONS

### PREVIEWING FIREARM DROS TRANSACTIONS

Once all of the DROS information has been entered, you will preview the DROS report by clicking on the **Preview** button. If any information is missing or entered incorrectly, an error message will display. If the system doesn't detect any problems with the DROS, a preview of the DROS report will display. **Verify that the information entered is correct.** If you find a mistake, click on the **Back** button, and you will be returned to the form and may correct the transaction. If the DROS preview is correct, you must click on the DROS payment agreement before proceeding.



California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

**SUBMITTING FIREARM DROS TRANSACTIONS**

Upon checking the DROS payment agreement box, the **Add to Pending Purchases** button will display. Clicking on the **Add to Pending Purchases** button adds the transaction to the Pending Purchase(s) Cart.

You must check this box to add to Pending Purchase(s).

I understand that upon final submission of my Pending Purchase(s), I will be billed and agree to pay a non-refundable transaction fee of \$ 25.00 to the Department of Justice. ☐ After checking the box to accept the fee associated with the transaction, you will be able to add the DROS to your pending purchase(s), or post this process.

Back Add to Pending Purchases Print

Transaction has been successfully uploaded to your pending purchase(s). Click Submit Final to submit transaction.

### Pending Purchase(s)

Pending Purchase(s)

Total items: 1

Name:

DOB:

ID:

Serial Number	Make	Model	Firearm Type	Transaction Type
123	ACCU-TEK	AT-380 II	PISTOL	Dealer Handgun

Please click buttons only once. Multiple clicks will delay processing.

Submit Final Empty Purchases Add Firearm

From the Pending Purchase(s) Cart, you will have the option to review the submitted transaction, “**Submit Final**,” “**Empty Purchases**,” or “**Add Firearm**.”

- 1) Clicking on the Serial Number of the firearm will take you back to the DROS transaction where you can preview the submitted transaction.
- 2) Clicking “**Submit Final**” will submit the DROS transaction(s).
- 3) Clicking “**Empty Purchases**” will empty your Pending Purchase(s) cart and take you back to the Main Menu.
- 4) Clicking “**Add Firearm**” will take you back to the Handgun and Long Gun Transaction page to add additional transactions.

**Submit Final**

- 1) Clicking “**Submit Final**” will submit the DROS transaction(s). The pop up message “Press ‘OK’ to continue, or Cancel to stay on this page” will display. If you wish to “**Submit Final**” press ‘OK.’
- 2) After clicking ‘OK’ the “**Pending**” DROS Report containing a DROS number, transaction date and time, and the earliest and latest delivery dates and times displays.

**IMPORTANT:** CFD’s (or its sales personnel) shall sign and obtain the purchaser(s) signature on both the “Pending” DROS document and the approved “Delivered” DROS document.

California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

**SUBMITTING FIREARM DROS TRANSACTIONS WITH WAITING PERIOD EXEMPTIONS**

- 1) If the purchaser claiming a waiting period exemption intends to take immediate delivery of the firearm, Click **“Go to Main Menu”** on the top left corner.

What would you like to do next?  
Print this DROS. You will remain on this page and still be able to select from the options below.

**Go to the Main Menu**

State of California  
Department of Justice  
Bureau of Firearms

Dealer's Record of Sale of Firearm

DROS NUMBER: STATUS: PENDING

- 2) From the *Main Menu* page, click on the **Deliver Gun/Review DROS**. The *Search DROS* page will display.
- 3) Enter the purchasers first, last name or DROS number:
  - a. Partial or complete Last Name
  - b. Partial or complete First Name
  - c. Complete DROS Number

**Note:** For the most accurate result, search by DROS number.

- 4) Click on the **Search** button. The system will display a list of all matching records.

**Search DROS**

Last Name First Name DROS Number Status

Search Clear Form Main Menu

Please click buttons only once

- 5) The DROS will display allowing you to select two options, **“Add Ammunition Transaction and Deliver Gun”** or **“Deliver Gun.”**
- 6) If the firearm is eligible to be delivered and the purchaser would like to Add Ammunition to their firearm Transaction select **“Add Ammunition Transaction and Deliver Gun.”**

State of California  
Department of Justice  
Bureau of Firearms

Dealer's Record of Sale of Firearm

DROS NUMBER: STATUS: PENDING

TRANSACTION DATE/TIME: 05/15/2019 08:32:08 AM  
EARLIEST DELIVERY DATE/TIME: 05/15/2019 08:32:08 AM  
LATEST DELIVERY DATE/TIME: 05/15/2019 08:32:38 AM

ORIGINATED INFORMATION

**Add Ammunition Transaction and Deliver Gun** Deliver Gun

**ADD AMMUNITION AND DELIVER GUN WITH AN APPROVED FIREARM DROS**

- 1) You will be taken to the **“Ammunition Purchase Type”** page. Select **“Ammunition Sale”** to submit an Ammunition Transaction. **Note:** The purchaser's information will be auto populated from the firearm DROS Transaction.



California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

### Select Ammunition Purchase Type

Ammunition Purchase

**Ammunition Sale**

Private Party Ammunition Transfer

Pending Purchase(s)

You have no pending purchases.

Please click buttons only once. Multiple clicks will delay processing.

Main Menu

- 2) Enter the Ammunition Information and select “*Preview.*”

Transaction and Ammunition Information

Inventory Code Select	*Manufacturer Select	*Condition Select	Bullet Type Select
Bullet Weight Select	Usage Type Select	Casing Select	*Caliber Select Caliber
*Quantity (Rounds) Select	Primer Type Select	Muzzle Velocity Select	Unit Select
		Muzzle Energy Select	Unit Select
			Cost/Round Select

Please click buttons only once. Multiple clicks will delay processing.

Back

Preview

Clear

- 3) A Dealer’s Record of Sale of Ammunition will display. If the DROS preview is correct, you must click on the DROS payment agreement. Upon checking the DROS payment agreement box, the **Add to Pending Purchases** button will display. Clicking on the **Add to Pending Purchases** button adds the transaction to the Pending Purchase(s) Cart.
- 4) In the **Pending Purchase(s)** cart you can deliver the Firearm and Ammunition DROS by selecting “**Deliver.**” If the purchaser would like to purchase additional ammunition select “**Add Ammunition.**”

California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

Transaction has been successfully uploaded to your pending purchase(s). Click Deliver to submit transaction.

Pending Purchase(s)

Pending Purchase(s) Total items: 1

Name:  DOB:  ID:

DROS #	Serial Number	Make	Firearm Type	Transaction Type
	41	BERETTA	PISTOL	DEALER_HANDGUN
Manufacturer	Caliber	Condition	Quantity (Rounds)	
MAIL	400 COR-BON	NEW	10	

Please click buttons only once. Multiple clicks will delay processing.

- Click **Deliver** to deliver the firearm and ammunition transaction. The pop up message "Press 'OK' to continue, or Cancel to stay on this page" will display. If you wish to "Submit Final" press 'OK'.

- The Dealer's Record of Sale of Firearm and Ammunition will display.

**IMPORTANT:** if you proceed with the submission of the transactions you must "Print DROS" on the next screen as that will be your only opportunity to generate a printed DROS Ammunition copy for customer signature.

Clicking Deliver will submit the transaction.  
Press 'OK' to continue, or Cancel to stay on this page. ATTENTION: If you proceed with the submission of this transaction, please remember to select 'Print DROS' on the next screen (upper left hand corner) as that will be your only opportunity to generate a printed DROS Ammunition copy for customer signature.

- If the firearm is eligible to be delivered and you wish to deliver the firearm and the purchaser **DOES NOT** want to add ammunition to their transaction, click **Deliver Gun**. The pop up message "If you press 'OK', then you will not be able to buy ammo using this background check" will display. If you select "OK", the transaction will be delivered.
- The system will record the time and date that the firearm was delivered, as well as the DES user who delivered the firearm.

**The DROS has been marked as Delivered successfully.**

What would you like to do next?

- [Print this DROS \(you will remain on this page and still be able to select from the options below\)](#)
- [Back to Search Result List](#)

Dealer's Record of Sale of Firearm

**DROS NUMBER:**

TRANSACTION DATE/TIME: 06/19/2019 08:53:32 AM  
EARLIEST DELIVERY DATE/TIME: 06/19/2019 08:53:32 AM  
LATEST DELIVERY DATE/TIME: 07/19/2019 08:53:32 AM

**STATUS: PENDING**

DELIVERY DATE/TIME: 06/19/2019 08:54:13 AM



## DES Application – Firearms and Ammunition Dealer User Guide

### PRINTING DROS TRANSACTIONS

Click on the **Print this DROS** in the upper left hand corner of the page. The DROS will print to your local printer.

### Completing the DROS:

- 1) The purchaser, salesperson, and, if applicable, seller must sign the printed DROS.
- 2) The purchaser, transferee, loanee shall provide their right thumbprint in the *Purchaser's Right Thumb Print* box next to the *Purchaser's Signature* area on the **Delivered DROS**.
- 3) Keep a copy of the DROS Report at your place of business.

### SUBMITTING ADDITIONAL DROS TRANSACTIONS

If applicable, more than one DROS transaction may be submitted under a single DROS submission. Additional DROS transactions will **not** incur any additional DROS fees.

**IMPORTANT:** If you are entering multiple firearm DROS transactions for a single purchaser you must click on the **Add Firearm** button in order to avoid additional DROS fees. If you leave the DROS page (for example, by clicking on the **Empty Purchases** button or by clicking on the **Log Off DES** link), you will not be able to go back to the submission, and will be required to start a new DROS submission, and will therefore be charged an additional DROS fee. You may enter a combination of any of the DROS transaction types (provided that the purchaser has the appropriate 30-day exemption, if required).

Transaction has been successfully uploaded to your pending purchase(s). Click Submit Final to submit transaction.

### Pending Purchase(s)

#### Pending Purchase(s)

Name:  DOB:  ID:

Serial Number	Make	Model	Firearm Type	Transaction Type
1	GERMAN SPORT GUNS	GSG-922CA	PISTOL	Dealer H

Total items: 1

To enter an additional Firearm DROS for the same purchaser, you must click this link to avoid additional DROS charges. Click Add Firearm.

Please click buttons only once. Multiple clicks will delay processing

Submit Final

Empty Purchases

Add Firearm

### To submit additional DROS transactions:

- 1) Click on the **Add Firearm** button. The **Select Transaction Type** page displays.
- 2) Click on desired Transaction Type.
- 3) Complete the required fields as per the instructions above in this section, with the following exceptions:

#### Exceptions:

- 1) Purchaser information will be automatically loaded, and will not be editable.



California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

- 2) Firearms eligibility questions must be answered for each transaction.
- 3) The system will prevent a purchaser from buying multiple handguns that fall under the 30-day restriction rule, unless the purchaser has a 30-day restriction exemption. The 30-day restriction exemption box must be checked for each applicable firearm.
- 4) The HSC/FSC number or HSC/FSC exemption code must be entered on the first handgun transaction for the submission, but once it has been entered it will be applied to any subsequent handgun transactions.
- 5) On the **Preview Screen** for subsequent transactions, the DROS payment agreement box must be checked in order to proceed with the submission; however, the DROS payment will be for a zero dollar amount.
- 6) Once the transaction has been successfully uploaded to your pending purchase(s). Click **Submit Final** to submit transaction.
- 7) Clicking **Submit Final** will submit the DROS transaction(s). Press 'OK' to continue, or Cancel to stay on this page.
- 8) Click on the **Print the DROS** link for each transaction and complete each printed DROS as instructed on the previous page.

**What would you like to do next?**

- [Print this DROS \(you will remain on this page and still be able to select from the options below\)](#)
- [Go to the Main Menu](#)



**Dealer's Record of Sale of Firearm**

- 9) Once the Final DROS transaction has been completed for the entire submission (i.e., all firearms purchased for a single purchaser), click on **Go to the Main Menu** or **Log Off DES**.

**REVIEWING A PREVIOUSLY ENTERED DROS**

Once the DROS transaction has been submitted, you can view the DROS, re-print the firearm DROS, and review a delivered DROS after you release the firearm to the purchaser.

- 1) From the *Main Menu* page, click on the **Deliver Gun/Review DROS** link. The *Search DROS* page displays.
- 2) Enter the purchaser or DROS information that you want to search:
  - a. Partial or complete Last Name
  - b. Partial or complete First Name
  - c. DROS Number
  - d. DROS Status (*Approved, Canceled, Delayed, Denied, Pending, Rejected, and Undetermined*) **Note:** For the most accurate result, search by DROS number.

California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

- 3) Click on the **Search** button to query your transaction. The system will display a list of all matching records.
- 4) Clicking on the DROS number from the *Search Result* will take you to the selected DROS.

Search DROS

Last Name     First Name     DROS Number    Status  
APPROVED

Please click buttons only once

Search Results

DROS Number	Name of Purchaser	Notice Date	Reviewed Date	Delivered Date	Delivered By
				05/22/2019 05:12 PM	I
				05/22/2019 09:16 AM	I
			05/23/2019 11:26 AM		
			05/23/2019 11:26 AM		

**DELIVERING FIREARM TRANSACTIONS**

Only if the firearm DROS has been approved, or if the purchaser claimed a waiting period exemption will the **Deliver Gun** button appear. Follow the steps below to locate an approved DROS and Deliver Gun.

- 1) Search for the approved DROS on the **Search DROS** page.
- 2) After selecting the DROS transaction, the firearm DROS will display.
- 3) Click on **"Deliver Gun."**

**IMPORTANT:** If you click **"Deliver Gun,"** the gun will be delivered and you will not be able to use the approved firearm background to purchase ammunition. Follow the steps outlined in Section 11, *Add Ammunition Transaction to an Approved Firearm DROS*, if you would like to add ammunition and deliver gun in the same transaction.

- 4) The pop up "Press **OK** to continue, or **Cancel** to stay on this page" will populate. If you press "OK" the firearm will be **"Delivered."**



Dealer's Record of Sale of Firearm

**DROS NUMBER:**  
TRANSACTION DATE/TIME: 05/02/2019 09:08:55 AM  
EARLIEST DELIVERY DATE/TIME: 05/12/2019 09:08:55 AM  
LATEST DELIVERY DATE/TIME: 06/01/2019 09:08:55 AM

STATUS: APPROVED

Add Ammunition Transaction and Deliver Gun

Deliver Gun

- 5) Click **Print the DROS**
- 6) To re-print the firearm DROS, click on the **Print this DROS** link towards the top of the page.



## DES Application – Firearms and Ammunition Dealer User Guide

**IMPORTANT:** When the purchaser is ready to pick up their firearm, the ***Deliver Gun*** button must be clicked. The system will record the time and date that the firearm was delivered, as well as the DES user who delivered the firearm.

**Firearm DROS Documentation Reminders:**

- **Signature Requirements:** CFDs (or its sales personnel) shall sign and obtain the purchaser(s) signature on both the “Pending” DROS document and the approved “Delivered” DROS document. (Pen. Code, § 28160.)
- **Thumbprint Requirements:** CFDs shall obtain the purchaser’s right thumbprint on the approved “Delivered” DROS document. The Dealer COE Holder, authorized associate, or salesperson will attempt to record the right thumbprint by using the pad on the last joint. (Pen. Code, § 28160, subd. (b).)
- **Age Requirement:** CFDs shall not sell, supply, deliver, or give possession or control of a firearm to any person under 21 years of age. (Pen. Code, § 27510, subd. (a).)
- **DROS Firearm documentation:** The DROS printout signed by the purchaser and dealer must be retained for three years. (Pen. Code, § 28215, subd. (c).)
- **DROS Ammunition documentation:** Collect the purchaser and salesperson’s signature on the Dealer’s Record of Sale of Ammunition printout. Records must be maintained and available for inspection for five years. (Pen. Code, § 30355.)

**CORRECTING A DROS**

Once a DROS transaction has been submitted to the DOJ, the system will allow a single correction to be made to the firearm information of the DROS, as long as the DROS is in one of the following statuses:

- Pending
- Delayed
- Approved
- Approved & Delivered

**To make a correction to the DROS:**

- 1) From the *Main Menu*, click on the ***Correct DROS*** link. The *Search DROS* page will display
- 2) Enter the information that you want to search:
  - a. Partial or complete Last Name
  - b. Partial or complete First Name
  - c. DROS Number **Note:** For the most accurate result, search by DROS number.



California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

- 3) Click on the **Search** button. The system will display a list of all matching records.
- 4) Click on the DROS number of the DROS you would like to correct. The details of the DROS will display.

**Note:** Only those fields within the Firearm Information section where the information appears in a text box or drop down can be edited, and of those editable fields, only one item can be changed. If personal information must be corrected, the DROS must be cancelled and a new DROS transaction must be submitted.

- **Exception:** If the serial number is modified, the re-entry of the new serial number is also required.
  - In the case of a Dealer Handgun DROS, the firearm description is considered one item and consists of: the make, model, caliber, barrel length, unit of measure, material, and category.
- 5) If no fields appear in text boxes, the DROS has already been corrected. If additional corrections must be made, the DROS must be cancelled and a new DROS transaction must be submitted.

Transaction and Firearm Information

30-Day Restriction Exemption NO	Gun Show Transaction? NO	Waiting Period Exemption NONE
------------------------------------	-----------------------------	----------------------------------

*Make NIGHTHAWK CUSTOM	*Model Predator (Sniper Gray)
---------------------------	----------------------------------

Caliber 45 ACP	Barrel Length 5	Unit in	Material STEEL	Category SEMI-AUTOMATIC
-------------------	--------------------	------------	-------------------	----------------------------

*Serial Number 654654	*Re-enter Serial Number 654654	Other Number	*Color TURQUOISE
--------------------------	-----------------------------------	--------------	---------------------

New/Used Gun NEW	Firearm Safety Device (FSD) FSD Purchased	Gun Type HANDGUN
---------------------	--	---------------------

Comments

Information that displays in a text box can be corrected.

- 6) Make the desired changes to the information.
- 7) Click on the **Preview** button. A preview of the modified DROS displays.
- 8) Click on the **Submit Final** button to submit the change to the DOJ. The DROS Report displays.
- 9) Print the corrected DROS by clicking on the **Print This DROS** link.



## DES Application – Firearms and Ammunition Dealer User Guide

**CANCELING A DROS**

You may cancel a DROS that is any of the following statuses:

- Pending
- Delayed
- Approved
- Approved & Delivered

**To Cancel a DROS:**

- 1) From the *Main Menu* page, click on the **Cancel DROS** link.
- 2) The *Search DROS* page will display.
- 3) Enter the information that you want to search:
  - a. Partial or complete Last Name
  - b. Partial or complete First Name
  - c. DROS Number **Note:** For the most accurate result, search by DROS number.
- 4) Click on the **Search** button. The system will display a list of all matching records.
- 5) Click on the DROS number of the DROS you would like to cancel. The details of the DROS will display.
- 6) Click on the **Cancel DROS** button at the bottom of the page.
- 7) You will be asked to confirm the cancellation.
- 8) The DROS is displayed with a canceled status.
- 9) You can print the canceled DROS by clicking on the **Print this DROS** link.

**12. HOW TO ADD AMMUNITION AND DELIVER GUN WITH AN APPROVED FIREARM DROS**
**OVERVIEW**

If a firearm DROS has an approved status and the purchaser would like to purchase ammunition, you can add ammunition to the DROS transaction and deliver the gun and ammunition at the same time by following the steps below.

**SEARCH DROS AND ADD AMMUNITION TRANSACTION TYPE**

- 1) Search for the approved DROS on the **Search DROS** page. **Note:** Only if the firearm DROS has been approved, or if the purchaser claimed a waiting period exemption, the DROS will display the **Add Ammunition Transaction and Deliver Gun** button.
- 2) After selecting the DROS transaction, the firearm DROS will display. Click on **Add Ammunition Transaction and Deliver Gun**.

California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

**IMPORTANT:** If you click “*Deliver Gun*” the gun will be delivered and you will not be able to use the approved firearm background to purchase ammunition.

Dealer's Record of Sale of Firearm

DROS NUMBER:  
TRANSACTION DATE/TIME: 05/02/2019 09:08:55 AM  
EARLIEST DELIVERY DATE/TIME: 05/12/2019 09:08:55 AM  
LATEST DELIVERY DATE/TIME: 06/01/2019 09:08:55 AM

STATUS: APPROVED

Add Ammunition Transaction and Deliver Gun Deliver Gun

- 3) The **Select Ammunition Purchase Type** page will display.
- 4) Click on the desired **Ammunition Transaction Type**.
- 5) The purchaser information will be automatically loaded, and will not be editable.
- 6) Enter the Transaction and Ammunition Information. **Note:** \* indicates required field.
  - a. **Inventory Code**- Title of Frequently sold ammunition
  - b. \***Manufacturer**- Type the name of the person or company that made the ammunition.
  - c. \***Condition**- Select whether the ammunition is new, reloaded, or used from the **Condition** drop down list.
  - d. **Bullet Type**- Select from the **Bullet Type** drop down list.
  - e. **Bullet Weight**- If applicable, typically measured in units of mass called grains.
  - f. **Usage Type**- Select from the **Usage Type** drop down list.
  - g. **Casing**- Select from the **Casing** drop down list.
  - h. \***Caliber**- Select the caliber of the ammunition from the **Caliber** drop down list.
  - i. \***Quantity (Rounds)** - Enter the Quantity amount
  - j. **Primer Type**- Select from the **Primer Type** drop down list.
  - k. **Muzzle Velocity**- If applicable, the speed of the projectile when fired.
  - l. **Unit**- Select 'Feet per Second' or 'Meter per Second' from the **Unit** drop down list.
  - m. **Muzzle Energy**- If applicable, kinetic energy of the projectile when fired.
  - n. **Unit**- Select 'Foot Pound Force' or 'Joule' from the **Unit** drop down list.
  - o. **Cost/Round**- If applicable, cost of each round in USD.
- 7) Once all of the Ammunition information has been entered, you will preview the DROS report by clicking on the **Preview** button.
- 8) On the **Preview Screen**, the DROS payment agreement box must be checked in order to proceed with the submission. The DROS payment will be for a zero dollar amount as you are using an approved firearm DROS to “*Add an Ammunition Transaction and Deliver a Gun*” in the same transaction.



California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

**ADD AMMUNITION TO PENDING PURCHASE(S) CART**

- 1) Upon checking the DROS fee agreement box, the **Add to Pending Purchases** button displays. Clicking on the **Add to Pending Purchases** button sends the transaction to the Pending Purchase(s) Cart.

I understand that upon submission of this DROS transaction I will be billed and agree to pay a non-refundable fee of \$0 to the Department of Justice. ☒ (after checking the box to accept the fee you will be able to submit this DROS or print this preview)

Back

Cancel

Add to Pending Purchases

Print

- 2) If the purchaser would like to add additional ammunition types to the transaction, click **Add Ammunition** and repeat steps 6 through 9 outlined on the previous page until all ammunition types have been added to the **Pending Purchase(s) Cart**.

**DELIVERING AMMUNITION AND GUN FROM PENDING PURCHASE(S) CART**

- 1) Once you have confirmed the purchaser would not like to add any additional ammunition to the transaction, click **Deliver**.
- 2) The pop up “Press ‘**OK**’ to continue, or **Cancel** to stay on this page” will populate. If you press “**OK**” the firearm and ammunition will be “**Delivered**” and the firearm and ammunition transaction(s) will be recorded in the purchaser’s name.

☒ Transaction has been successfully uploaded to your pending purchase(s). Click Deliver to submit transaction.

Pending Purchase(s)

Pending Purchase(s)

Total items: 1

Name:  DOB:  ID:

DROS #	Serial Number	Make	Firearm Type	Transaction Type
<input type="text"/>	ABC	BERSA	PISTOL	DEALER_HANDGUN
Manufacturer	Caliber	Condition	Quantity (Rounds)	
DOJ	250-3000 SAVAGE	NEW	200	

Please click buttons only once. Multiple clicks will delay processing.

Deliver

Empty Purchases

Add Ammunition

**IMPORTANT:** If you proceed with the submission of this transaction, please remember to select **Print DROS** on the next screen (upper left hand corner) as that will be your only opportunity to generate a printed DROS Ammunition copy for customer signature.



## DES Application – Firearms and Ammunition Dealer User Guide

Clicking Deliver will submit the transaction.  
Press OK to continue, or Cancel to stay on this page. ATTENTION: If you proceed with the submission of this transaction, please remember to select Print DROS on the next screen (upper left hand corner) as that will be your only opportunity to generate a printed DROS Ammunition copy for customer signature.

OK Cancel

- 3) Click ***Print the DROS***
- 4) To re-print the firearm DROS, click on the ***Print this DROS*** link towards the top of the page.

### 13. ACQUISITION TRANSACTIONS

#### OVERVIEW

Acquisition transactions are required for firearm dealers, secondhand dealers, or pawnbrokers to report information regarding the acquisition of a firearm to the DOJ. When you log into the DES application, the system checks for an active firearms dealer, secondhand dealer, and/or pawnbroker license through the Centralized List database and will display the appropriate acquisition types for selection:

- All firearm dealers have access to the Buy transaction type.
- Secondhand dealers have access to the Buy and Consignment transaction types.
- Pawnbrokers have access to the Buy, Consignment, and Pawn transaction types.

#### ASSAULT WEAPONS

By law, assault weapons are not allowed for Pawn or Consignment transactions at any time.

Assault weapons are permissible on a Buy transaction only if you have an Assault Weapon permit. If you do not have an Assault Weapon permit, you will not be allowed to submit an Assault Weapon Buy transaction.

#### Before you can perform an Acquisition transaction

- 1) Your DES account must be setup with the ***Enter Transaction*** permission.
- 2) If you are associated to more than one dealership, you must select the dealership that you want to be associated with for your DES session before you can submit an Acquisition transaction.
- 3) You must review any unread DOJ Information Bulletins prior to submitting an Acquisition transaction.
- 4) You must acknowledge any Urgent DROS Firearms Eligibility Notices prior to submitting an Acquisition transaction.



## DES Application – Firearms and Ammunition Dealer User Guide

**ENTERING ACQUISITION TRANSACTIONS**

- 1) From the *Main Menu* page, select the **Submit Acquisition** link. If you have a valid Secondhand Dealer or Pawnbroker license, the system will display the *Select Acquisition Transaction Type* page for all other users, the system will display the *Enter Buy Transaction Details* page with the Transaction Type of *Buy* pre-selected.

**Select Acquisition Transaction Type**

Buy

Consignment ← You must have an active Secondhand Dealer license for Consignment to display.

Pawn ← You must have an active Pawnbroker license for Pawn to display.

Please click buttons only once. Multiple clicks will delay processing.

[Main Menu](#)

- 2) From the *Select Acquisition Transaction Type* page, select the type of transaction that you wish to perform; the entry form will display.
- 3) Swipe the seller's driver license or identification card through the magnetic card swipe reader.
- 4) Click on the **Submit** button in the **Swipe CA Driver License or ID Card** area.
- 5) Verify that the data displays correctly. **Note:** If the information will not scan, you must manually enter the information.
- 6) Correct information as necessary.
- 7) Complete all applicable fields.

**Tips for entering Seller/Transferor Information:**

- **Single Name** – If the seller/transferor has a single name (example: Wasp, Sky, Rebel), enter the single name in the Last Name field and enter an asterisk (\*) in the First Name field; Suffix and Middle Name fields must remain blank.
- **Seller's/Transferor's City** – The city will automatically appear based on the zip code. However, if the zip code has more than one city name or variation listed, you will need to select the correct city name from the City drop down list.
- **Date of Birth** – The seller/transferor must be 21 years or older.
- **ID Information** – There are eight forms of valid identification for seller/transferor to verify their identity. The following are the requirements for each type of ID:
  - **CA Driver License** – Must be 1 alpha in the first position, followed by 7 numbers.





## DES Application – Firearms and Ammunition Dealer User Guide

- **CA ID Card** – Must be 1 alpha in the first position, followed by 7 numbers.
- **Canadian Driver License** – Maximum 11 characters and the system will automatically display Canada as the Issuing Country.
- **Foreign Passport** – Maximum 11 characters and you must pick the country that issued the passport from the Issuing Country drop down list.
- **DOD ID** – Must be 9 to 10 numbers (no alphas allowed).
- **Out of State Driver License** – Maximum 11 characters and you must pick the issuing state from the Issuing State drop down list.
- **Out of State ID Card** – Maximum 11 characters and you must pick the issuing state from the Issuing State drop down list.
- **Passport Number** – Maximum 11 characters and the system will automatically display USA as the Issuing Country.

**Note:** Although Non-CA identifications are allowed, a firearm can only be delivered to a person who provides clear evidence of the person's identity and age: a valid CA driver license or a valid CA ID.

- 8) Enter all required and any optional information in the *Firearm Transaction Information* Section.

**Tips for entering Firearm Transaction Information:**

- **Transaction Type** – The transaction type that you selected from the Select *Acquisition Transaction Type* page will display as read only in this field. Verify that you entered the correct type, and, if not, click on the **Back** button to return to your selection options. **Note:** If you don't have a Pawn or Secondhand Dealer's license, the system will automatically select the Buy transaction type.
  - **Loan/Buy Number** – This is the number that your business uses to track transactions (or the number in the Acquisition and Disposition book). Enter alphas, numbers, or common punctuation characters in this field.
- 9) Once all of the Acquisition information has been entered, preview the Firearm Acquisition Report by clicking on the **Preview** button. If any information is missing or entered incorrectly, an error message will display. If the system doesn't detect any problems with the page, a preview of the Firearm Acquisition Report will display. Click the **Print** button located at the bottom of the preview screen. The seller/transferor must verify that the information is correct. If they find a mistake, click on the **Edit Details** button, and you will be returned to the entry page and may correct the transaction. If the Firearm Acquisition Report Preview is correct, the seller/transferor must initial the printed preview report.

California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide



**SELLER/TRANSFEROR'S INITIALS** *I have reviewed the SELLER/TRANSFEROR INFORMATION and the FIREARM DETAILS shown on this form and understand that once this information is submitted by the dealer, I must go through the DROS process and pay associated fees to redeem my firearm.*

- 10) Once you have previewed and printed the Firearm Acquisition Report, the **Submit** button will display.
- 11) To submit the transaction to the DOJ, click **Submit**.

**IMPORTANT:** Once the transaction has been submitted, no further changes can be made. The seller/transferor would now be required to go through the DROS process to get the firearm back.

**Note:** Although Non-CA identifications are allowed, a firearm can only be delivered if clear evidence of the person's identity and age is established: a valid CA driver license or a valid CA ID.

- 12) The Final Firearm Acquisition Report will be displayed, and will have the unique FDAS transaction number in the top, right corner.
- 13) Print the Final Firearm Acquisition Report and obtain the seller/transferor's signature and right thumb print.

☒ **SELLER/TRANSFEROR'S SIGNATURE** *I certify under penalty of perjury that to my knowledge and belief the information above is true and complete and I am the owner, or have the authority of the owner, to sell or pledge the property.*

☒ **DEALER/EMPLOYEE'S SIGNATURE** *I certify under penalty of perjury under the laws of the State of California that I am a Firearms Dealer licensed pursuant to Penal Code section 26700, and that my license is valid.*

Seller/Transferor's  
Right Thumb Print

- 14) You must sign the final report.
- 15) Keep copies of all final Firearm Acquisition Reports at your place of business.

**Note:** Per Business and Professions Code section 21636, subdivision (a), all tangible personal property acquired is subject to a 30-day holding period; a DROS transaction may be submitted on the 21st day to allow for the 10-day waiting period.

**ENTERING ADDITIONAL ACQUISITIONS TRANSITIONS FOR THE SAME SELLER/TRANSFEROR**

Once you have printed the final Acquisition Transaction Report, you will have the option to enter another firearm for the same seller/transferor. You can only use this function if you are doing the same type of transaction for the seller/transferor. If the seller/transferor wants to pawn one firearm and consign another firearm, you must return to the Main Menu and choose the different transaction type.





## DES Application – Firearms and Ammunition Dealer User Guide

**To enter additional Acquisition transactions for the same seller/transferor:**

- 1) Once you have printed the final Acquisition Transaction Report, click on the **New Transaction, Same Seller** button. The system will display a new acquisition entry screen with the seller/transferor information auto populated.
- 2) Enter the Firearm Transaction Information section with the information for the additional firearm.
- 3) Repeat and follow the direction in Section 10 as needed.

**VIEWING AND PRINTING ACQUISITION TRANSACTIONS.**

Once the Acquisition transaction has been submitted to the DOJ, you can use the DES application to view and re-print the Firearms Acquisition Report. The record will be available for 90 days after submission to the DOJ.

**To search for a previously submitted Acquisition:**

- 1) From the *Main Menu* page, click on the **View Acquisition** link. The *Search Acquisition* page displays.
- 2) Enter the information that you want to search:
  - a. Partial or complete Last Name
  - b. Partial or complete First Name
  - c. Loan/Buy Number

Or

  - d. Acquisition Number **Note:** For the most specific result, search by Acquisition number.
- 3) Click on the **Search** button. The system will display a list of all matching records.
- 4) Clicking on the loan/buy number from the search result will take you to the selected Firearm Acquisition Report.

To re-print the Firearm Acquisition Report, click on the **Reprint** link towards the bottom of the page.

## 14. AMMUNITION TRANSACTIONS

The Ammunition Transactions section contains links that allow you to:

- **Submit Eligibility Check** (must have the Enter Ammo Transactions permission)
- **Search Eligibility Check** (must have the Enter Ammo Transactions permission)
- **Review Eligibility Notices** (must have the Enter Ammo Transactions permission)
- **Submit Ammunition Purchase(s)** (must have the Enter Ammo Transactions permission)



## DES Application – Firearms and Ammunition Dealer User Guide

- **Search Frequently Sold Ammunition List** (must have the Manage Inventory permission)
- **Add Frequently Sold Ammunition** (must have the Manage Inventory permission)

Some of the above links may be hidden for the following reasons:

- **Dealership hasn't been selected** – If your account is associated to multiple dealerships, you must select the dealership that you wish to be associated with prior to viewing bulletins or notices, or conducting any type of DROS or Acquisition transaction.
- **Unviewed Information Bulletins** – When the BOF posts an Information Bulletin to DES, at least one user from each dealership must view and acknowledge the bulletin. Until the bulletin is viewed and acknowledged, users will be unable to view/submit DROS or Acquisition transactions or deliver a gun.
- **Unviewed Urgent Firearms Eligibility Notices** – When the BOF posts a Firearms or Ammunition Eligibility Notice for a DROS transaction, a user from the dealership must acknowledge the notice. Until the notice is acknowledged, users will be unable to view/submit DROS or Acquisition transactions or deliver a gun.

## 15. SUBMIT AMMUNITION ELIGIBILITY CHECKS

### OVERVIEW

All ammunition eligibility checks require the entry of purchaser information. Purchaser information will be captured by swiping the California Driver License or Identification Card through a magnetic card swipe reader. Any missing or incorrect information will be keyed directly into the appropriate fields.

#### Entering Purchaser Information:

- 1) Swipe the driver license or identification card through the magnetic card swipe reader.
- 2) Click on the **Populate Fields** button in the *Swipe CA Driver License or ID Card* area.



- 3) Verify that the data displays correctly. **Note:** If the information will not scan, you must manually enter the information.
- 4) Correct information as necessary.
- 5) Complete all applicable fields.

#### Tips:

- **Single Name** – If the purchaser or seller has a single name (example: Wasp, Sky, Rebel), enter the single name in the Last Name field and enter an asterisk (\*) in the first name field (Suffix and Middle Name fields must be blank).



## DES Application – Firearms and Ammunition Dealer User Guide

- **Purchaser's City** – The city will automatically appear based on the zip code; however, if the zip code has more than one city name or variation listed, you will need to select the correct city name from the City drop down list.
- **Citizenship** – If you select *NO* from the *U.S. Citizen* drop down list, the system will display additional fields that must be entered. Select the Country of Citizenship from the drop down list and enter either the Alien Registration number or the I-94 number. **Note:** These numbers can be found on the purchaser or seller's Permanent Resident card (Green Card) or I-94 Arrival/Departure card.
- **Telephone Number** – Is a required field for an ammunition eligibility check.

**16. TYPES OF AMMUNITION ELIGIBILITY****OVERVIEW**

An ammunition purchaser or transferee may request, through an ammunition vendor, the department to conduct a Standard Ammunition Eligibility, Basic Ammunition Eligibility or Certificate of Eligibility Check.

**STANDARD AMMUNITION ELIGIBILITY CHECK**

A purchaser or transferee is authorized to purchase ammunition if their information matches an entry in the Automated Firearm System and does not match an entry in the Prohibited Armed Person File. Follow the steps below to submit a *Standard Ammunition Eligibility Check*.

- 1) From the *Main Menu* page, select the **Submit Eligibility Check** link.

- 2) Under *Purchaser Eligibility Check* select **Standard Ammunition Eligibility Check** link.
- 3) Enter the Purchaser Information (see **Entering Purchaser Information** on the previous page).
- 4) Once all of the DROS information has been entered, you will preview the DROS report by clicking on the **Preview** button. If any information is missing or entered incorrectly, an



California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

error message will display. If the system doesn't detect any problems with the DROS, a preview of the DROS report will display. Verify that the information entered is correct. If you find a mistake, click on the **Back** button, and you will be returned to the form and may correct the transaction. If the DROS preview is correct, you must click on the DROS payment agreement box before proceeding.

You must check this box to see the Submit Final button.

I understand that upon submission of this DROS transaction I will be billed and agree to pay a non-refundable fee of \$ 1.00 to the Department of Justice. ☐

- 5) Upon checking the DROS payment agreement box, the **Submit Final** button displays. Clicking on the **Submit Final** button sends the transaction to the DOJ and generates a DROS number.

**IMPORTANT:** Once the **Submit Final** button has been clicked, your dealership will be charged for the transaction, and the transaction can no longer be edited. The DROS Report containing a DROS number and transaction date and time displays.

## BASIC AMMUNITION ELIGIBILITY CHECK

A purchaser or transferee is authorized to purchase ammunition if they are not prohibited from purchasing or possessing ammunition, subsequent to affirmation by the Department. Follow the steps below to submit a Basic Ammunition Eligibility Check.

- 1) From the *Main Menu* page, select the **Submit Eligibility Check** link.
- 2) Under *Purchaser Eligibility Check* select **Basic Ammunition Eligibility Check** link.
- 3) Enter the Purchaser Information (see **Entering Purchaser Information** on the previous page).

California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

- 4) Once all of the DROS information has been entered, you will preview the DROS report by clicking on the **Preview** button. If any information is missing or entered incorrectly, an error message will display. If the system doesn't detect any problems with the DROS, a preview of the DROS report will display. Verify that the information entered is correct. If you find a mistake, click on the **Back** button, and you will be returned to the form and may correct the transaction. If the DROS preview is correct, you must click on the DROS payment agreement box before proceeding.

You must check this box to see the Submit Final button.

\*I understand that upon submission of this DROS transaction I will be billed and agree to pay a non-refundable fee of \$ 19.00 to the Department of Justice. ☐

- 5) Upon checking the DROS payment agreement box, the **Submit Final** button displays. Clicking on the **Submit Final** button sends the transaction to the DOJ and generates a DROS number.

**IMPORTANT:** Once the **Submit Final** button has been clicked, your dealership will be charged for the transaction, and the transaction can no longer be edited. The DROS Report containing a DROS number and transaction date and time displays.

## CERTIFICATE OF ELIGIBILITY CHECK

A Purchaser or transferee is authorized to purchase ammunition if they hold a current Certificate of Eligibility, subsequent to verification by the department. Follow the steps below to submit a Certificate of Eligibility Check.

- 1) From the *Main Menu* page, select the **Submit Eligibility Check** link.
- 2) Under *Purchaser Eligibility Check* select **Certificate Eligibility Check** link.
- 3) Enter the Purchaser's Certificate of Eligibility (COE) Number.
- 4) Enter the Purchaser Information (see **Entering Purchaser Information** on the previous page).

California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

COE Check

☐ Person Information

Swipe CA Driver's License or ID Card

\*COE Number

\*First Name  Middle Name  \*Last Name  Suffix

\*Street Address  \*Zip Code  \*City  State

Gender  Hair Color  Eye Color  Height (feet/inches)  Weight  \*Date of Birth

\*ID Type  \*ID Number  \*Race  \*U.S. Citizen

\*Place of Birth  \*Telephone Number

Alias First Name  Alias Middle Name  Alias Last Name  Alias Suffix

Please click buttons only once. Multiple clicks will delay processing.

- 5) Once all of the DROS information has been entered, you will preview the DROS report by clicking on the **Preview** button. If any information is missing or entered incorrectly, an error message will display. If the system doesn't detect any problems with the DROS, a preview of the DROS report will display. Verify that the information entered is correct. If you find a mistake, click on the **Back** button, and you will be returned to the form and may correct the transaction. If the DROS preview is correct, you must click on the DROS payment agreement box before proceeding.

You must check this box  
to see the Submit Final

\*I understand that upon submission of this DROS transaction I will be billed and agree to pay a non-refundable fee of \$ 1.00 to the Department of Justice. ☐ (3)

- 6) Upon checking the DROS payment agreement box, the **Submit Final** button displays. Clicking on the **Submit Final** button sends the transaction to the DOJ and generates a DROS number.

**IMPORTANT:** Once the Submit Final button has been clicked, your dealership will be charged for the transaction, and the transaction can no longer be edited. The DROS Report containing a DROS number and transaction date and time displays.

## 17. SEARCH AMMUNITION ELIGIBILITY CHECK

### OVERVIEW

Once the Ammunition Eligibility Check has been submitted to the Department, you can use the DES application to view the eligibility check, re-print the eligibility check, and submit delivered ammunition to the purchaser.

**To search for a previously submitted ammunition eligibility check:**

- 1) From the *Main Menu* page, click on the **Search Eligibility Check** link. The *Ammunition Eligibility Check Results* page displays.



California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

- 2) Enter the information that you want to search:
  - a. Partial or complete Last Name
  - b. Partial or complete First Name
  - c. DROS Number
  - d. ID Number
  - e. Decision status **Note:** For the most accurate result, search by DROS number.
- 3) Click on the **Search** button. The system will display a list of all matching records.

**Ammunition Eligibility Check Results**

Last Name  First Name  DROS Number  ID Number

Decision

Please click buttons only once

**Search Results**

DROS Number	Name of Purchaser (First Middle Last)	ID Number	Decision	Type	Expiration Date
5	TEST PURCHASER		DENY/REJECT	Standard Ammunition Eligibility Check	

Displaying records 1 to 1 of 1 total records.

- 4) Clicking on the DROS Number from the *Ammunition Eligibility Check Results* will display the selected DROS.
- 5) The DROS will display with a current status indicating whether or not ammunition can be delivered. The ammunition eligibility check status' are:
  - a. **APPROVED** – The Department has determined the individual is eligible to purchase or possess ammunition.
  - b. **DENY/REJECT** – The Department has determined the individual is not eligible to purchase or possess ammunition. The person cannot continue with an ammunition purchase.
  - c. **IN PROGRESS** – Ammunition eligibility check is currently being processed by the Department.
  - d. **USED** – Individual has purchased and received ammunition in association with the eligibility check.
  - e. **EXPIRED** – The eligibility check was approved, but can no longer be used to complete a purchase of ammunition.
- 6) When the eligibility check has an APPROVED status, the **Purchase Ammunition** link will be available at the top of the screen. Clicking the link will allow the purchase of ammunition starting on the *Select Ammunition Purchase Type* page (See Section 18, *Submit Ammunition Purchase(s)*).



## DES Application – Firearms and Ammunition Dealer User Guide

**18. SUBMIT AMMUNITION PURCHASE(S)****OVERVIEW**

All Ammunition Eligibility checks require an APPROVED status to submit an ammunition purchase. There is no limit to the amount of ammunition that can be delivered using one eligibility check. Once the final delivery of ammunition purchase(s) is made, the eligibility check will change to the USED status.

**To submit ammunition purchase:**

- 1) From the *Main Menu* page, click on the **Submit Ammunition Purchase(s)** link. The *Select Ammunition Purchase Type* page displays.

**Select Ammunition Purchase Type****Ammunition Purchase**

Ammunition Sale

Private Party Ammunition Transfer

**Pending Purchase(s)**

You have no pending purchases

Please click buttons only once. Multiple clicks will delay processing.

[Main Menu](#)

- 2) Select either:
  - a. **Ammunition Sale** – Ammunition from the vendor inventory. Ammunition Sale will also cover any ammunition transferred from another California Ammunition Vendor or out of state ammunition retailer.
  - b. **Private Party Ammunition Transfer** – Ammunition transferred from one non-vendor to another non-vendor.
- 3) Verify the purchaser information.
  - a. Enter the fifteen digit Eligibility Check DROS Number. Click the **Verify** button.
  - OR**
  - b. Verify the pre-populated purchaser information from the **Search Eligibility Check** link.





California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

- 5) Once all of the DROS information has been entered, you will preview the DROS report by clicking on the **Preview** button. If any information is missing or entered incorrectly, an error message will display. If the system doesn't detect any problems with the DROS, a preview of the DROS report will display. Verify that the information entered is correct. If you find a mistake, click on the **Back** button, and you will be returned to the form and may correct the transaction. If the DROS preview is correct, you must click on the DROS payment agreement box before proceeding.

You must check this box to see the Submit Final button.

\*I understand that upon submission of this DROS transaction I will be billed and agree to pay a non-refundable fee of \$0 to the Department of Justice. ☐

- 6) After clicking on the DROS payment agreement box, the **Add to Pending Purchases** button and the **Print** button appear. Click the **Add to Pending Purchases** button to continue.
- 7) The Pending Purchase(s) page will display. Click the **Deliver** button to complete the ammunition purchase. Click the **Add Ammunition** button to select another ammunition purchase. Click the **Empty Purchases** button to clear the cart and return to the Main Menu page.

☒ Transaction has been successfully uploaded to your pending purchase(s). Click Deliver to submit transaction.

Pending Purchase(s)

Pending Purchase(s) Total items: 1

Name:  DOB:  ID:

Manufacturer	Caliber	Condition	Quantity (Rounds)
TESTER	12-GAUGE SHOTGUN	NEW	100

Please click buttons only once. Multiple clicks will delay processing.

- 8) Confirm the decision to deliver the pending purchase(s).

**IMPORTANT:** If you proceed with the submission of the transaction, please remember to select the **Print DROS** link on the next screen (upper left hand corner) as that will be the only opportunity to generate a printed DROS Ammunition copy for customer signature. Click the **OK** button.

Clicking Deliver will submit the transaction.  
Press OK to continue, or Cancel to stay on this page. ATTENTION: If you proceed with the submission of this transaction, please remember to select Print DROS on the next screen (upper left hand corner) as that will be your only opportunity to generate a printed DROS Ammunition copy for customer signature.

- 9) Click the **Print this DROS** link in the upper left hand corner of the page.

California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

✓ Your transaction is complete.

What would you like to do next?

Print this DROS (you will remain on this page and still be able to select from the options below)

Return to the Main Menu

Dealer's Record of Sale of Ammunition

**IMPORTANT:** Please remember to select the **Print DROS** link on the upper left hand corner of the DROS screen. This will be the only opportunity to generate a printed DROS Ammunition copy for customer signature. Records must be maintained and available for inspection for five (5) years. (Pen. Code, § 30355.)

AMMUNITION INFORMATION				
MANUFACTURER	CONDITION	BULLET TYPE	BULLET WEIGHT	USAGE TYPE
TESTER	NEW	9x19	115	PERSONAL DEFENSE
CASING	CALIBER	QUANTITY (ROUNDS)	PRIMER TYPE	
BREASHPROOFED	9x19	100	CENTERFIRE	
MUZZLE VELOCITY	MUZZLE ENERGY	COST/ROUND		

TRANSACTION INFORMATION	
TRANSACTION TYPE	PURCHASER'S SIGNATURE
AMMUNITION SALE	
I have read the list of prohibited offenses, and nothing would preclude me from purchasing this firearm. By signing this document, I hereby certify under penalty of perjury that the information provided is true and correct.	
DEALER: END TO END GUN	
ADDRESS: 123 MAIN STREET RICHMOND INDIAN CA 94803	
DROS ENTERED BY: 01/15/2019	SALESPERSON'S SIGNATURE
By signing this document, I hereby certify under penalty of perjury that the information provided is true and correct.	
DEALERSHIP TELEPHONE: (707) 555-1111	
CODE: 000010714	

## 19. ADD TO FREQUENTLY SOLD

### OVERVIEW

The Frequently Sold Ammunition List is a tool for processing ammunition purchases. It allows for different ammunitions to be saved to an **Inventory Code** drop down that will be available on all ammunition purchases for the licensed location.

### Add Item to Frequently Sold Ammunition List:

- 1) From the *Main Menu* page, click on the **Add Frequently Sold Ammunition** link. The *Ammunition Item Detail* page displays.

**Ammunition Item Detail**

*Inventory Code Test	*Manufacturer Maker	*Condition NEW	Bullet Type HOLLOW POINT
Bullet Weight	Usage Type PERSONAL DEFENSE	Casing BRASS	*Caliber 9mm L/Para/9x18, 9x21, 9x23/Large 9x19, 9mm nmfire shotgun
Primer Type CENTERFIRE	Muzzle Velocity	Unit Select	Muzzle Energy
			Unit Select
			Cost/Round

- 2) Enter the information to be saved to the CFD/CAV. The following fields are required:





## DES Application – Firearms and Ammunition Dealer User Guide

- Inventory Code** – Type a name to identify saved ammunition. The **Inventory Code** drop down will be available on all ammunition purchases for the CFD/CAV.
- Manufacturer** – Type the name of the person or company that made the ammunition.
- Condition** – Select whether the ammunition is new, reloaded, or used from the **Condition** drop down list.
- Caliber** – Select the caliber of the ammunition from the **Caliber** drop down list.

## Transaction and Ammunition Information

Inventory Code TEST Select AMMO TEST	*Manufacturer TESTER	*Condition NEW	Bullet Type BUCKSHOT
Quantity (Rounds)	Casing BRASS/PLASTIC	*Caliber 12-gauge shotgun	
Primer type CENTERFIRE	Muzzle Velocity	Unit Select	Muzzle Energy Unit Select
			Cost/Round

Please click buttons only once. Multiple clicks will delay processing.

Back

Preview

Clear

- Click the **Submit** button. A confirmation banner will display at the top of the **Main Menu** page.

## 20. SEARCH FREQUENTLY SOLD AMMUNITION LIST

## OVERVIEW

The Search Frequently Sold Ammunition List is a tool to review the ammunition that you added to your Frequently Sold Ammunition List. You will be able to review and maintain frequently sold ammunition from this page.

## Search Item on Frequently Sold Ammunition List:

- From the **Main Menu** page, click on the **Search Frequently Sold Ammunition** link. The **Search Ammunition Item List** page displays.

## Search Ammunition Item List

Inventory Code	Manufacturer
Please click buttons only once.	
Search	Clear Form
Main Menu	

Search Results

Delete	Inventory Code	Manufacturer	Bullet Type	Caliber
X	AMMO	TEST MAKER		9mm L/Para/9x18.9x21.9x23/Largo 9x19, 9mm dmfire shotgun
X	TEST	TESTER	BUCKSHOT	12-gauge shotgun

Displaying records 1 to 2 of 2 total records.

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DES Application – Firearms and Ammunition Dealer User Guide

- 2) Enter the information to search.
  - a. Partial or complete Inventory Code
  - b. Partial or complete Manufacturer
- 3) Click **Search**. The system will display a list of all matching records.
- 4) Clicking on the inventory code name from the *Search Ammunition Item List* will display the selected *Ammunition Item Details* page. Clicking on the **Delete** button next to a record will remove the record entirely.

Ammunition Item Detail

*Inventory Code AMMO	*Manufacturer TEST MAKER	*Condition NEW	Bullet Type FULL METAL JACKET
Bullet Weight	Usage Type JOB	Casing ALUMINIUM	*Caliber 9mm L/Para/9x18,9x21,9x23/Large 9x19, 9mm rimfire shotgun
Primer Type CENTERFIRE	Muzzle Velocity	Unit Select	Muzzle Energy Unit Select
Cost/Round			

Back Submit Delete Clear Form

- 5) Make the desired changes to the ammunition item information.
- 6) Click on the **Submit** button to save the changes. Click on the **Delete** button to remove the record entirely. A confirmation banner will display at the top of the *Search Ammunition Item List* page.

Inventory entry has been updated

Search Ammunition Item List

Inventory Code	Manufacturer

Please click buttons only once

Search Clear Form Main Menu



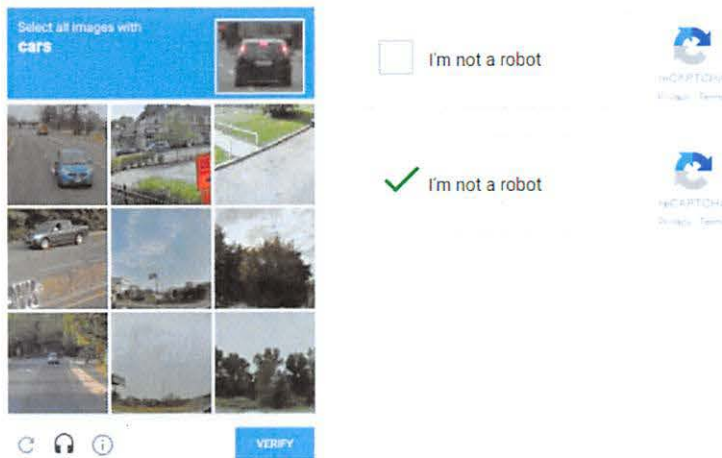
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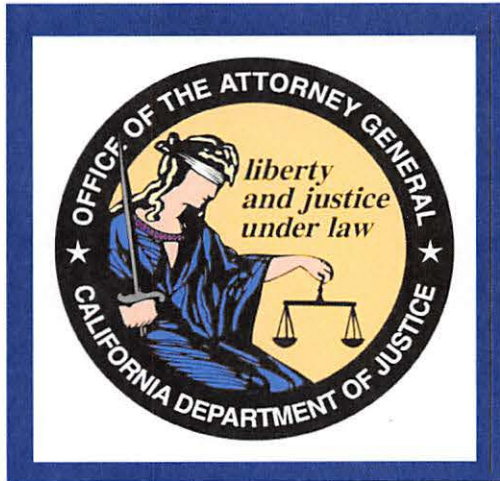
DES Application – Firearms and Ammunition Dealer User Guide

## 21. USE OF reCAPTCHA

The reCAPTCHA program helps prevent a computer application from being accessed by another computer. reCAPTCHAs are used by many websites to prevent abuse from "bots," or automated programs usually written to generate spam. No computer program can read distorted text as well as humans can, so bots cannot navigate sites protected by reCAPTCHAs. We present a reCAPTCHA challenge on all data submission pages that are available to a user prior to being logged on to the application.



# EXHIBIT 7



**California Department of Justice  
Bureau of Firearms  
DROS Entry System (DES)  
Firearms and Ammunition Dealer User Guide**

**California Department of Justice  
Bureau of Firearms  
06/27/2019  
Rev. 4**



DES Application – Firearms and Ammunition Dealer User Guide

**TABLE OF CONTENTS**

1. INTRODUCTION .....6

    OVERVIEW .....6

    WEBSITE ADDRESS .....6

    DES HOURS .....6

    CONTACTING THE BUREAU OF FIREARMS CUSTOMER SUPPORT CENTER .....6

    IMAGES PRESENTED WITHIN THIS DOCUMENT .....6

    PRINTING .....7

    TECHNICAL REQUIREMENTS .....8

    ACRONYMS, ABBREVIATIONS AND DEFINITIONS .....9

2. USING THE DES APPLICATION .....11

    NAVIGATION WITHIN THE DES APPLICATION .....11

    REQUIRED FIELDS ON FORMS .....12

    EXITING THE DES APPLICATION .....12

    SESSION TIME OUT .....13

    REPORTING AN ISSUE .....13

3. ENROLLING IN DES .....14

4. LOGGING ON TO DES .....18

5. DES MAIN MENU PAGE .....21

    OVERVIEW .....21

    MESSAGES .....22

6. MY ACCOUNT LINKS .....22

    EDIT MY PROFILE .....22

    CHANGE MY PASSWORD .....22

    MY ISSUE LOG .....23

7. ADMINISTRATOR LINKS .....24

    OVERVIEW .....24

    NEW ACCOUNT REQUESTS .....24

    MANAGE EMPLOYEES .....26

    VIEW EMPLOYEES .....26

    MODIFY AN EMPLOYEE'S ACCOUNT .....27

    ASSIGNING ADDITIONAL DEALERSHIPS .....27

    UNLOCKING AN EMPLOYEE'S ACCOUNT .....27

    UNLOCKING A COE HOLDER'S ACCOUNT .....28



California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

REMOVING AN EMPLOYEE FROM THE DES APPLICATION .....	28
MANAGE DEALERSHIPS .....	28
TO ASSOCIATE ADDITIONAL DEALERSHIPS .....	28
8. DES INVOICING .....	29
DES FEES AND BILLING CYCLE .....	29
VIEWING YOUR CURRENT DES INVOICE .....	31
PAYING YOUR DES INVOICE .....	32
PAYING YOUR PAST DUE INVOICE .....	32
ENTERING YOUR CREDIT/DEBIT CARD INFORMATION .....	34
VIEW PAID INVOICES .....	35
CREDIT INVOICE HISTORY .....	36
9. TRANSACTIONS, NOTICES, BULLETINS .....	37
OVERVIEW .....	37
SELECTING A DEALERSHIP .....	37
REVIEW FIREARMS AND AMMUNITION ELIGIBILITY NOTICES .....	38
TYPES OF FIREARM AND AMMUNITION DROS NOTICES .....	39
FIREARMS DROS NOTICES .....	39
AMMUNITION DROS NOTICES .....	40
REVIEW INFORMATION BULLETINS .....	41
10. DROS TRANSACTIONS TYPE(S) .....	42
OVERVIEW .....	42
ENTERING PURCHASER AND SELLER INFORMATION .....	42
DEALER HANDGUN SALE .....	43
PRIVATE PARTY HANDGUN TRANSFER .....	45
PEACE OFFICER NON-ROSTER HANDGUN TRANSFER .....	47
EXEMPT HANDGUN SALE .....	48
PAWN/CONSIGNMENT HANDGUN REDEMPTION .....	50
CURIO/RELIC HANDGUN SALE .....	51
OLYMPIC PISTOL SALE .....	54
HANDGUN LOAN .....	55
DEALER LONG GUN SALE .....	57
PRIVATE PARTY LONG GUN TRANSFER .....	59
PAWN/CONSIGNMENT LONG GUN REDEMPTION .....	61

California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

CURIO/RELIC LONG GUN SALE .....	62
LONG GUN LOAN .....	64
11. PREVIEWING, PRINTING, AND SUBMITTING/DELIVERING FIREARM DROS TRANSACTIONS .....	65
PREVIEWING FIREARM DROS TRANSACTIONS .....	65
SUBMITTING FIREARM DROS TRANSACTIONS .....	66
SUBMITTING FIREARM DROS TRANSACTIONS WITH WAITING PERIOD EXEMPTIONS .....	67
ADD AMMUNITION AND DELIVER GUN WITH AN APPROVED FIREARM DROS .....	67
PRINTING DROS TRANSACTIONS .....	70
SUBMITTING ADDITIONAL DROS TRANSACTIONS .....	70
REVIEWING A PREVIOUSLY ENTERED DROS .....	71
DELIVERING FIREARM TRANSACTIONS .....	72
CORRECTING A DROS .....	73
CANCELING A DROS .....	75
12. HOW TO ADD AMMUNITION AND DELIVER GUN WITH AN APPROVED FIREARM DROS .....	75
OVERVIEW .....	75
SEARCH DROS AND ADD AMMUNITION TRANSACTION TYPE .....	75
ADD AMMUNITION TO PENDING PURCHASE(S) CART .....	77
DELIVERING AMMUNITION AND GUN FROM PENDING PURCHASE(S) CART .....	77
13. ACQUISITION TRANSACTIONS .....	78
OVERVIEW .....	78
ASSAULT WEAPONS .....	78
ENTERING ACQUISITION TRANSACTIONS .....	79
ENTERING ADDITIONAL ACQUISITIONS TRANSITIONS FOR THE SAME SELLER/TRANSFEROR .....	81
VIEWING AND PRINTING ACQUISITION TRANSACTIONS .....	82
14. AMMUNITION TRANSACTIONS .....	82
15. SUBMIT AMMUNITION ELIGIBILITY CHECKS .....	83
OVERVIEW .....	83
16. TYPES OF AMMUNITION ELIGIBILITY .....	84
OVERVIEW .....	84
STANDARD AMMUNITION ELIGIBILITY CHECK .....	84
BASIC AMMUNITION ELIGIBILITY CHECK .....	85
CERTIFICATE OF ELIGIBILITY CHECK .....	86
17. SEARCH AMMUNITION ELIGIBILITY CHECK .....	87

California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

OVERVIEW .....	87
18. SUBMIT AMMUNITION PURCHASE(S) .....	89
OVERVIEW .....	89
19. ADD TO FREQUENTLY SOLD .....	92
OVERVIEW .....	92
20. SEARCH FREQUENTLY SOLD AMMUNITION LIST .....	93
OVERVIEW .....	93
21. USE OF RECAPTCHA.....	95



California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

## 1. INTRODUCTION

### OVERVIEW

The DROS Entry System (DES) is a web-based application used by Firearms Dealers to report the sale, loan, transfer, redemption, and the acquisition of handguns and long guns to the California Department of Justice (DOJ), Bureau of Firearms (BOF). It is also used by ammunition vendors to submit ammunition eligibility checks to the DOJ/BOF, and subsequently receive eligibility determinations through the system. Furthermore, DES enables ammunition vendors to report information, relative to the sale or transfer of ammunition, at the time of delivery. The purpose of this document is to provide a step-by-step user guide for accessing and using the DES application.

### WEBSITE ADDRESS

The website address for the DES web application is:

<https://DES.doj.ca.gov>

**Note:** As this is a secure website designed to ensure that DES data is encrypted when transmitted over the internet, be sure to include the entire website address including the prefix *https://* when accessing this website. You can bookmark this page to make accessing this site easier in the future.

### DES HOURS

The DROS Entry System is available 4:00 AM –1:00 AM, Monday through Sunday, unless stated otherwise.

### CONTACTING THE BUREAU OF FIREARMS CUSTOMER SUPPORT CENTER

A **Contact Us** link is available on each page of the application, including the log on page. This link opens a window containing information on how to contact the Customer Support Center should you need assistance.



### IMAGES PRESENTED WITHIN THIS DOCUMENT

For security reasons, some data appearing on screen images will appear blurred out.





## DES Application – Firearms and Ammunition Dealer User Guide

**PRINTING**

All printing from the DES application will be to your local printer. If you have problems with reports not fitting properly on the printed page, you may need to adjust your settings as follows:

From your browser, select **File** then select **Page Setup**.

From the Page Setup screen, enter the settings as shown in Figure 1.2 (Internet Explorer) or Figure 1.3 (Firefox).

Figure 1.2, Internet Explorer Page Setup

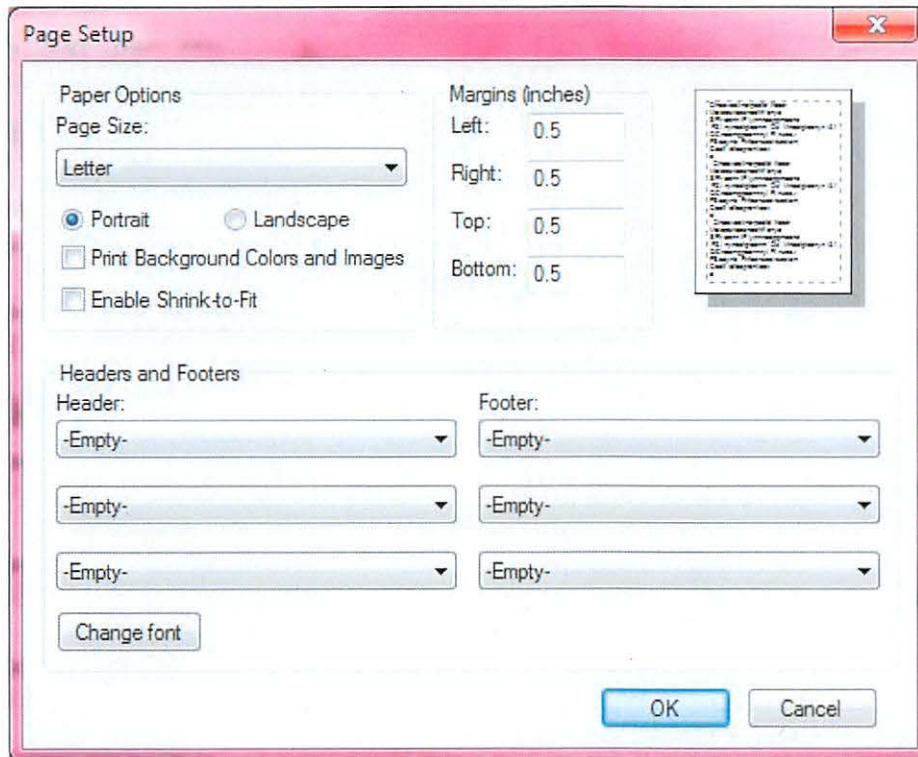
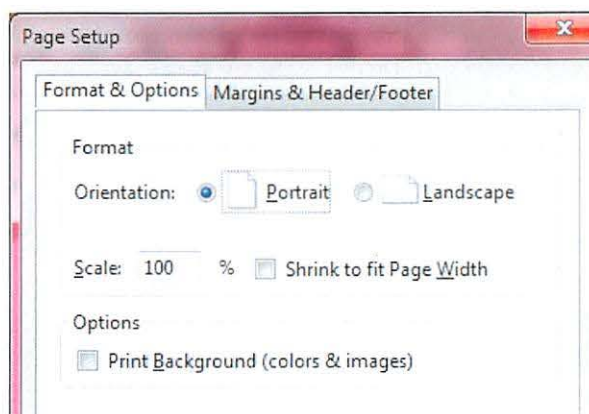
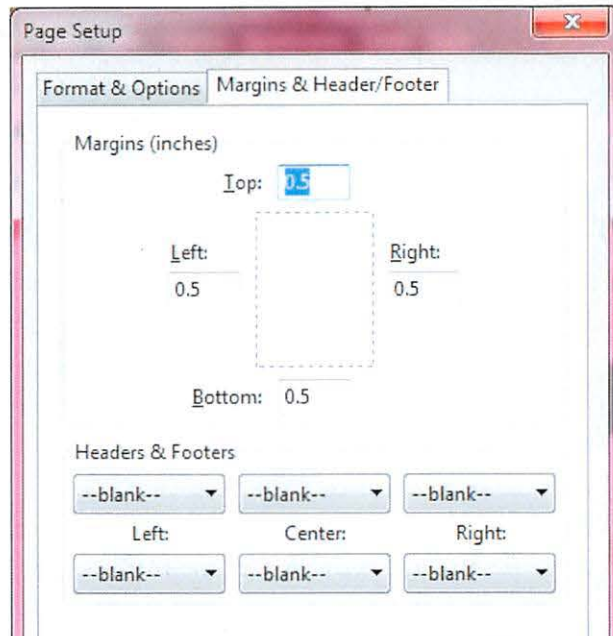


Figure 1.3, Firefox Page Setup





## DES Application – Firearms and Ammunition Dealer User Guide

**TECHNICAL REQUIREMENTS**

The DES application should work with most common and up-to-date web browsers, and has been tested with the following:

- Mozilla Firefox
- Google Chrome
- Safari (not supported by Windows)
- Internet Explorer 9 and above

**Note:** System requirements vary for each internet web browser. Please refer to the web browser system requirements to determine compatibility with your computer. Additional browsers might work with DES; however DOJ cannot guarantee that their features will work as expected.

If your web browser blocks pop-up windows, the DES application must be added to the list of sites from which pop-ups are allowed, also known as “Exceptions.” (For Firefox, see **Tools | Options | Content | (Block pop-up windows) Exceptions**. For Internet Explorer, see **Tools | Internet Options | Privacy | (Pop-up blocker) Settings**).

The reports generated by this system will be in the Adobe Portable Document Format (PDF), which will require that you have Adobe Acrobat Reader installed on your computer in order to view, save, or print a report. The latest version of Adobe Acrobat Reader can be obtained from Adobe’s website: <http://get.adobe.com/reader/>.



## DES Application – Firearms and Ammunition Dealer User Guide

**ACRONYMS, ABBREVIATIONS AND DEFINITIONS**

Term/Acronym	Definition
AFS	Automated Firearms System
ATN	Ammunition Transaction Number
BAEC	Basic Ammunition Eligibility Check means the Department's ammunition eligibility check as prescribed by Penal Code section 30370, subdivision (c). The Department shall conduct a Basic Ammunition Eligibility Check to authorize a purchaser or transferee who is not prohibited from purchasing or possessing ammunition in a single ammunition transaction or purchase.
BOF	Bureau of Firearms
CAV	California Ammunition Vendor means an individual with a valid ammunition vendor license issued pursuant to Penal Code section 30342.
CFARS	California Firearms Application Reporting System
CFD	California Firearms Dealer means a person having a valid license to sell firearms issued pursuant to Penal Code section 26700.
COE	Certificate of Eligibility means a certificate which states that the Department has checked its records and the records available to the Department in the National Instant Criminal Background Check System and determined that the applicant is not prohibited from acquiring or possessing firearms.
COE Holder	A person who obtains a valid Certificate of Eligibility.
COE Verification Process (COE Check)	A purchaser or transferee is authorized to purchase ammunition if they hold a current Certificate of Eligibility, subsequent to verification by the Department.
DES	Dealer Record Of Sale Entry System
DOJ	Department of Justice



California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

Term/Acronym	Definition
DROS	Dealer Record of Sale
DWP	Dangerous Weapon Permit. Any person who submits the required documentation, proper application forms, and appropriate fees for a dangerous weapons license/permit. The term “dangerous weapons” means machineguns as defined in Penal Code section 16880, destructive devices as defined in Penal Code section 16460, short-barreled shotguns and short-barreled rifles as defined in Penal Code sections 17170 and 17180, and assault weapons as defined in Penal Code sections 30510 and 30515.
FDAS	Firearms Dealer Acquisition System
Firearms Eligibility Check	A state and federal background check, pursuant to Penal Code section 28220, that is used to determine an individual’s eligibility to possess, receive, own, or purchase a firearm.
FSC	Firearms Safety Certificate - Issued by Department of Justice Certified Instructors to potential firearm buyers who successfully pass the Firearm Safety Certificate Test.
FSD Compliance	Firearms Safety Device – The method a firearm buyer uses to comply with the California Firearms Safety Device laws.
Head of the Agency	Means the chief of police or the director of public safety for a police department, the sheriff for a county sheriff’s office, the head of an agency or their designee for a state law enforcement agency, and the manager in charge of any local field office for a federal law enforcement agency.





## DES Application – Firearms and Ammunition Dealer User Guide

Term/Acronym	Definition
HSC	Handgun Safety Certificate – Effective January 1, 2015, the Handgun Safety Certificate was replaced with the Firearm Safety Certificate (FSC). A valid HSC can still be used to purchase/acquire handguns until it expires. For long gun purchases/acquisitions made January 1, 2015, and thereafter, a FSC will be required. Once a FSC is obtained, it can be used for both handgun and long gun purchases/acquisitions.
Inventory Code	A customizable setting design by a dealer for specific ammunition type.
PDF	Portable Document Format means the file type used for displaying reports within the DES application.
Pop-up window (pop-ups)	An additional web browser window opened by a main page.
reCAPTCHA	A challenge/response test used to verify that a person, and not another computer, is interacting with a system. The CAPTCHA acronym stands for: <b>C</b> ompletely <b>A</b> utomated <b>P</b> ublic <b>T</b> uring test to tell <b>C</b> omputers and <b>H</b> umans <b>A</b> part.
SAEC	Standard Ammunition Eligibility Check means the Department's ammunition eligibility check as prescribed by Penal Code section 30370, subdivision (b). A purchaser or transferee is authorized to purchase ammunition if their information matches an entry in the Automated Firearm System and does not match an entry in the Prohibited Armed Persons File.

## 2. USING THE DES APPLICATION

In order to use the DES application, you must request a DES account to obtain a valid User Name and Password combination (See Section 3, *Enrolling in DES*).

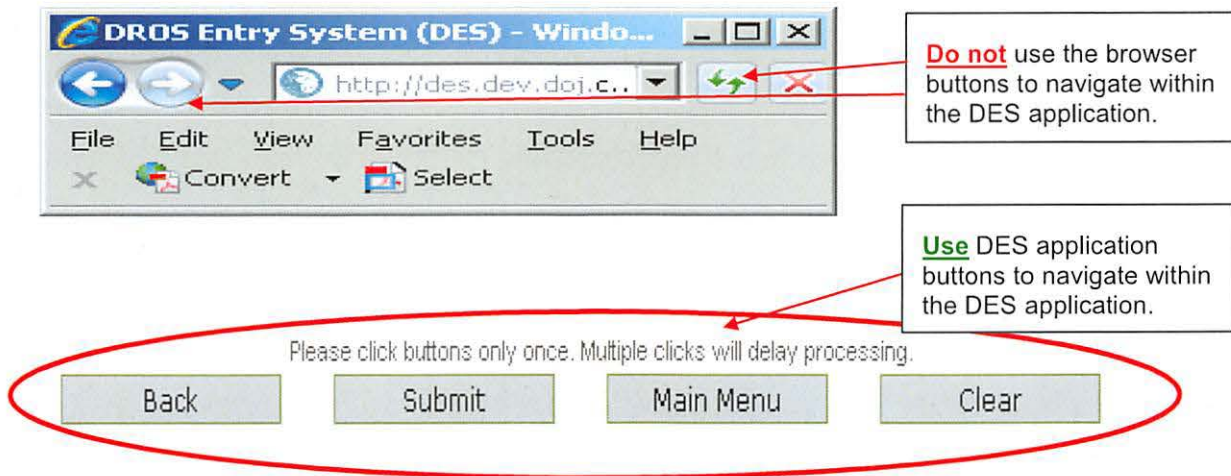
### NAVIGATION WITHIN THE DES APPLICATION

The DES application is a web based application. You can navigate the web pages using either your mouse or your tab button.



## DES Application – Firearms and Ammunition Dealer User Guide

There is one important distinction between websites and web applications concerning the use of browser navigation buttons. The browser navigation and refresh buttons, as shown below, should not be used to navigate within the DES application. Instead, you should navigate the DES application using the buttons and/or links that are found on the application's pages.



## REQUIRED FIELDS ON FORMS

On all data entry pages, required fields are clearly marked by a red asterisk preceding the field label.

\*Current Password

## EXITING THE DES APPLICATION

To exit the DES application, select **Log Off**. You will be logged off from the DES application and returned to the **DROS Entry System Log On** page.

**Note:** Avoid closing the browser window while you are still logged on to the DES. Closing an active window can allow the DES to keep your session open, which could lead to problems logging back on should you attempt this within a short time of closing your browser window.





## DES Application – Firearms and Ammunition Dealer User Guide

**SESSION TIME OUT**

For security reasons, the DES will time out after 30 minutes of inactivity. If this occurs, the system will display a message indicating that your session has timed out. You will need to log on again to use the system.

**REPORTING AN ISSUE**

If you run into a problem or have a question about using the application, you can report the issue to the Customer Support Center using the **Report an Issue** link which is provided throughout the application.

**Note:** You must be logged on to the DES application in order to use this feature.

DROS Entry System (DES) 1.1.0.173 (09/10/2013)	Contact Us	<b>Report an Issue</b>	User Guide	Conditions of Use	Log Off
--	------------	------------------------	------------	-------------------	---------

## Report an Issue

\*Issue Type

\*Comment

Enter additional information concerning the issue. 200 character limit. Characters remaining:

Please click buttons only once. Multiple clicks will delay processing.

**To report an issue:**

- 1) Select the **Report an Issue** link located at the top of any page within the DES application.
- 2) Select the Issue Type from the drop down list.
- 3) Enter a comment that describes the issue in 200 characters or less.
- 4) Click on **Submit**.
- 5) Once you have submitted your issue, it will be reviewed by a Customer Support Center analyst. Once the Customer Support Center replies to your issue, you will see a message on the **Main Menu** page. The message will display after clicking the **My Issue Log** link on the **My Issue Log** page (See Section 6, *My Account Links, My Issue Log*).





## DES Application – Firearms and Ammunition Dealer User Guide

**3. ENROLLING IN DES**

Enrolling in DES is a two or three step process, depending on whether you are the Dealership COE Holder or are enrolling under the authority of the Dealership COE Holder.

**IMPORTANT:** The DES application will not allow employees to enroll until the Dealership COE Holder has enrolled.

**To enroll in DES:**

- 1) Navigate to the ***DROS Entry System Log On*** Page (<https://DES.doj.ca.gov>).
- 2) Click on request a DES account link.

Not yet a DES user?  
If you are not a DES user [request a DES account](#).

Current DES users [\[view User Name and Password information\]](#)

\*User Name

\*Password

[Forgot User Name?](#) [Forgot Password?](#)

[Forgot User Name and Password?](#)

Please click buttons only once. Multiple clicks will delay processing.

- 3) The ***DROS Entry System Account Request/Enrollment Guidelines*** page, lists the information you will need to create a DES account.

**DROS Entry System Account Request/Enrollment Guidelines**

You will need a combination of the following information to complete account request/enrollment

- ▶ California Firearms Dealer (CFD) Dealer ID
- ▶ California Ammunition Vendor (CAV) number
- ▶ Dealership Certificate of Eligibility (COE) number
- ▶ Federal Firearms License (FFL) number
- ▶ A unique personal identification number (for example, your driver's license number)

If you have all the required information and are ready to enroll, please press the "Continue" button to proceed, otherwise press the "Cancel" button.

- 4) If you have all the required information, click on the ***Continue*** button. The ***DROS Entry System Terms of Use and Agreement*** page displays for your agreement.
- 5) If you agree with the ***DROS Entry System Terms of Use Agreement***, click "***I Agree***." The ***User Account Request, Part 1*** page will display.



California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

## User Account Request, Part 1

### Step 1: Submit Dealer Information for Verification

\*Are you a dealership COE Holder? \*Dealership COE Number \*CFD/CAV Number

Select

If you have an Employee COE or other COE type, select No.

- 6) **User Account Request, Part 1:** Step 1: Submit Dealer Information for Verification
- Are you a dealership COE holder?
    - If you are the Main COE holder, select **YES**.
    - If you have an Employee COE or other COE type, select **NO**.
  - Enter the Dealership COE number for the license you are enrolling with.
  - Enter the CFD number for the dealership that you are enrolling with. If there are multiple dealerships under the COE that you will be working with, enter any one of the CFD numbers that apply. Additionally, CFDs can be assigned at a later date or time.

**Note:** Only answer **YES** to this question if your name is on the California Firearms Dealer license. Answer **NO** to this question if you have an employee or other non-dealership type of COE number or if you do not have a COE number. If you have questions, please contact the Customer Support Center.

- 7) Select “***I’m not a robot***” to view the reCAPTCHA verification images.

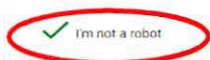
### User Account Request, Part 1

Step 1: Submit Dealer Information for Verification

\*Are you a dealership COE Holder? \*Dealership COE Number \*CFD/CAV Number

Select

If you have an Employee COE or other COE type, select No.

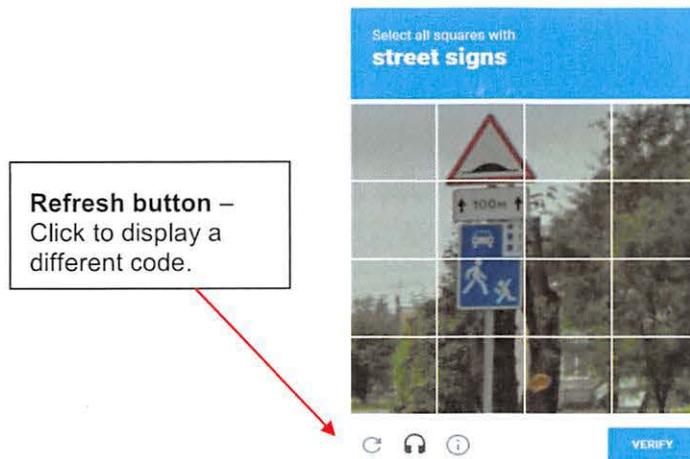


- 8) Identify the reCAPTCHA verification images. If you are unable to determine the images in the reCAPTCHA code, click on the refresh icon next to the verification code, and a new code will be displayed. For more details on reCAPTCHA, (See Section 17, *Use of reCAPTCHA*).

California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide



- 9) If you selected **YES** in *User Account Request, Part 1*, “*User Account Request, Part 2*” will display.

**User Account Request, Part 2**

**Step 2: Submit Dealer Information for Verification**

*Dealership COE Number	*CFD Number	*Federal Firearms License	*Personal ID Number
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Enter the ID Number on record for your COE. Otherwise, enter government issued ID number.

☐ I'm not a robot  
This reCAPTCHA is for testing purposes only. Please report to the site admin if you are seeing this.

- 10) If you selected **NO** in *Step 1*, the below version of “*User Account Request, Part 2*” page below will display.

**User Account Request, Part 2**

**Step 2: Submit Employee Information for Verification**

*Dealership COE Number	*CFD Number	*Federal Firearms License	Employee COE Number	*Personal ID Number
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Enter the ID Number on record for your COE. Otherwise, enter government issued ID number.

☐ I'm not a robot  
This reCAPTCHA is for testing purposes only. Please report to the site admin if you are seeing this.

- 11) Enter your CA Driver License or ID number in the Personal ID Number field. The ID number entered must match the ID number on record for your COE.



## DES Application – Firearms and Ammunition Dealer User Guide

12) Click on **Submit**. If the enrollment information is correct and matches an active account, the system will display the **User Account Request, Part 3** screen.

**Note:** If there is a problem with the enrollment information, the DES will display a generic error message: *There is a problem with either the information you entered or with the account. Please verify the information and try again.* For security reasons, the message will not state the exact nature of the problem. The following are some possible reasons for the error:

- CFD and/or COE number were entered incorrectly or match an inactive account.
- The COE holder hasn't created their account prior to an employee attempting to create their account.
- The COE holder entered a Personal ID number that does not match the ID number associated to their COE.

13) Enter your user information: **Note:** If you have a dealership, employee, or other non-dealership COE number, your DES User information **must match** your COE information exactly.

- Enter your **Last Name** (may include alphas, hyphens, and spaces).
- Enter your **First Name** (may include alphas and spaces).
- Enter your **Middle Initial**, Optional.
- Select your **Identity Verification Questions** from the drop down list.
- Enter the responses associated with each of the questions. You will need to enter these responses should you forget your password or user name or should you get locked out of the DES application.
- Enter the **Password** that you want to use for the DES. **Note:** Click on the **Password Format** link to view the allowable password format.
- Re-enter your **Password**.
- Click on **Submit**. Once you have submitted the requested information, the system will present a confirmation page allowing you to review the information that you entered.
- If you discover an error, click on **Edit Request** to go back to the request page and edit the field where you discovered the error.
- If the information is correct, click on **Confirmed, Submit**. A confirmation message will be displayed to confirm submission of the account request.
- If you are the COE Holder and if your COE number is associated to multiple dealerships, the Manage Dealership screen will display (See Section 7, *Manage Dealerships*).
- The system displays the **User Name** that you will use to access the DES application. Please make note of your user name, as you will need to use it each time you access the DES application.

**Note:** If **you are** the COE Holder, you may immediately log on to the DES application using the user name assigned by DES and the password that you created as part of the enrollment process. If **you are not** the COE Holder, you cannot log on to the DES application until your account has been approved by the COE Holder or store manager (See Section 7, *Assigning permissions*).





## DES Application – Firearms and Ammunition Dealer User Guide

**4. LOGGING ON TO DES****In order to Log On to the DES application:**

- You must first enroll in the application (See Section 3, *Enrolling in DES*).

If you are not a COE Holder, your store manager or COE Holder must approve your account request and setup your permissions before you can log on (See Section 7, *Administrator Links*).

**To Log On to the DES application:**

- 1) Navigate to the *DROS Entry System Log On* page (<https://DES.doj.ca.gov>).
- 2) Enter your User Name
- 3) Enter your Password
- 4) Click on the **Log On** button

If you enter either an invalid user name or password, the system will display a warning message. If you enter too many unsuccessful user name or password attempts, the system will lock your account, and you will need to contact your store manager to unlock it. (If you are the COE Holder and lock your account, you will need to contact the Customer Support Center (See Section 1, *Contacting the Bureau of Firearms Customer Support Center*).

**Forgot Password:**

If you have forgotten your password (prior to locking your account):

- 1) Select the **Forgot Password** option from the *DROS Entry System Log On* page. The *Forgot Password* page displays.

- 2) Enter the requested information:
  - a) Any **CFD Number** associated to your account
  - b) Your Personal **ID Number**
  - c) Your **User Name**
  - d) **reCAPTCHA** verification image
  - e) Click on the **Submit** button
  - f) If a match is found, the system displays two randomly selected identity verification questions that you submitted with your account request.



California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

- g) Enter the response to the security questions presented and click on the **Submit** button.
  - 1) If the responses entered are correct, the system will display the **Enter New Password** screen. Enter and re-enter your new password and click on the **Submit** button.
  - 2) If the responses entered are incorrect, the system will display a warning, and you may try again. **Note:** If the responses are entered incorrectly, your account will be locked, and you must contact your store manager to unlock your account. If you cannot remember the answers to your security questions, your manager will have to remove your account, and you will have to re-enroll in DES. If you are the COE Holder, you will need to contact the Customer Support Center for assistance.

**If you have forgotten your DES User Name:**

- 1) Select the **Forgot User Name** option from the **DROS Entry System Log On** page. The **Forgot User Name** page displays.

**Forgot User Name**

*CFD Number	*ID Number	*Password	*Last Name	*First Name
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

☐ I'm not a robot
 

Please click buttons only once

- 2) Enter the requested information:
  - a) Any **CFD Number** associated to your account
  - b) Your Personal **ID Number**
  - c) **Password** (If you cannot remember your password, see *Forgot User Name and Password* below.)
  - d) Your **Last Name**
  - e) Your **First Name**
  - f) **reCAPTCHA** verification image
  - g) Click on the **Submit** button
  - h) If a match is found, the system displays two randomly selected identity verification questions that you selected during your DES enrollment.
  - i) Enter the responses to the security questions presented and select the **Submit** button.
    - 1) If the responses entered are correct, the system will display your **User Name** on the screen.
    - 2) If either of the responses is incorrect, the system will display a warning, and you may try again. **Note:** If the responses are entered incorrectly, your account will be



DES Application – Firearms and Ammunition Dealer User Guide

locked, and you must contact your store manager to unlock your account. If you cannot remember the answers to your security questions, your manager will have to remove your account, and you will have to re-enroll in DES. If you are the COE Holder, you will need to contact the Customer Support Center for assistance.

**If you have forgotten both your DES User Name and Password:**

- 1) Select the **Forgot User Name and Password** option from the **DROS Entry System Log On** page. The **Forgot User Name and Password** page displays.

- 2) Enter the requested information:
  - a) Any **CFD Number** associated to your account
  - b) Your Personal **ID Number**
  - c) The **Dealership COE Number** associated with your account
  - d) The **FFL Number** associated to the entered CFD number
  - e) Your **Last Name**
  - f) Your **First Name**
  - g) **reCAPTCHA** verification image
  - h) Click on the **Submit** button
  - i) If a match is found, the system displays two randomly selected identity verification questions that you selected during your DES enrollment.
  - j) Enter the response to the security question presented and click on the **Submit** button.
    - (1) If the responses entered are correct, the system will display your **User Name** on the screen and allow you to enter a new **Password**.
    - (2) If either of the responses is incorrect, the system will display a warning, and you may try again. **Note:** If the responses are entered incorrectly, your account will be locked, and you must contact your store manager to unlock your account. If you cannot remember the answers to your security questions, your manager will have to remove your account, and you will have to re-enroll in DES. If you are the COE Holder, you will need to contact the Customer Support Center for assistance.



## DES Application – Firearms and Ammunition Dealer User Guide

**5. DES MAIN MENU PAGE****OVERVIEW**

When you log onto the DES application, the *Main Menu* page is displayed, which allows you to perform a variety of tasks within the DES application. Depending on your assigned permissions and other factors, you may perform some or all of the following from your *Main Menu* page:

- Read system generated messages
- Select the dealership that you'll be working for during this session (This feature is only available if your account is setup with multiple dealerships.)
- View Information Bulletins issued by the Department
- View Urgent or Non-Urgent Firearms Eligibility notices regarding previously submitted DROS transactions
- Submit, correct, or cancel a Firearm DROS transaction
- Deliver a gun or review DROS transactions
- View or submit an acquisition transaction
- View Forms
- Submit and Search Ammunition Eligibility Checks
- Submit Ammunition Purchase(s)
- Search and add to the Frequently Sold Ammunition List
- View or edit your DES Profile
- Change your Password
- View or respond to an issue that you had sent to the Customer Support Center
- Select Administrator tasks that you have been given permissions to perform. These tasks include:
  - Process new account requests
  - Manage employee accounts
  - View current and past DES invoices
  - Manage dealerships (This feature is only available if you are the COE Holder and you have multiple dealerships associated to your COE number.)
  - Pay your DES invoices
  - View your paid invoices





## DES Application – Firearms and Ammunition Dealer User Guide

**MESSAGES**

The *Main Menu* page displays messages related to your account, typically giving you information regarding tasks that you need to perform. For example, this is where you will receive a reminder that it is time to change your password, that you have information bulletins to read, or that you have Urgent Firearms and Ammunition Eligibility Notices to read.

- You have a new message in your 'My Issue Log'.
- You have Information Bulletins that must be reviewed.
- You have pending account requests.

**6. MY ACCOUNT LINKS**

All users have access to the **My Account** links, which include:

- Edit My Profile
- Change My Password
- My Issue Log

**EDIT MY PROFILE**

The information that you entered when you completed the account request process became part of your DES User Profile. You may edit your user profile once you are logged on to the system, including your name, your personal ID number (unless you are the COE Holder), and your identity verification questions and responses.

**To edit your profile:**

- 1) From the *Main Menu* page, click on the **Edit My Profile** link. The *Edit My Profile* page will display.
- 2) Modify any editable fields with the new information. (**Note:** If you need to restore the record back to its pre-edited values, click on the **Refresh** button).
- 3) Click on **Submit**. The system will display a confirmation message when you successfully change your profile. Additionally, if you modified your name, the system will generate and display your new DES user name.

**CHANGE MY PASSWORD**

Passwords are valid for 90 days, but you may change your password at any time by clicking on the **Change My Password** option from the *DES Main Menu* page. Beginning 15 days prior to password expiration, you will be reminded of the pending password expiration each time that you log on to the system.

If your password expires, you will need to use the **Forgot Password** feature to create a new password (See Section 4, *Logging on to DES*).



California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

**To change your password:**

- 1) From the *DES Main Menu* page, click on the **Change My Password** link. The *Change Password* page will display.

**Change Password**

\*Current Password

\*New Password [Password Format](#)

\*Re-enter Password

Please click buttons only once.

Click here to view password format requirements.

- 2) From the *Change Password* page, you may elect to view the password format rules by clicking on the **Password Format** link.
- 3) Enter your **Current Password**.
- 4) Enter and confirm your **New Password**.
- 5) Click on **Submit**. The password entered will be verified to make sure that it complies with the password format rules. If any problems are found, an error message identifying the problem will be presented.
- 6) Once the password change has been accepted, a confirmation message will display on the *Main Menu* page.

**MY ISSUE LOG**

The My Issue Log allows you to view any issues that you have reported to the Customer Support Center (See Section 2, *Reporting an Issue*).

- 1) To view a previously reported Issue, select the **My Issue Log** link from the Main Menu. The *My Issues* page will display.

Click here to view the details of the issue.

**My Issues**

Issue Reported	Date Reported	Select
<a href="#">Other my issue is not listed</a>	04/26/2013	<input type="checkbox"/>

Displaying records 1 to 1 of 1 total records.

Please click buttons only once. Multiple clicks will delay processing.

California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

- 2) To view the original issue that you reported, click on the *Issue Reported* that you would like to view, and the details of your issue will display.
- 3) Once the Customer Support Center replies to your issue, you will see a message on your Main Menu page, and the Issue Reported on your *My Issues* page will show a notation indicating **New**.

**New** – indicates that your issue has received a response from the Customer Support Center.

**My Issues**

Issue Reported	Date Reported	Select
<b>NEW</b> Other, my issue is not listed	04/26/2013	<input type="checkbox"/>

Displaying records 1 to 1 of 1 total records.

Please click buttons only once. Multiple clicks will delay processing.

Delete Selected
Clear
Main Menu

- 4) Click on the Issue Reported link to view the Customer Support Center response.
- 5) To delete any old Issues, select the box to the right of the *Date Reported* and click the **Delete Selected** button.

## 7. ADMINISTRATOR LINKS

### OVERVIEW

Depending on your permissions, you may have access to one or more Administrator Links. These links include:

- New Account Requests
- Manage Employees
- Manage Dealerships
- View Paid Invoices
- Pay Invoices

### NEW ACCOUNT REQUESTS

When an employee's DES enrollment request has been submitted, the request appears on the New Account Requests page. Before the employee can use the DES application, their account must be setup with the appropriate permissions, and, if applicable, setup with any additional dealerships for which they can perform work. Only the COE Holder or another employee who has been given the Manage Employees permission can setup (or reject) accounts.

Employees can be given one or more of the following DES permissions:

- Pay Invoices (Allows user to view and pay invoices)
- Manage Inventory (Allows user to manage ammo inventory)

California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

- Manage Employees (Allows user to add or remove employees)
- Enter Gun Transactions (Allows user to enter DROS and acquisition transactions)
- Enter Ammo Transactions (Allows user to enter ammo transactions)
- Correct or Cancel DROS (Allows user to correct or cancel Firearm DROS transactions)

Permissions for this user

**[i]** You must select at least one Permission if Approving this request!

☐ Select All Permissions

☐ Pay Invoices [Allows user to view and pay invoices]

☐ Manage Inventory [Allows user to manage ammo inventory]

☐ Manage Employees [Allows user to add or remove employees]

☐ Enter Gun Transactions [Allows user to enter DROS and acquisition transactions]

☐ Enter Ammo Transactions [Allows user to enter ammo transactions]

☐ Correct or Cancel DROS [Allows user to correct or cancel DROS transactions]

**Note:** By default, the COE Holder has all permissions, and can in turn delegate these permissions to other users who enroll under their COE number. If you have the Manage Employees permission, and you have account requests that need to be approved, a message will appear on your *Main Menu* page.

You have pending account requests.

**To process account requests:**

- 1) Log on to the DES application.
- 2) Select the **New Account Requests** link from the *Main Menu*. The system will display the *Pending Account Requests* page.

**Pending Account Requests**

Dealership Display Option: All dealerships

Dealership Last Name	First Name	Date Submitted
<a href="#">Baxter</a>	Bob	09/01/2012
Dealership Last Name	First Name	Date Submitted
<a href="#">Clark</a>	Cathy	09/01/2012

Please click buttons only once. Multiple clicks will delay processing.

- 3) Click on the last name of the user's record that you would like to process. The system will display the account permissions. You must select at least one Permission in order to approve the request.
- 4) If you wish to reject the account request, click on the **Reject** button at the bottom of the page. The **"Are you sure you want to reject this account request?"** message displays, click **OK**.

Please click buttons only once. Multiple clicks will delay processing.





## DES Application – Firearms and Ammunition Dealer User Guide

If you wish to approve the account, then you must assign the user the appropriate permissions by checking the box next to each applicable permission.

**Note:** You can assign one or multiple permissions, but at least one permission must be assigned. If your account is associated with multiple dealerships, you can assign additional dealerships to the user by checking the box next to each applicable dealership.

☐ Add Dealership(s) for this user  
 ⓘ List of active dealerships associated to your COE that are not assigned to this user  
☐ Add All Dealerships

Checking this box allows the employee to perform tasks for that dealership.

Dealer ID	Business Name	Business Physical Address	Business City

Once the permissions (and optional dealerships) have been assigned, click on the **Accept** button. The system will display a confirmation message that the account was approved. At this point, the approved user can log on to DES.

**MANAGE EMPLOYEES**

If you are the COE Holder or if you've been assigned the Manage Employee permission, you can carry out the following tasks:

- View a list of your employees with DES accounts
- Modify an employee's permissions
- Modify an employee's assigned dealership (if applicable)
- Unlock an employee's account
- Remove an Employee's account

**Note:** A COE Holder's account cannot be modified. The COE holder by default retains all permissions. If you have the Manage Employee permission, you cannot modify your own account.

**VIEW EMPLOYEES**

To view a list of the employees who have DES accounts with your dealership:

- 1) Select the **Manage Employees** link from the *Main Menu*. A list of all of the dealership's employees will display. If your account is setup with multiple dealerships, each dealership will be displayed with the assigned employees listed under each dealership's CFD number. If an employee is assigned to multiple dealerships, you will see the employee's name listed under each assigned dealership. You can filter the results to see just the employees from a single dealership.
- 2) To view the details of an employee's record, click on the last name of the employee from the list.





## DES Application – Firearms and Ammunition Dealer User Guide

**MODIFY AN EMPLOYEE'S ACCOUNT**

## Change Permissions:

- 1) Click on the last name of an employee from the list (see View Employees above). The User Details will display.
- 2) You can modify the employee's DES permissions by checking or un-checking the boxes next to the applicable permissions. **Note:** At least one permission must be associated to the employee's account.

**ASSIGNING ADDITIONAL DEALERSHIPS**

If your DES account is associated with multiple dealerships, you can assign additional dealerships to an employee's account, allowing the employee to perform DES activities for any store to which they have been assigned.

- 1) Click on the last name of the applicable employee from your list of employees (see View Employees above). The User Details will display.
- 2) Check the box next to each applicable dealership in the *Add Dealership* section.
- 3) You can remove a dealership by checking the **Remove** box in the *Dealership* section. **Note:** At least one dealership must be associated to the employee's account.

**UNLOCKING AN EMPLOYEE'S ACCOUNT**

An employee can lock their DES account by entering an incorrect password, or by incorrectly answering their security questions. An employee with the **Manage Employee** permission can unlock the account as follows:

- 1) Click on the last name of the locked employee from your list of employees (see View Employees above.) The User Details will display.
- 2) Open the Permissions for the User section on the User Detail Page.
- 3) Click on the Unlock Account button. A message will display indicating that the account has been unlocked and that the employee will need to complete the Forgot Password process from the DES Log On page. **Note:** The Unlock Account button only displays if the users account is currently locked.





## DES Application – Firearms and Ammunition Dealer User Guide

**UNLOCKING A COE HOLDER'S ACCOUNT**

If you are a COE Holder and your account becomes locked, you must contact the Customer Support Center and request to have your account reset. Once your account has been reset, you must go to the *DROS Entry System Log On* page, select the **Request a DES Account** link and enter the requested account information. The DES application will then allow you to create a new password.

**REMOVING AN EMPLOYEE FROM THE DES APPLICATION**

When an employee no longer has a need to access the DES application, the employee's account must be removed from the DES by the COE Holder. Prompt removal will protect the dealership from fraudulent DROS-related billing activities.

**To remove an Employee from the DES:**

- 1) Click on the last name of the applicable employee from your list of employees (see View Employees above). The User Details will display.
- 2) Check the **Remove User** box in the Permissions for this User section and click on the **Submit Changes** button.



The system will ask you to verify if you wish to remove the user's account. Click on **OK** if you wish to proceed with the removal of the account.

**MANAGE DEALERSHIPS**

In order for employees to enroll in DES and submit DROS records for a particular dealership, the dealership's CFD number must first be associated to the COE Holder's account within the DES application. If the COE Holder has only a single dealership, that dealership is associated to the COE simply by the COE Holder enrolling in DES. If, however, the COE Holder has more than one dealership, the COE Holder must associate any additional dealerships from the *Manage Dealerships* page. The COE Holder may associate additional CFDs during the time of enrollment, or the COE Holder may also use the *Manage Dealerships* function to make the associations at a time other than the enrollment process (for example, when a new dealership is opened).

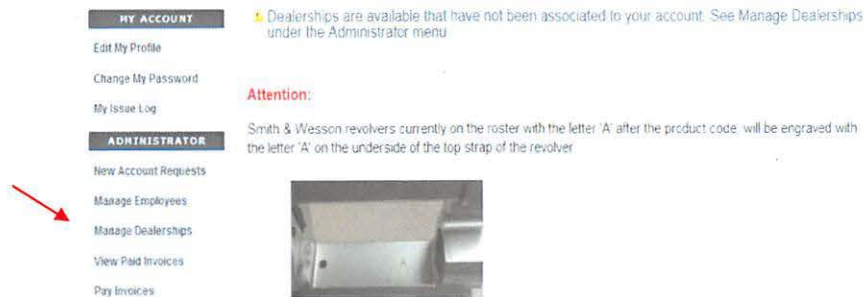
**Note:** Only the COE holder has the permission for *Managing Dealerships*, and this permission cannot be delegated. The Manage Dealerships page is only available when a user has multiple CFDs associated with their COE number.

**TO ASSOCIATE ADDITIONAL DEALERSHIPS**

- 1) From the *Main Menu*, select the **Manage Dealerships** link (the *Manage Dealerships* page automatically displays as part of the enrollment process if your COE number is associated with multiple dealerships).



## DES Application – Firearms and Ammunition Dealer User Guide



- 2) The DES displays those dealerships already associated to your account, as well as additional dealerships that are available to be associated to your account.
- 3) For each additional dealership that you wish to associate to your account, enter the FFL number that pertains to that dealership's CFD number, and then click the **Submit** button.

Once you are successful in associating a dealership to your account, you can begin assigning employees to that dealership (see *Managing Employees* above).

## 8. DES INVOICING

### DES FEES AND BILLING CYCLE

Upon submission of a firearm DROS or an Ammunition Eligibility Check one or more of the following fees will be billed to the dealers account. The Department will not provide refunds after submission and acceptance of a DROS or Ammunition Eligibility Checks.

#### Firearm DROS Fee

- The fee for a Firearm DROS is \$25.00

#### Ammunition DROS Fee(s)

- The fee for a Basic Ammunition Eligibility Check is \$19.00
- The fee for a Standard Ammunition Eligibility Check is \$1.00
- The fee for a Certificate of Eligibility Check is \$1.00

At the first of each month, the DOJ will generate DES invoices for each dealership that submitted DROS transactions during the previous month. The COE Holder, or a user who has been given the *Pay Invoices* permission, will have the ability to view and pay invoices. Payments for the DROS invoice must be made through the DES application, and must be made using one of the following credit/debit card types:

- American Express
- Discover Card
- Master Card
- Visa



California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

The DES invoice must be paid within 30 days from the invoice date. Reference the below DES Billing Cycle Chart for billing period, invoicing and suspension details.

Billing Period	Invoice Date	Due By Date	Suspension Date if not paid in full
1/1 - 1/31	2/1	3/2 (3/1 if leap year)	3/3 (3/2 if leap year)
2/1-2/28 (2/29 if leap year)	3/1	3/30	3/31
3/1-3/31	4/1	4/30	5/1
4/1-4/30	5/1	5/30	5/31
5/1-5/31	6/1	6/30	7/1
6/1-6/30	7/1	7/30	7/31
7/1-7/31	8/1	8/30	8/31
8/1-8/31	9/1	9/30	10/1
9/1-9/30	10/1	10/30	10/31
10/1-10/31	11/1	11/30	12/1
11/1-11/30	12/1	12/30	12/31
12/1-12/31	1/1	1/30	1/31

**IMPORTANT:** An invoice that goes unpaid for more than 30 days from the invoice date will result in the dealership being suspended from performing certain tasks on the DES application. This suspension extends to all dealerships that fall under the COE number for which the dealership was setup. Users from a suspended dealership will be prevented from conducting the following DES activities until all past due invoices associated to the COE have been paid in full:

- Review Firearms Eligibility Notices
- Submit a DROS
- Deliver a Gun
- Review a DROS
- Correct a DROS
- Cancel a DROS
- Submit an Acquisition
- View an Acquisition
- Submit Ammunition Eligibility Check
- Search Ammunition Eligibility Check
- Search Ammunition Purchase(s)



California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

- Search Frequently Sold Ammunition
- Add Frequently Sold Ammunition

If your dealership is suspended because of a past due invoice, you will still be able to pay the invoice through DES. Once the past due invoice(s) have been paid in full, the dealership(s) DES activities will be restored back to normal.

### VIEWING YOUR CURRENT DES INVOICE

From the *Main Menu*, click on the **Pay Invoices** link located in the Administrator section. (You must have the Pay Invoices permission in order to see this link.)



The *Pay Invoices* page will display all billing periods, for each CFD associated to your account, which have a balance due.

Click here to view the Monthly Firearms Dealer Invoice Summary report if you have more than one dealership

Click here to view the payment history for the past twelve months.

Click here to view the Credit Invoice history for the past twelve months.

**Pay Invoices**

[View Paid Invoices](#)

[View Payment History](#)

[Credit Invoice History](#)

☒ Pay Total Payable Balance Due (combined total of all balances due)

☐ Change Payment Amounts

**May 2019 Billing Period, 05/01/2019 to 05/31/2019**

Invoice(s) Total: \$ 2256 Amount Paid: \$ 0 Balance Due: \$2256 Suspension Date if not paid in full: 07/01/2019

CFD/CAV	Type	Invoice Date	Amount Invoiced	Amount Paid	Balance Due	Payment Amount
	Firearm	06/01/2019	\$900	\$0	\$900	\$ 900
	Ammunition	06/01/2019	\$312	\$0	\$312	\$ 312
	Firearm	06/01/2019	\$725	\$0	\$725	\$ 725
	Ammunition	06/01/2019	\$319	\$0	\$319	\$ 319

Total Payments Entered: \$ 2256

Click the Invoice Date to view the Invoice Detail report for each specific dealership.

Please click buttons only once. Multiple clicks will delay processing

California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

- 1) To view a detailed report of each transaction that occurred for your dealership, click on the **Invoice Date** for the CFD number associated to the dealership that you wish to view. The *Monthly Firearms Dealer Invoice* report will display.
- 2) If you've already made one or more payments for the invoice and wish to view the details of those payments, click on the **Amount Paid** or the **View Payment History** link. The payment details for the past twelve months will display.
- 3) If your account is associated with multiple dealerships, click on the **Invoice(s) Total** amount to view a summary of all of your dealerships' invoices.

**PAYING YOUR DES INVOICE**

- 1) From the *Main Menu*, click on the **Pay Invoices** link located in the Administrator section. (You must have the Pay Invoices permission in order to see this link.) The *Pay Invoices* page will display all billing periods which have a balance due, and the full balance will appear in the Payment Amount field(s) for each dealership associated with your account. There are two types of invoices: Firearm and Ammunition.

- a. **Paying Your Total Balance Due** - If you are ready to pay the full balance, click on the **Submit Payments** button at the bottom of the screen. The *DROS Entry System Payment* screen will display.

Total Payments Entered: \$ 2256

Please click buttons only once. Multiple clicks will delay processing.



- b. **Making a Partial Payment** - If you wish to make a partial payment, select the **Change Payment Amounts** option. The **Payment Amount** fields can then be changed to different amounts (however, you can't enter an amount greater than the **Balance due**). DES will allow you to make multiple partial payments for an invoice; however, the balance due must be paid in full within 30 days of the invoice date, or a suspension will occur. Once you have changed the payment amount, click on **Submit Payments** button at the bottom of the screen. The *DROS Entry System Payment* screen will display.

**PAYING YOUR PAST DUE INVOICE**

If you have a past due invoice that has resulted in the suspension of one or more dealerships, you can choose to pay the total balance due, pay just the past due balance, or make a partial payment.

- 1) **Pay Total Payable Balance Due** - Choose this option if you wish to pay the total balance for both past due and current invoices.

- ☒ Pay Total Payable Balance Due (combined total of all balances due)  
☐ Change Payment Amounts

California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

- 2) **Change Payment Amounts** – Choose this option if you wish to make a partial payment; however, when you have a past due invoice, you may not pay on a current invoice until all past due invoices have been paid in full. You may make a partial payment on just a past due bill; however, the suspension will remain in place until the past due bill has been paid in full.

- a. To change payment amounts select **Change Payment Amounts**. The Payment Amounts will become active.

☐ Pay Total Payable Balance Due (combined total of all balances due)  
☒ Change Payment Amounts [Clear Payment Amounts](#)

May 2019 Billing Period, 05/01/2019 to 05/31/2019

Invoice(s) Total: \$ 2256 Amount Paid: \$ 0 Balance Due: \$2256 Suspension Date if not paid in full: 07/01/2019

CFD/CAV	Type	Invoice Date	Amount Invoiced	Amount Paid	Balance Due	Payment Amount
	Firearm	06/01/2019	\$900	\$0	\$900	\$ 900
	Ammunition	06/01/2019	\$312	\$0	\$312	\$ 312
	Firearm	06/01/2019	\$725	\$0	\$725	\$ 725
	Ammunition	06/01/2019	\$319	\$0	\$319	\$ 319

Total Payments Entered: \$ 2256

- b. After you enter the desired payment amount, click **Submit**. **Note:** Special characters are not accepted in the Payment Amount field. Payment amounts should be entered as a number value.

Invoice(s) Total: \$ 2256 Amount Paid: \$ 0 Balance Due: \$2256 Suspension Date if not paid in full: 07/01/2019

CFD/CAV	Type	Invoice Date	Amount Invoiced	Amount Paid	Balance Due	Payment Amount
	Firearm	06/01/2019	\$900	\$0	\$900	\$ 900
	Ammunition	06/01/2019	\$312	\$0	\$312	\$ 0
	Firearm	06/01/2019	\$725	\$0	\$725	\$ 725
	Ammunition	06/01/2019	\$319	\$0	\$319	\$ 0

Total Payments Entered: \$ 1625

- 3) **Pay Past Due Balance** – Choose this option if you wish to pay only the amount that is past due. Any invoices that are not past due will have zero in the payment amount field. Selecting this option will allow you to pay the minimum amount required to remove a suspension caused by a past due invoice. **Note:** **Pay Past Due Balance** will only appear if your account is delinquent.

- 4) Once you have made your selection and verified the amount you wish to pay, click on the **Submit Payments** button at the bottom of the screen. The **Billing Information** screen will display.





## DES Application – Firearms and Ammunition Dealer User Guide

## Billing Information

Payment Amount **\$1625**

\*Cardholder Full Name (as it appears on the card)

\*Billing Address

\*Billing City

\*Billing State

Select State

\*Zip Code

\*Credit/Debit Card Type

Select Card Type

\*Card Number (no spaces)

\*Security Code

What is this?

\*Card Expiration Date

MM YY



Please click buttons only once. Multiple clicks will delay processing.

Back

Submit

Clear

Main Menu

## ENTERING YOUR CREDIT/DEBIT CARD INFORMATION

Once you have clicked on the **Submit Payments** button, the system will display the *Billing Information* screen with the **Payment Amount** automatically entered from the previous screen. If you would like to change the amount of the payment, click on the **Back** button, and you can make changes from the previous screen.

## To submit your credit/debit card payment information:

- 1) Enter your credit/debit card information as follows:
  - a. **Cardholder Full Name** – Enter the cardholder's name as it appears on the card.
  - b. **Billing Address** – Enter the billing address associated to the card.
  - c. **Billing City** – Enter the city associated to the card.
  - d. **Billing State** – From the drop down list, select the state code associated to the card.
  - e. **Billing Zip Code** – Enter the zip code associated to the card.
  - f. **Credit/Debit Card Type** – From the drop down, select the type of credit/debit card you will be using.
  - g. **Card Number** – Enter the card number from the card. Do not enter spaces.
  - h. **Security Code** – Enter the 3 or 4 digit security code from the front or back of the card.
  - i. **Card Expiration Date** – From the drop down lists, select the month and year of the card's expiration date.
- 2) Once you have entered the required billing information and are ready to submit payment click **Submit**.

**IMPORTANT:** Once you submit payment a page loading message may display. **DO NOT** click the browser back button or log out of DES. This may result in a resubmission of information.





## DES Application – Firearms and Ammunition Dealer User Guide

## Billing Information



Page loading, please wait...

- 3) The credit/debit card transaction is submitted for verification and you will be redirected to the **Pay Invoice** Screen with a notification confirming the amount paid and authorization number.

✓ Your payment of \$1625 has been approved. Your authorization number is ET162088

## Pay Invoices

- a. **Declined** – If the transaction is declined, a message describing the problem will be displayed. Either correct any invalid information and resubmit the transaction, or resubmit using a different credit/debit card.
- b. **Approved** – If the transaction is approved, the system will display a confirmation message along with your Authorization number.

**Note:** The DOJ does not retain credit/debit card information, with the exception of the last four characters of your card number which is used to display your payment history. Therefore, each time that you make a payment, you will need to re-enter your credit/debit card information.

## VIEW PAID INVOICES

The COE Holder, or a user with the Pay Invoices permission, has the ability to view previously paid invoices.

## To view a previously paid DES Invoice:

- 1) From the Main Menu, click on the **View Paid Invoices** link located in the Administrator section (you must have the Pay Invoices permission in order to see this link).



- 2) The **Paid Monthly Invoice Report** page displays the past twelve months of invoices that have been paid in full. If your account is setup with multiple dealerships, all applicable CFD/CAVs will display.

California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

- 3) To view the invoice that shows a detailed breakdown of the transactions that you were billed for, click on the **Invoice Date** link for the CFD/CAV that you wish to view. There are two types of invoices: Firearm and Ammunition.

**Note:** It is highly recommended to print the paid invoices report for your records. The system will only allow you to view 12 months of paid invoices.

☒ This list represent the last 12 months of paid invoices.

**Paid Invoices**

View Payment History   View Outstanding Invoices / Make Payment   Credit Invoice History

CFD/CAV	Type	Billing Period	Invoice Date	Invoice Amount	Date Invoice Paid in Full
	Firearm	05/01/2019 - 05/31/2019	06/01/2019	\$ 0	N/A
	Ammunition	03/01/2019 - 03/31/2019	04/01/2019	\$ 0	N/A

Click here to view a detailed breakdown of all billed transactions.

### CREDIT INVOICE HISTORY

The COE Holder, or user with the Pay Invoices permission, has the ability to view credit history. If a credit is applied for a DROS transaction the credit will be reflected on the invoice generated the following month.

#### To View Credit History:

- 1) From the Main Menu, click on the **View Paid Invoices** link located in the Administrator section of the *Main Menu*.
- 2) Click Credit Invoice History.

**Paid Invoices**

View Payment History   View Outstanding Invoices / Make Payment   **Credit Invoice History**

CFD/CAV	Type	Billing Period	Invoice Date	Invoice Amount	Date Invoice Paid in Full
	Firearm	05/01/2019 - 05/31/2019	06/01/2019	\$ 0	N/A
	Ammunition	03/01/2019 - 03/31/2019	04/01/2019	\$ 0	N/A

- 3) If DROS Credits have been issued the Credit History will display as pictured below.

☒ This list represent the last 12 months credit invoice history

**Credit History**

View Paid Invoices   View Outstanding Invoices / Make Payment   View Payment History

**January 2019**

Payment Date	CFD/CAV	Type	Billing Period	Invoice Date	Amount Invoiced	Credit Amount
01/30/2019 01:05 PM		Firearm	01/01/2019 - 01/31/2019	01/30/2019	0.0	250.0

Please click buttons only once. Multiple clicks will delay processing.

Main Menu



## DES Application – Firearms and Ammunition Dealer User Guide

- 4) Clicking on the invoice credit will open a report with details on invoice transaction credits.

INVOICE TRANSACTION CREDIT DETAILS

DEALER ID	SALE DATE/TIME	TRANSACTION #	CREDIT DATE	COST
	03/21/2019 12:32 PM	001005824	03/21/2019	(25)
	03/21/2019 12:30 PM	001005892	03/21/2019	(25)
	03/21/2019 12:30 PM	001005893	03/21/2019	(25)
	03/21/2019 12:29 PM	001006021	03/21/2019	(25)
	03/21/2019 12:31 PM	001006022	03/21/2019	(25)
	03/21/2019 12:31 PM	001006023	03/21/2019	(25)

**9. TRANSACTIONS, NOTICES, BULLETINS****OVERVIEW**

The Transactions, Notices, Bulletins section contains links that allow you to:

- Review Firearms Eligibility Notices (must have the Enter Transactions permission)
- Submit a DROS Transaction (must have the Enter Transactions permission)
- Deliver a Gun/Review a DROS (must have the Enter Transactions permission)
- Correct a DROS (must have the Correct or Cancel DROS permission)
- Cancel a DROS (must have the Correct or Cancel DROS permission)
- Review Information Bulletins issued by the Bureau of Firearms (any permission)
- Submit Acquisition Transactions (must have the Enter Transactions permission)
- View previously submitted Acquisition Transactions (must have the Enter Transactions permission)

Some of the above links may be hidden for the following reasons:

- **Dealership hasn't been selected** – If your account is associated to multiple dealerships, you must select the dealership that you wish to be associated with prior to viewing bulletins or notices, or conducting any type of DROS or Acquisition transaction.
- **Unviewed Information Bulletins** – When the BOF posts an Information Bulletin to DES, at least one user from each dealership must view and acknowledge the bulletin. Until the bulletin is viewed and acknowledged, users will be unable to view/submit DROS or Acquisition transactions or deliver a gun.
- **Unviewed Urgent Firearms/Ammunition Eligibility Notices** – When the BOF posts a Firearm or Ammunition Eligibility Notice for a DROS transaction, a user from the dealership must acknowledge the notice. Until the notice is acknowledged, users will be unable to view/submit DROS/Ammunition or Acquisition transactions or deliver a gun.

**SELECTING A DEALERSHIP**

If your profile has been setup for working with multiple dealerships within a company, you must choose which dealership you are working with prior to submitting DROS or Acquisition transactions.





## DES Application – Firearms and Ammunition Dealer User Guide

**To select a dealership:**

- 1) Click on the **Select Dealership** link from the *Main Menu* (this link only displays if your profile has been associated to more than one dealership within a company).
- 2) Select the name of the dealership that you wish to be associated with during your session.
- 3) Enter the CFD number associated to the dealership name that you selected above.
- 4) The system will then display the Transactions, Notices, Bulletins and Ammunition transactions section with additional links.
- 5) Once you have selected a dealership, you have the option to then select a different dealership by clicking on the **Select a Different Dealership** link.

**REVIEW FIREARMS AND AMMUNITION ELIGIBILITY NOTICES**

If you have any urgent notices, you must review them before you can conduct any other DROS or Acquisition activities. The DES allows you to view BOF notices for a DROS entered within the past 90 days. The following notices are considered urgent until they are reviewed and acknowledged by a User:


**Firearm Eligibility Notices:**

- Delay DROS Notice
- Deny Notice
- Approval After Deny Notice
- Approval After Delay Notice
- Undetermined Notice
- Deny After Delay Notice
- DMV Reject Notice
- 30-Day Reject Notice

**Ammunition Eligibility Notices:**

- Approval After Denial Notice
- DMV Reject Notice
- Purchaser Prohibited Notice

**Note:** Records with a Pending or Approved status do not require review before other DROS or Acquisition activities can be conducted.

 If you have urgent notices to review, the system will display a message your *Main Menu* page.

**To Review your Firearms and Ammunition Eligibility Notices:**

- 1) Log on to the DES application.
- 2) Select your dealership (if applicable).





## DES Application – Firearms and Ammunition Dealer User Guide

- 3) From the Main Menu, select the **Review Firearms Eligibility Notices** link. If you have urgent notices to review, the *Review Urgent Firearms Eligibility Notices* page will display.
- 4) Click on the status link of the eligibility notice that you wish to view. The Notice will display in PDF format.
- 5) You can print a copy of the notice by clicking on the printer icon from the Adobe Reader window.
- 6) Acknowledge that you reviewed the notice by clicking on the **Acknowledge** button

By clicking on the Acknowledge button, you are acknowledging that you have reviewed this notice. You will have limited access to DES until all urgent notifications have been reviewed.



- 7) Once you have reviewed all of your urgent notices, clicking on the *Review Firearms Eligibility Notices* link will display any acknowledged notices as well as all of the approved records from the past 90 days.

**TYPES OF FIREARM AND AMMUNITION DROS NOTICES****FIREARMS DROS NOTICES****Delay DROS Notice**

A “Delayed” notice shall be generated when the Department is unable to determine the purchaser's eligibility within the 10-day waiting period. If you receive a *Delay* notice, you must place the sale on a “temporary hold,” and wait for the final determination from the DOJ. DOJ has up to 30 days to come to a determination. An additional notice will be generated when the purchaser's eligibility has been determined.

**Denial Notice**

A “Denied” notice shall be generated when the Department reviews an application to purchase a firearm based on information provided by the applicant (e.g., name, date of birth, etc.) without fingerprint comparison and the applicant information is denied after the Department's review of matching state and/or federal records. **Do not** release the firearm to the purchaser.

**Approval After Denial Notice**

An Approval After Denial notice shall be generated as a follow up to a Deny notice, and indicates that the eligibility of the purchaser has been obtained and the firearm may be delivered to the purchaser.



## DES Application – Firearms and Ammunition Dealer User Guide

**Approval After Delay Notice**

An Approval After Delay notice shall be generated as a follow up to a Delay notice, and indicates that the eligibility of the purchaser has been obtained and the firearm may be delivered to the purchaser.

**Undetermined Notice**

An "Undetermined Notice" shall be generated when 30 days have passed since the original transaction date and the Department is unable to determine a purchaser's eligibility to own or possess firearms or is unable to determine whether the firearm involved in the sale/transfer/loan is stolen. Delivery of a firearm (sale/transfer/loan) from an "Undetermined" status shall be made at the discretion of the Dealer COE Holder, authorized associate, or salesperson.

**Denial After Delay Notice**

A "Denial after Delay" notice shall be generated when the Department denies an application to purchase a firearm after identifying a "Delayed" status; **Do not** release the firearm to the purchaser.

**DMV Reject Notice**

A "DMV Reject" notice shall be generated when an application is submitted with an invalid, suspended, revoked, or expired California Driver License or California Identification card. **Do not** release the firearm to the purchaser. Consequently, the DROS transaction must be resubmitted as a new transaction with applicable fees and waiting period. The purchaser must contact the DMV to make sure your California Driver License or California Identification Card information is up-to-date and correct.

**30-Day Reject Notice**

A "30-Day Reject" notice shall be generated when an application is submitted to purchase more than one handgun in a 30-day period. The purchaser attempted to purchase more than one handgun in a 30 day period PC 27540 (f). **Do not** release the handgun to the purchaser.

**AMMUNITION DROS NOTICES****Approval after Denial Notice**

An "Approval after Denial" notice is generated when the Department has received additional information indicating the purchaser is eligible to purchase ammunition. If you receive this notice you may move forward with the transaction should the purchaser choose to do so. Please note, the approval is valid for 30 days from the date of the letter.

**DMV Reject Notice**

A "DMV Reject" notice is generated when a Basic Ammunition Eligibility Check (BAEC) DROS is being rejected and returned because the driver license/ID card status is not valid and/or the purchaser's name, driver license/ID card number, and/or date of birth information provided conflict with the files maintained by the Department of Motor Vehicles (DMV). The purchaser must correct their personal information on file with the DMV. Consequently, the BAEC DROS must be resubmitted as a new transaction with applicable fees.





## DES Application – Firearms and Ammunition Dealer User Guide

**Purchaser Prohibited Notice**

A “Purchaser Prohibited” notice is generated when the purchaser is not eligible to own or possess ammunition, therefore, you cannot release the ammunition to the purchaser.

**REVIEW INFORMATION BULLETINS**

If your dealership has any un-reviewed Information Bulletins, you must review them before you can conduct any other DROS or Acquisition activities. If you have any unread bulletins to review, the system will display a message on your *Main Menu* page.

⚠ You have Information Bulletins that must be reviewed.

**To Review Information Bulletins:**

- 1) Log on to the DES application.
- 2) From the Main Menu, select the **Review Bulletins** link. The *DES Bulletins* page will display, showing a list of all available Information Bulletins issued by the BOF.
- 3) Clicking on the name of the un-reviewed bulletin will display the bulletin details as a PDF document. If you choose, you may print the bulletin by clicking on the Adobe Reader print icon.

**DES Bulletins****Current DES Bulletins**

Bulletin Name	Date Posted	Reviewed Date	Reviewed By
<a href="#">bulletin two</a>	05/15/2013		
<a href="#">bulletin four</a>	04/19/2013	05/13/2013	GEORGE SHAW
<a href="#">bulletin three</a>	04/19/2013	05/13/2013	GEORGE SHAW
<a href="#">bulletin two</a>	04/19/2013	05/13/2013	GEORGE SHAW
<a href="#">Test bulletin One</a>	04/09/2013	05/13/2013	GEORGE SHAW

**Note:** If the bulletin doesn’t automatically display on your screen, you may have to click on the Download Bulletin to view in Adobe Reader link. Downloading the most current version of Adobe Reader should ensure that the bulletin automatically displays. To download the most current version of Adobe Reader, visit the following website: <http://get.adobe.com/reader/>.

Once you have reviewed the bulletin, your name and the date that you reviewed the bulletin will display on the **DES Bulletins** page.

**IMPORTANT:** The DES message, “You have Information Bulletins that must be reviewed” will only display until the first employee has reviewed and acknowledged the bulletin. Only the first employee must acknowledge the bulletin. Once reviewed, other employees will not be given a DES message to view the bulletin. Thus, it is highly recommended to print out the bulletins and share with other employees. You can reference back to past DES bulletins at any time.



## 10. DROS TRANSACTIONS TYPE(S)

### OVERVIEW

DROS Transactions are required on the following handgun and long gun transaction types:

#### Handgun Transactions

- Dealer Handgun Sale
- Private Party Handgun Transfer
- Peace Officer Non-Roster Handgun Sale
- Exempt Handgun Sale
- Pawn/Consignment Handgun Redemption
- Curio/Relic Handgun Sale
- Olympic Pistol Sale
- Handgun Loan

#### Long Gun Transactions

- Dealer Long Gun Sale
- Private Party Long Gun Transfer
- Pawn/Consignment Long Gun Redemption
- Curio/Relic Long Gun Sale
- Long Gun Loan

#### To perform a DROS transaction:

- 1) Your account must be setup with the *Enter Transactions* permission (See Section 7, *Administrator Links*).
- 2) If you are associated to more than one dealership, you must select the dealership that you want to be associated with for your DES session before you can submit a DROS.
- 3) You must review any unread bulletins prior to submitting a DROS.
- 4) You must acknowledge any Urgent Firearms Eligibility Notices prior to submitting a DROS.

#### ENTERING PURCHASER AND SELLER INFORMATION

All DROS transaction types require the entry of purchaser information. Seller information is only required on the following transaction types:

- Private Party Handgun Transfer
- Handgun Loan
- Private Party Long Gun Transfer
- Long Gun Loan



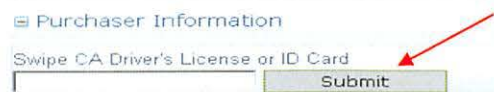


## DES Application – Firearms and Ammunition Dealer User Guide

Purchaser and seller information will be captured by swiping the California Driver License or Identification card through a magnetic card swipe reader. Any missing or incorrect information will be keyed directly into the appropriate fields.

**To Enter Purchaser or Seller Information:**

- 1) Swipe the driver license or identification card through the magnetic card swipe reader.
- 2) Click on the **Submit** button in the **Swipe CA Driver License or ID Card** area.



- 3) Verify that the data displays correctly. **Note:** If the information will not scan, you must manually enter the information.
- 4) Correct information as necessary.
- 5) Complete all applicable fields, including Firearms Eligibility Questions 1 - 4.

**Tips:**

- **Single Name** – If the purchaser or seller has a single name (example: Wasp, Sky, Rebel), enter the single name in the Last Name field and enter an asterisk (\*) in the first name field (Suffix and Middle Name fields must be blank).
- **Purchaser's City** – The city will automatically appear based on the zip code; however, if the zip code has more than one city name or variation listed, you will need to select the correct city name from the City drop down list.
- **Citizenship** – If you select **NO** from the **U.S. Citizen** drop down list, the system will display additional fields that must be entered. Select the Country of Citizenship from the drop down list and enter either the Alien Registration number or the I-94 number. **Note:** These numbers can be found on the purchaser or seller's Permanent Resident card (Green Card) or I-94 Arrival/Departure card.
- **HSC Number** – The Handgun Safety Certificate number (HSC) or an HSC exemption code is required on all handgun transactions. These fields will only be present when the HSC is required prior to the purchase of a handgun.
- **FSC Number** – Effective January 1, 2015, HSC became the Firearm Safety Certificate (FSC). The FSC number will be required for purchase or delivery of firearms; handguns and/or long guns. However – purchasers with a valid HSC will be able to utilize the HSC number or an HSC exemption to purchase handguns until the HSC expiration date.

**DEALER HANDGUN SALE**

Select the **Dealer Handgun Sale** transaction type when a handgun listed on the DOJ's Roster of Certified Handguns is being purchased from a dealer (see <http://certguns.doj.ca.gov>).



## DES Application – Firearms and Ammunition Dealer User Guide

**To submit a Dealer Handgun Sale transaction:**

- 1) From the Main Menu page, select the **Submit DROS** link. The *Select Transaction Type* page will display.
- 2) Select the **Dealer Handgun Sale** link. The *Submit Dealer Handgun Sale* form will display.
- 3) Enter the Purchaser Information (see Entering Purchaser and Seller Information above).
- 4) Enter the Transaction and Firearm Information as follows:
  - a. **Gun Show Transaction** – Select **Yes** or **No** from the drop down list.
  - b. **Waiting Period Exemption** – If applicable, select a waiting period exemption:
    - **CFD Number** – Select **CFD** from the drop down list if the purchaser is an active licensed firearm dealer. Selecting the CFD number waiting period exemption displays a **Purchaser CFD Number** field. Enter the purchaser's valid CFD number.
    - **Peace Officer** – This waiting period exemption requires a signed letter (wet signature) from the head of their law enforcement agency. You must keep a copy of the letter on file.
    - **Special Weapons Permit** – Select **Special Weapons Permit** from the drop down list if the purchaser has a valid Special Weapons permit. Selecting the Special Weapons permit exemption displays a **Special Weapons Permit Number field**. Enter the purchaser's Special Weapons permit number.

**Note:** Selecting a waiting period exemption will automatically display the 30-Day Restriction Exemption.

  - c. **30-Day Restriction Exemption** - Click on the **30-Day Restriction Exemption** check box if the purchaser has provided proof of having a valid exemption from the one handgun purchase per 30 days restriction.
  - d. **Make** – Select the name of the firearm manufacturer from the **Make** drop down list. The **Model** field will display with a list of all available models for the selected make. **Tip:** Opening the **Make** drop down list and typing the first character of the make will take you to that section of the list.
  - e. **Model** – Select the appropriate model from the **Model** drop down list. The **Caliber** field will display. If there are multiple calibers available for the selected make/model combination, select the appropriate caliber from the drop down list; otherwise, the system will default to the only caliber available. The system populates additional firearm information (barrel length, unit of measure, material, and category) once you have narrowed the firearm selection criteria to a single firearm.
  - f. **Serial Number** – Enter and re-enter the serial number stamped on the firearm.





## DES Application – Firearms and Ammunition Dealer User Guide

- g. **Other Number** – If applicable, enter an additional number stamped on the firearm.
- h. **Color** – Select the color of the firearm from the **Color** drop down list.
- i. **New/Used Gun** – Select whether the firearm is new or used from the **New/Used Gun** drop down list.
- j. **Firearm Safety Device (FSD)** – Select the method that the purchaser is using to comply with the FSD requirements. (For information regarding the Roster of Firearms Safety Devices Certified for Sale, see the Office of the Attorney General's website: <http://oag.ca.gov/firearms/fsdcertlist>.) **Note:** This field will not display when the waiting period exemption is for a peace officer.
  - **Antique** – Select this type if the firearm is an antique pursuant to federal law.
  - **Approved Lock Box** – Select this type if the FSD is a DOJ Certified Lock Box.
  - **FSD Purchased** – Select this type if the purchaser is purchasing a DOJ Certified FSD that is not included with the purchase of the firearm.
  - **OEM** – Select this type if the firearm being purchased comes with a Certified FSD from the manufacturer.
  - **Safe Affidavit** – Select this type if the purchaser provides an affidavit that they own a Certified FSD Gun Safe.
- k. **Comments** – Enter any additional pertinent information in the **Comments** field, if applicable.

**PRIVATE PARTY HANDGUN TRANSFER**

Select the **Private Party Handgun Transfer** transaction type when the individual selling or transferring a handgun is not a firearm dealer.

**To submit a Private Party Handgun Transfer transaction:**

- 1) From the Main Menu page, select the **Submit DROS** link. The **Select Transaction Type** page will display.
- 2) Select the **Private Party Handgun Transfer** link. The **Submit Private Party Handgun Transfer** form will display.
- 3) Enter the Purchaser and Seller Information (see Entering Purchaser and Seller Information above).
- 4) Enter the Transaction and Firearm Information as follows:
  - a. **Gun Show Transaction** – Select **Yes** or **No** from the drop down list.
  - b. **Waiting Period Exemption** – If applicable, select a waiting period exemption:



## DES Application – Firearms and Ammunition Dealer User Guide

- **CFD Number** – Select **CFD** from the drop down list if the purchaser is an active licensed firearm dealer. Selecting the CFD number waiting period exemption displays a **Purchaser CFD Number** field. Enter the purchaser's valid CFD number.
  - **Collector** – This waiting period exemption requires a valid 03 FFL and COE. Enter the purchaser's valid COE. You must keep a copy of the 03 FFL and COE on file.
  - **Peace Officer** – This waiting period exemption requires a signed letter (wet signature) from the head of their law enforcement agency. You must keep a copy of the letter on file.
  - **Special Weapons Permit** – Select **Special Weapons Permit** from the drop down list if the purchaser has a valid Special Weapons permit. Selecting the Special Weapons permit exemption displays a **Special Weapons Permit Number field**. Enter the purchaser's Special Weapons permit number.
- c. **Frame Only** – Select **Yes** or **No** whether the purchase is for a frame only; if **Yes** is selected then the firearm caliber, additional caliber, barrel length, or unit of measure will not be available for updating.
  - d. **Make** – Select the name of the firearm manufacturer from the **Make** drop down list. **Tip:** Opening the **Make** drop down list and typing the first character of the Make will take you to that section of the list.
  - e. **Model** – Enter the model of the handgun being purchased.
  - f. **Caliber** – Select the caliber of the handgun from the **Caliber** drop down list.
  - g. **Additional Caliber** – If appropriate, select any additional calibers from the **Additional Caliber** drop down list.
  - h. **Barrel Length** – Enter the length of the handgun's barrel. The barrel length can be from 1 – 4 numbers, and may contain a decimal point. The barrel length may be reported in inches or centimeters.
  - i. **Unit** – Select the barrel length unit of measure from the **Unit** drop down list.
  - j. **Category** – Select the appropriate handgun category from the **Category** drop down list.
  - k. **Serial Number** – Enter and then re-enter the serial number stamped on the firearm.
  - l. **Other Number** – If applicable, enter an additional number stamped on the firearm.
  - m. **Color** – Select the color of the firearm from the **Color** drop down list.
  - n. **Firearm Safety Device (FSD)** – Select the method that the purchaser is using to comply with the FSD requirements. (For information regarding Roster of





## DES Application – Firearms and Ammunition Dealer User Guide

Firearms Safety Devices Certified for Sale, see the Office of the Attorney General's website: <http://oag.ca.gov/firearms/fsdcertlist>.) **Note:** This field will not display when the waiting period exemption is for a peace officer.

- **Antique** – Select this type if the firearm is an antique pursuant to federal law.
- **Approved Lock Box** – Select this type if the FSD is a DOJ Certified Lock Box.
- **FSD Purchased** – Select this type if the Purchaser is purchasing a DOJ Certified FSD that is not included with the purchase of the firearm.
- **OEM** – Select this type if the firearm being purchased comes with a Certified FSD from the manufacturer.
- **Safe Affidavit** – Select this type if the purchaser provides an affidavit that they own a Certified FSD Gun Safe.
- **Comments** – Enter any additional pertinent information in the *Comments* field, if applicable.

**PEACE OFFICER NON-ROSTER HANDGUN TRANSFER**

Select the *Peace Officer Non-Roster Handgun Sale* transaction type when the peace officer provides a letter from the head of their agency (dated within 30 days) exempting the peace officer from the 10-day waiting period; the authorization letter shall be on agency letterhead with a wet signature.

**Note:** Peace officers are exempt from purchasing non-roster firearms.

**To submit a Peace Officer Non-Roster Handgun transaction:**

- 1) From the *Main Menu* page, select the **Submit DROS** link. The *Select Transaction Type* page will display.
- 2) Select the **Peace Officer Non-Roster Handgun Sale** link. The *Submit Peace Officer non-Roster Handgun Sale* form will display.
- 3) Enter the Purchaser Information (see Entering Purchaser and Seller Information above).
- 4) Enter the Transaction and Firearm Information as follows:
  - a. **Gun Show Transaction** – Select *Yes* or *No* from the drop down list.
  - b. **Frame Only** – Select *Yes* or *No* whether the purchase is for a frame only; if *Yes* is selected then the firearm caliber, additional caliber, barrel length, or unit of measure will not be available for updating.
  - c. **Make** – Select the name of the firearm manufacturer from the *Make* drop down list. **Tip:** Opening the *Make* drop down list and typing the first character of the Make will take you to that section of the list.



## DES Application – Firearms and Ammunition Dealer User Guide

- d. **Model** – Enter the model of the handgun being purchased.
- e. **Caliber** – Select the caliber of the handgun from the **Caliber** drop down list.
- f. **Additional Caliber** – If appropriate, select any additional calibers from the **Additional Caliber** drop down list.
- g. **Barrel Length** – Enter the length of the handgun's barrel. The barrel length can be from 1 – 4 numbers, and may contain a decimal point. The barrel length may be reported in inches or centimeters.
- h. **Unit** – Select the barrel length unit of measure from the **Unit** drop down list.
- i. **Category** – Select the appropriate handgun category from the **Category** drop down list.
- j. **Serial Number** – Enter and then re-enter the serial number stamped on the firearm.
- k. **Other Number** – If applicable, enter an additional number stamped on the firearm.
- l. **Color** – Select the color of the firearm from the **Color** drop down list.
- m. **New/Used Gun** – Select whether the firearm is new or used from the **New/Used Gun** drop down list.
- n. **Comments** – Enter any additional pertinent information in the **Comments** field, if applicable.

**EXEMPT HANDGUN SALE**

Select the **Exempt Handgun Sale** transaction type when the handgun being purchased meets the Exempt Handgun definition; i.e. peace officer purchasing non-roster firearms without a waiting period exemption letter, returning a firearm to its owner, single shot/single action sale (per Penal Code section 32100), etc.

**To submit an Exempt Handgun Sale transaction:**

- 1) From the *Main Menu* page, select the **Submit DROS** link. The *Select Transaction Type* page will display.
- 2) Select the **Exempt Handgun Sale** link. The *Submit Exempt Handgun Sale* form will display.
- 3) Enter the Purchaser Information (see Entering Purchaser and Seller Information above).
- 4) Enter the Transaction and Firearm Information as follows:
  - a. **Gun Show Transaction** – Select **Yes** or **No** from the drop down list.
  - b. **Waiting Period Exemption** – If applicable, select a waiting period exemption:
    - **CFD Number** – Select **CFD** from the drop down list if the purchaser is an active licensed firearm dealer. Selecting the CFD number waiting Period



## DES Application – Firearms and Ammunition Dealer User Guide

exemption displays a **Purchaser CFD Number** field. Enter the purchaser's valid CFD number.

- **Peace Officer** – This waiting period exemption requires a signed letter (wet signature) from the head of their law enforcement agency. You must keep a copy of the letter on file.
- **Special Weapons Permit** – Select **Special Weapons Permit** from the drop down list if the purchaser has a valid Special Weapons permit. Selecting the Special Weapons permit exemption displays a **Special Weapons Permit Number field**. Enter the purchaser's Special Weapons permit number.

**Note:** Selecting a waiting period exemption will automatically apply the 30-Day Restriction Exemption.

- c. **30-Day Restriction Exemption** - Click on the **30-Day Restriction Exemption** check box if the purchaser has provided proof of having a valid exemption from the one handgun purchase per 30 days restriction.
- d. **Frame Only** – Select **Yes** or **No** whether the purchase is for a frame only; if **Yes** is selected then the firearm caliber, additional caliber, barrel length, or unit of measure will not be available for updating.
- e. **Make** – Select the name of the firearm manufacturer from the **Make** drop down list. **Tip:** Opening the **Make** drop down list and typing the first character of the make will take you to that section of the list.
- f. **Model** – Enter the model of the handgun being purchased.
- g. **Caliber** – Select the caliber of the handgun from the **Caliber** drop down list.
- h. **Additional Caliber** – If appropriate, select any additional calibers from the **Additional Caliber** drop down list.
- i. **Barrel Length** – Enter the length of the handgun's barrel. The barrel length can be from 1 - 4 numbers, and may contain a decimal point. The barrel length may be reported in inches or centimeters.
- j. **Unit** – Select the barrel length unit of measure from the **Unit** drop down list.
- k. **Category** – Select the appropriate handgun category from the **Category** drop down list.
- l. **Serial Number** – Enter and then re-enter the serial number stamped on the firearm.
- m. **Other Number** – If applicable, enter an additional number stamped on the firearm.
- n. **Color** – Select the color of the firearm from the **Color** drop down list.





## DES Application – Firearms and Ammunition Dealer User Guide

- o. **New/Used Gun** – Select whether the firearm is new or used from the *New/Used Gun* drop down list.
- p. **Firearm Safety Device (FSD)** – Select the method that the purchaser is using to comply with the FSD requirements. (For information regarding Roster of Firearms Safety Devices Certified for Sale, see the Office of the Attorney General's website: <http://oag.ca.gov/firearms/fsdcertlist>.) **Note:** This field will not display when the waiting period exemption is for a peace officer.
  - **Antique** – Select this type if the firearm is an antique pursuant to federal law.
  - **Approved Lock Box** – Select this type if the FSD is a DOJ Certified Lock Box.
  - **FSD Purchased** – Select this type if the purchaser is purchasing a DOJ Certified FSD that is not included with the purchase of the firearm.
  - **OEM** – Select this type if the firearm being purchased comes with a Certified FSD from the manufacturer.
  - **Safe Affidavit** – Select this type if the purchaser provides an affidavit that they own a Certified FSD Gun Safe.
- q. **Comments** – Enter any additional pertinent information in the *Comments* field, if applicable.

**PAWN/CONSIGNMENT HANDGUN REDEMPTION**

Select the *Pawn/Consignment Handgun Redemption* transaction type when the purchaser is redeeming a handgun that had been pawned or consigned.

**To submit a Pawn/Consignment Handgun Redemption transaction:**

- 1) From the *Main Menu* page, select the **Submit DROS** link. The *Select Transaction Type* page will display.
- 2) Select the **Pawn/Consignment Handgun Redemption** link. The *Submit Pawn/Consignment Handgun Redemption* form will display.
- 3) Enter the Purchaser Information (see Entering Purchaser and Seller Information above).
- 4) Enter the Transaction and Firearm Information as follows:
  - a. **Gun Show Transaction** – Select *Yes* or *No* from the drop down list.
  - b. **Waiting Period Exemption** – If applicable, select a waiting period exemption:
    - **CFD Number** – Select **CFD** from the drop down list if the purchaser is an active licensed firearm dealer. Selecting the CFD number waiting period exemption displays a **Purchaser CFD Number** field. Enter the purchaser's valid CFD number.





## DES Application – Firearms and Ammunition Dealer User Guide

- **Peace Officer** – This waiting period exemption requires a signed letter (wet signature) from the head of their law enforcement agency. You must keep a copy of the letter on file.
  - **Special Weapons Permit** – Select **Special Weapons Permit** from the drop down list if the purchaser has a valid Special Weapons permit. Selecting the Special Weapons permit exemption displays a **Special Weapons Permit Number field**. Enter the purchaser's Special Weapons permit number.
- c. **Frame Only** – Select *Yes* or *No* whether the purchase is for a frame only; if *Yes* is selected then the firearm caliber, additional caliber, barrel length, or unit of measure will not be available for updating.
  - d. **Make** – Select the name of the firearm manufacturer from the *Make* drop down list. **Tip:** Opening the *Make* drop down list and typing the first character of the make will take you to that section of the list.
  - e. **Model** – Enter the model of the handgun being purchased.
  - f. **Caliber** – Select the caliber of the handgun from the *Caliber* drop down list.
  - g. **Additional Caliber** – If appropriate, select any additional calibers from the *Additional Caliber* drop down list.
  - h. **Barrel Length** – Enter the length of the handgun's barrel. The barrel length can be from 1 - 4 numbers, and may contain a decimal point. The barrel length may be reported in inches or centimeters.
  - i. **Unit** – Select the barrel length unit of measure from the *Unit* drop down list.
  - j. **Category** – Select the appropriate handgun category from the *Category* drop down list.
  - k. **Serial Number** – Enter and then re-enter the serial number stamped on the firearm.
  - l. **Other Number** – If applicable, enter an additional number stamped on the firearm.
  - m. **Color** – Select the color of the firearm from the *Color* drop down list
  - n. **Comments** – Enter any additional pertinent information in the *Comments* field, if applicable.

**CURIO/RELIC HANDGUN SALE**

Select the *Curio/Relic Handgun Sale* transaction type when the handgun being purchased meets the Curio/Relic handgun definition.

**To submit a Curio/Relic Handgun Sale Transaction:**



## DES Application – Firearms and Ammunition Dealer User Guide

- 1) From the *Main Menu* page, select the **Submit DROS** link. The *Select Transaction Type* page will display.
- 2) Select the **Curio/Relic Handgun Sale** link. The *Submit Curio/Relic Handgun Sale* form will display.
- 3) Enter the Purchaser Information (see Entering Purchaser and Seller Information above).
- 4) Enter the Transaction and Firearm Information as follows:
  - a. **Gun Show Transaction** – Select **Yes** or **No** from the drop down list.
  - b. **Waiting Period Exemption** – If applicable, select a waiting period exemption:
    - **CFD Number** – Select **CFD** from the drop down list if the purchaser is an active licensed firearm dealer. Selecting the CFD number waiting period exemption displays a **Purchaser CFD Number** field. Enter the purchaser's valid CFD number.
    - **Collector** – This waiting period exemption requires a valid 03 FFL and COE. Enter the purchaser's valid COE. You must keep a copy of the 03 FFL and COE on file.
    - **Peace Officer** – This waiting period exemption requires a signed letter (wet signature) from the head of their law enforcement agency. You must keep a copy of the letter on file.
    - **Special Weapons Permit** – Select **Special Weapons Permit** from the drop down list if the purchaser has a valid Special Weapons permit. Selecting the Special Weapons permit exemption displays a **Special Weapons Permit Number field**. Enter the purchaser's Special Weapons permit number.

**Note:** Selecting a waiting period exemption will automatically apply the 30-Day Restriction Exemption.
  - c. **30-Day Restriction Exemption** - Click on the 30-Day Restriction Exemption check box if the purchaser has provided proof of having a valid exemption from the one handgun purchase per 30 days restriction.
  - d. **Frame Only** – Select **Yes** or **No** whether the purchase is for a handgun frame only; if **Yes** is selected then the firearm caliber, additional caliber, barrel length, or unit of measure will not be available for updating.
  - e. **Make** – Select the name of the firearm manufacturer from the **Make** drop down list. **Tip:** Opening the **Make** drop down list and typing the first character of the make will take you to that section of the list.
  - f. **Model** – Enter the model of the handgun being purchased.
  - g. **Caliber** – Select the caliber of the handgun from the **Caliber** drop down list.



## DES Application – Firearms and Ammunition Dealer User Guide

- h. **Additional Caliber** – If appropriate, select any additional calibers from the *Additional Caliber* drop down list.
- i. **Barrel Length** – Enter the length of the handgun's barrel. The barrel length can be from 1 - 4 numbers, and may contain a decimal point. The barrel length may be reported in inches or centimeters.
- j. **Unit** – Select the barrel length unit of measure from the *Unit* drop down list.
- k. **Category** – Select the appropriate handgun category from the *Category* drop down list.
- l. **Serial Number** – Enter and then re-enter the serial number stamped on the firearm.
- m. **Other Number** – If applicable, enter an additional number stamped on the firearm.
- n. **Color** – Select the color of the firearm from the *Color* drop down list.
- o. **New/Used Gun** – Select whether the firearm is new or used from the *New/Used Gun* drop down list.
- p. **Firearm Safety Device (FSD)** – Select the method that the purchaser is using to comply with the FSD requirements. (For information regarding Roster of Firearms Safety Devices Certified for Sale, see the Office of the Attorney General's website: <http://oag.ca.gov/firearms/fsdcertlist>.) **Note:** This field will not display when the waiting period exemption is for a peace officer.
  - **Antique** – Select this type if the firearm is an antique pursuant to federal law.
  - **Approved Lock Box** – Select this type if the FSD is a DOJ Certified Lock Box.
  - **FSD Purchased** – Select this type if the purchaser is purchasing a DOJ Certified FSD that is not included with the purchase of the firearm.
  - **OEM** – Select this type if the firearm being purchased comes with a Certified FSD from the manufacturer.
  - **Safe Affidavit** – Select this type if the purchaser provides an affidavit that they own a Certified FSD Gun Safe.
- q. **Comments** – Enter any additional pertinent information in the *Comments* field, if applicable.





## DES Application – Firearms and Ammunition Dealer User Guide

**OLYMPIC PISTOL SALE**

Select the ***Olympic Pistol Sale*** transaction type when the handgun being purchased meets the Olympic Pistol handgun definition.

**To submit an Olympic Pistol Sale transaction:**

- 1) From the *Main Menu* page, select the ***Submit DROS*** link. The *Select Transaction Type* page will display.
- 2) Select the ***Olympic Pistol Sale*** link. The *Submit Olympic Pistol Sale* form will display.
- 3) Enter the Purchaser Information (see Entering Purchaser and Seller Information above).
- 4) Enter the Transaction and Firearm Information as follows:
  - a. **Gun Show Transaction** – Select ***Yes*** or ***No*** from the drop down list.
  - b. **Waiting Period Exemption** – If applicable, select a waiting period exemption:
    - i. **CFD Number** – Select **CFD** from the drop down list if the purchaser is an active licensed firearm dealer. Selecting the CFD number waiting period exemption displays a ***Purchaser CFD Number*** field. Enter the purchaser's valid CFD number.
    - ii. **Peace Officer** – This waiting period exemption requires a signed letter (wet signature) from the head of their law enforcement agency. You must keep a copy of the letter on file.
    - iii. **Special Weapons Permit** – Select **Special Weapons Permit** from the drop down list if the purchaser has a valid Special Weapons permit. Selecting the Special Weapons permit exemption displays a ***Special Weapons Permit Number field***. Enter the purchaser's Special Weapons permit number.
  - c. **30-Day Restriction Exemption** - Click on the **30-Day Restriction Exemption** check box if the purchaser has provided proof of having a valid exemption from the one handgun purchase per 30 days restriction.
  - d. **Frame Only** – Select ***Yes*** or ***No*** whether the purchase is for a frame only; if ***Yes*** is selected then the firearm caliber, additional caliber, barrel length, or unit of measure will not be available for updating.
  - e. **Make** – Select the name of the firearm manufacturer from the ***Make*** drop down list. **Tip:** Opening the ***Make*** drop down list and typing the first character of the make will take you to that section of the list.
  - f. **Model** – Enter the model of the handgun being purchased.
  - g. **Caliber** – Select the caliber of the handgun from the ***Caliber*** drop down list.
  - h. **Additional Caliber** – If appropriate, select any additional calibers from the ***Additional Caliber*** drop down list.



California Department of Justice  
Bureau of Firearms



DES Application – Firearms and Ammunition Dealer User Guide

- i. **Barrel Length** – Enter the length of the handgun's barrel. The barrel length can be from 1 - 4 numbers, and may contain a decimal point. The barrel length may be reported in inches or centimeters.
- j. **Unit** – Select the barrel length unit of measure from the **Unit** drop down list.
- k. **Category** – Select the appropriate handgun category from the **Category** drop down list.
- l. **Serial Number** – Enter and then re-enter the serial number stamped on the firearm.
- m. **Other Number** – If applicable, enter an additional number stamped on the firearm.
- n. **Color** – Select the color of the firearm from the **Color** drop down list.
- o. **New/Used Gun** – Select whether the firearm is new or used from the **New/Used Gun** drop down list.
- p. **Firearm Safety Device (FSD)** – Select the method that the Purchaser is using to comply with the FSD requirements. (For information regarding Roster of Firearms Safety Devices Certified for Sale, see the Office of the Attorney General's website: <http://oag.ca.gov/firearms/fsdcertlist>.) **Note:** This field will not display when the waiting period exemption is for a peace officer.
  - i. **Antique** – Select this type if the firearm is an antique pursuant to federal law.
  - ii. **Approved Lock Box** – Select this type if the FSD is a DOJ Certified Lock Box.
  - iii. **FSD Purchased** – Select this type if the purchaser is purchasing a DOJ Certified FSD that is not included with the purchase of the firearm.
  - iv. **OEM** – Select this type if the firearm being purchased comes with a Certified FSD from the manufacturer.
  - v. **Safe Affidavit** – Select this type if the purchaser provides an affidavit that they own a Certified FSD Gun Safe.
- q. **Comments** – Enter any additional pertinent information in the **Comments** field, if applicable.

## HANDGUN LOAN

Loan between two California residents with an anticipated return to owner date.

### To submit a Handgun Loan transaction:

- 1) From the *Main Menu* page, select the **Submit DROS** link. The *Select Transaction Type* page will display.
- 2) Select the **Handgun Loan** link. The *Submit Handgun Loan* form will display.



## DES Application – Firearms and Ammunition Dealer User Guide

- 3) Enter the Purchaser and Seller Information (see Entering Purchaser and Seller Information above).
- 4) Enter the Transaction and Firearm Information as follows:
  - a. **Gun Show Transaction** – Select *Yes* or *No* from the drop down list.
  - b. **Waiting Period Exemption** – If applicable, select a waiting period exemption:
    - **CFD Number** – Select **CFD** from the drop down list if the purchaser is an active licensed firearm dealer. Selecting the CFD number waiting Period exemption displays a **Purchaser CFD Number** field. Enter the purchaser's valid CFD number.
    - **Peace Officer** – This waiting period exemption requires a signed letter (wet signature) from the head of their law enforcement agency. You must keep a copy of the letter on file.
    - **Special Weapons Permit** – Select **Special Weapons Permit** from the drop down list if the purchaser has a valid Special Weapons permit. Selecting the Special Weapons permit exemption displays a **Special Weapons Permit Number** field. Enter the purchaser's Special Weapons permit number.
  - c. **30-Day Restriction Exemption** - Click on the **30-Day Restriction Exemption** check box if the purchaser has provided proof of having a valid exemption from the one handgun purchase per 30 days restriction.
  - d. **Frame Only** – Select *Yes* or *No* whether the purchase is for a frame only; if *Yes* is selected then the firearm caliber, additional caliber, barrel length, or unit of measure will not be available for updating.
  - e. **Make** – Select the name of the firearm manufacturer from the **Make** drop down list. **Tip:** Opening the **Make** drop down list and typing the first character of the make will take you to that section of the list.
  - f. **Model** – Enter the model of the handgun being purchased.
  - g. **Caliber** – Select the caliber of the handgun from the **Caliber** drop down list.
  - h. **Additional Caliber** – If appropriate, select any additional calibers from the **Additional Caliber** drop down list.
  - i. **Barrel Length** – Enter the length of the handgun's barrel. The barrel length can be from 1 - 4 numbers, and may contain a decimal point. The barrel length may be reported in inches or centimeters.
  - j. **Unit** – Select the barrel length unit of measure from the **Unit** drop down list.
  - k. **Category** – Select the appropriate handgun category from the **Category** drop down list.



## DES Application – Firearms and Ammunition Dealer User Guide

- l. **Serial Number** – Enter and then re-enter the serial number stamped on the firearm.
- m. **Other Number** – If applicable, enter an additional number stamped on the firearm.
- n. **Color** – Select the color of the firearm from the **Color** drop down list.
- o. **Comments** – Enter any additional pertinent information in the **Comments** field, if applicable.

**DEALER LONG GUN SALE**

Select the **Dealer Long Gun Sale** transaction type when a Long Gun is being purchased from a dealer.

**To submit a Dealer Long Gun Sale transaction:**

- 1) From the *Main Menu* page, select the **Submit DROS** link. The *Select Transaction Type* page will display.
- 2) Select the **Dealer Long Gun Sale** link. The *Submit Dealer Long Gun Sale* form will display.
- 3) Enter the Purchaser Information (see Entering Purchaser and Seller Information above).
- 4) Enter the Transaction and Firearm Information as follows:
  - a. **Gun Show Transaction** – Select **Yes** or **No** from the drop down list.
  - b. **Waiting Period Exemption** – If applicable, select a waiting period exemption:
    - **CFD Number** – Select **CFD** from the drop down list if the purchaser is an active licensed firearm dealer. Selecting the CFD number waiting period exemption displays a **Purchaser CFD Number** field. Enter the purchaser's valid CFD number.
    - **Peace Officer** – This waiting period exemption requires a signed letter (wet signature) from the head of their law enforcement agency. You must keep a copy of the letter on file.
    - **Special Weapons Permit** – Select **Special Weapons Permit** from the drop down list if the purchaser has a valid Special Weapons permit. Selecting the Special Weapons permit exemption displays a **Special Weapons Permit Number field**. Enter the purchaser's Special Weapons permit number.
  - c. **Receiver Only** – Select **Yes** or **No** whether the purchase is for a receiver only; if **Yes** is selected then the firearm caliber, additional caliber, barrel length, or unit of measure will not be available for updating..





## DES Application – Firearms and Ammunition Dealer User Guide

- d. **Make** – Select the name of the firearm manufacturer from the **Make** drop down list. **Tip:** Opening the **Make** drop down list and typing the first character of the make will take you to that section of the list.
- e. **Model** – Enter the model of the firearm being purchased.
- f. **Caliber** – Select the caliber of the firearm from the **Caliber** drop down list.
- g. **Additional Caliber** – If appropriate, select any additional calibers from the **Additional Caliber** drop down list.
- h. **Barrel Length** – Enter the length of the firearm's barrel. The barrel length can be from 1 - 4 numbers, and may contain a decimal point. The barrel length may be reported in inches or centimeters.
- i. **Unit** – Select the barrel length unit of measure from the **Unit** drop down list.
- j. **Gun Type** – Select the type of long gun from the **Gun Type** drop down list.
- k. **Category** – Select the appropriate long gun category from the **Category** drop down list.
- l. **Serial Number** – Enter and then re-enter the serial number stamped on the firearm.
- m. **Other Number** – If applicable, enter an additional number stamped on the firearm.
- n. **Color** – Select the color of the firearm from the **Color** drop down list.
- o. **New/Used Gun** – Select whether the firearm is new or used from the **New/Used Gun** drop down list.
- p. **Firearm Safety Device (FSD)** – Select the method that the purchaser is using to comply with the FSD requirements. (For information regarding Roster of Firearms Safety Devices Certified for Sale, see the Office of the Attorney General's website: <http://oag.ca.gov/firearms/fsdcertlist>.) **Note:** This field will not display when the waiting period is for a peace officer.
  - **Antique** – Select this type if the firearm is an antique pursuant to federal law.
  - **Approved Lock Box** – Select this type if the FSD is a DOJ Certified Lock Box.
  - **FSD Purchased** – Select this type if the Purchaser is purchasing a DOJ Certified FSD that is not included with the purchase of the firearm.
  - **OEM** – Select this type if the firearm being purchased comes with a Certified FSD from the manufacturer.
  - **Safe Affidavit** – Select this type if the purchaser provides an affidavit that they own a Certified FSD Gun Safe.





## DES Application – Firearms and Ammunition Dealer User Guide

- q. **Comments** – Enter any additional pertinent information in the **Comments** field, if applicable.

**PRIVATE PARTY LONG GUN TRANSFER**

Select the **Private Party Long Gun Transfer** transaction type when the individual selling or transferring a Long Gun is not a firearm dealer.

**To submit a Private Party Long Gun Transfer transaction:**

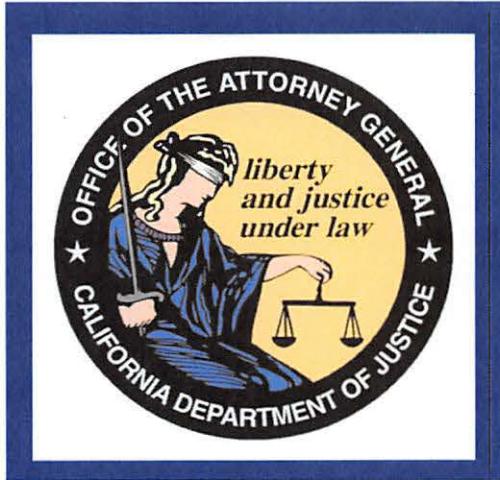
- 1) From the *Main Menu* page, select the **Submit DROS** link. The *Select Transaction Type* page will display.
- 2) Select the **Private Party Long Gun Transfer** link. The *Submit Private Party Long Gun Transfer* form will display.
- 3) Enter the Purchaser and Seller Information (see Entering Purchaser and Seller Information above).
- 4) Enter the Transaction and Firearm Information as follows:
  - a. **Gun Show Transaction** – Select **Yes** or **No** from the drop down list.
  - b. **Waiting Period Exemption** – If applicable, select a waiting period exemption:
    - **CFD Number** – Select **CFD** from the drop down list if the purchaser is an active licensed firearm dealer. Selecting the CFD number waiting period exemption displays a **Purchaser CFD Number** field. Enter the purchaser's valid CFD number
    - **Collector** – This waiting period exemption requires a valid 03 FFL and COE. Enter the purchaser's valid COE. You must keep a copy of the 03 FFL and COE on file.
    - **Peace Officer** – This waiting period exemption requires a signed letter (wet signature) from the head of their law enforcement agency. You must keep a copy of the letter on file.
    - **Special Weapons Permit** – Select **Special Weapons Permit** from the drop down list if the purchaser has a valid Special Weapons permit. Selecting the Special Weapons permit exemption displays a **Special Weapons Permit Number field**. Enter the purchaser's Special Weapons permit number.
  - c. **Receiver Only** – Select **Yes** or **No** whether the purchase is for a receiver only; if **Yes** is selected then the firearm caliber, additional caliber, barrel length, or unit of measure will not be available for updating.
  - d. **Make** – Select the name of the firearm manufacturer from the **Make** drop down list. **Tip:** Opening the **Make** drop down list and typing the first character of the make will take you to that section of the list.



## DES Application – Firearms and Ammunition Dealer User Guide

- e. **Model** – Enter the model of the firearm being purchased.
- f. **Caliber** – Select the caliber of the firearm from the **Caliber** drop down list.
- g. **Additional Caliber** – If appropriate, select any additional calibers from the **Additional Caliber** drop down list.
- h. **Barrel Length** – Enter the length of the firearm's barrel. The barrel length can be from 1 - 4 numbers, and may contain a decimal point. The barrel length may be reported in inches or centimeters.
- i. **Unit** – Select the barrel length unit of measure from the **Unit** drop down list.
- j. **Gun Type** – Select the type of firearm from the **Gun Type** drop down list.
- k. **Category** – Select the appropriate long gun category from the **Category** drop down list. **Note:** The Category drop down list is blank until a **Gun Type** is selected.
- l. **Serial Number** – Enter and then re-enter the serial number stamped on the firearm.
- m. **Other Number** – If applicable, enter any additional number stamped on the firearm.
- n. **Color** – Select the color of the firearm from the **Color** drop down list.
- o. **Firearm Safety Device (FSD)** – Select the method that the Purchaser is using to comply with the FSD requirements. (For information regarding Roster of Firearms Safety Devices Certified for Sale, see the Office of the Attorney General's website: <http://oag.ca.gov/firearms/fsdcertlist>.) **Note:** This field will not display when the waiting period exemption is for a peace officer.
  - **Antique** – Select this type if the firearm is an antique pursuant to federal law.
  - **Approved Lock Box** – Select this type if the FSD is a DOJ Certified Lock Box.
  - **FSD Purchased** – Select this type if the purchaser is purchasing a DOJ Certified FSD that is not included with the purchase of the firearm.
  - **OEM** – Select this type if the firearm being purchased comes with a Certified FSD from the manufacturer.
  - **Safe Affidavit** – Select this type if the purchaser provides an affidavit that they own a Certified FSD Gun Safe.
- p. **Comments** – Enter any additional pertinent information in the **Comments** field, if applicable.

# EXHIBIT 6



**California Department of Justice  
Bureau of Firearms  
DROS Entry System (DES)  
Ammunition Vendor User Guide**

**California Department of Justice  
Bureau of Firearms  
06/27/2019  
Rev. 1**





DES Application – Ammunition Vendor User Guide

# TABLE OF CONTENTS

1. INTRODUCTION .....	5
OVERVIEW .....	5
WEBSITE ADDRESS .....	5
DES HOURS .....	5
CONTACTING THE BUREAU OF FIREARMS CUSTOMER SUPPORT CENTER .....	5
IMAGES PRESENTED WITHIN THIS DOCUMENT .....	5
PRINTING .....	5
TECHNICAL REQUIREMENTS .....	7
DEFINITIONS, ACRONYMS, AND ABBREVIATIONS .....	8
2. USING THE DES APPLICATION .....	9
NAVIGATION WITHIN THE DES APPLICATION .....	9
REQUIRED FIELDS ON FORMS .....	10
EXITING THE DES APPLICATION .....	10
SESSION TIME OUT .....	10
REPORTING AN ISSUE .....	10
3. ENROLLING IN DES .....	11
4. LOGGING ON TO DES .....	15
5. DES MAIN MENU PAGE .....	18
OVERVIEW .....	18
MESSAGES .....	19
6. MY ACCOUNT LINKS .....	19
EDIT MY PROFILE .....	19
CHANGE MY PASSWORD .....	20
MY ISSUE LOG .....	21
7. ADMINISTRATION LINKS .....	22
OVERVIEW .....	22
NEW ACCOUNT REQUESTS .....	22
MANAGE EMPLOYEES .....	24
VIEW EMPLOYEES .....	24
MODIFY AN EMPLOYEE'S ACCOUNT .....	24
ASSIGNING ADDITIONAL DEALERSHIPS .....	24
UNLOCKING AN EMPLOYEE'S ACCOUNT .....	25



DES Application – Ammunition Vendor User Guide

UNLOCKING A COE HOLDER'S ACCOUNT .....	25
REMOVING AN EMPLOYEE FROM THE DES APPLICATION .....	25
MANAGE DEALERSHIPS .....	26
TO ASSOCIATE ADDITIONAL DEALERSHIPS .....	26
8. DES INVOICING .....	27
DES FEES AND BILLING CYCLE .....	27
VIEWING YOUR CURRENT DES INVOICE .....	29
PAYING YOUR DES INVOICE .....	30
PAYING YOUR PAST DUE DES INVOICE .....	30
ENTERING YOUR CREDIT/DEBIT CARD INFORMATION .....	32
VIEW PAID INVOICES .....	33
CREDIT INVOICE HISTORY .....	34
9. TRANSACTIONS, NOTICES, BULLETINS .....	35
OVERVIEW .....	35
SELECTING A DEALERSHIP .....	35
REVIEW AMMUNITION ELIGIBILITY NOTICES .....	36
TYPES OF AMMUNITION ELIGIBILITY CHECK(S) .....	37
REVIEW INFORMATION BULLETINS .....	37
10. AMMUNITION TRANSACTIONS .....	38
11. SUBMIT AMMUNITION ELIGIBILITY CHECK .....	39
OVERVIEW .....	39
12. TYPES OF AMMUNITION ELIGIBILITY CHECK(S) .....	40
OVERVIEW .....	40
STANDARD AMMUNITION ELIGIBILITY CHECK .....	40
BASIC AMMUNITION ELIGIBILITY CHECK .....	41
CERTIFICATE OF ELIGIBILITY CHECK .....	42
13. SEARCH AMMUNITION ELIGIBILITY CHECK .....	43
OVERVIEW .....	43
14. SUBMIT AMMUNITION PURCHASE(S) .....	44
OVERVIEW .....	44
15. ADD TO FREQUENTLY SOLD AMMUNITION LIST .....	48
OVERVIEW .....	48
16. SEARCH FREQUENTLY SOLD AMMUNITION LIST .....	49

California Department of Justice  
Bureau of Firearms



DES Application – Ammunition Vendor User Guide

OVERVIEW.....49

17. USE OF RECAPTCHA.....50



## 1. INTRODUCTION

### OVERVIEW

The DROS Entry System (DES) is a web-based application used by ammunition vendors to submit ammunition eligibility checks to the Department of Justice, Bureau of Firearms and subsequently receive eligibility determinations through the system. Furthermore, DES enables ammunition vendors to report information, relative to the sale or transfer of ammunition, at the time of delivery. The purpose of this document is to provide a step-by-step user guide for accessing and using the DES application.

### WEBSITE ADDRESS

The website address for the DES web application is:

<https://DES.doj.ca.gov>

**Note:** As this is a secure website designed to ensure that DES data is encrypted when transmitted over the internet, be sure to include the entire website address including the prefix **https://** when accessing this website. You can bookmark this page to make accessing this site easier in the future.

### DES HOURS

The DROS Entry System is available 4:00 AM – 1:00 AM, Monday through Sunday, unless stated otherwise.

### CONTACTING THE BUREAU OF FIREARMS CUSTOMER SUPPORT CENTER

A **Contact Us** link is available on each page of the application, including the log on page. This link opens a window containing information on how to contact the Customer Support Center should you need assistance.

State of California  
Department of Justice



Office of the  
Attorney General

AG Home Page  
DROS Entry System (DES) 1.14.0.0 (04/25/2019)

**Contact Us** Conditions of Use

### IMAGES PRESENTED WITHIN THIS DOCUMENT

For security reasons, some data appearing on screen images will appear blurred out.

### PRINTING

All printing from the DES application will be to your local printer. If you have problems with reports not fitting properly on the printed page, you may need to adjust your settings as follows: From your browser, select **File** then select **Page Setup**. From the Page Setup screen, enter the settings as shown in Figure 1.2 (Internet Explorer) or Figure 1.3 (Firefox).



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DES Application – Ammunition Vendor User Guide

Figure 1.2, Internet Explorer Page Setup

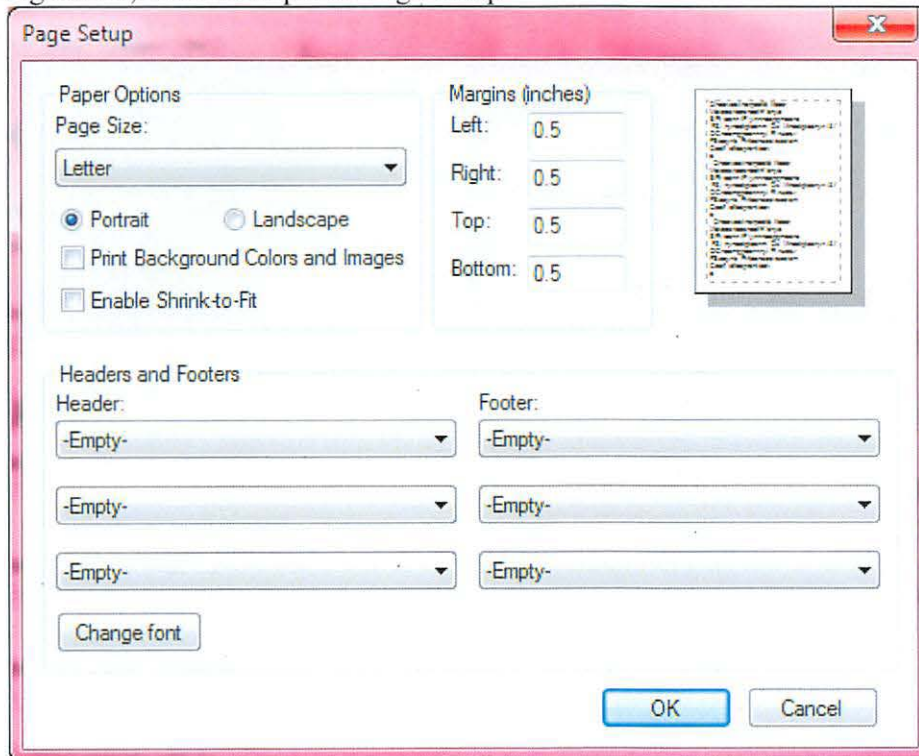
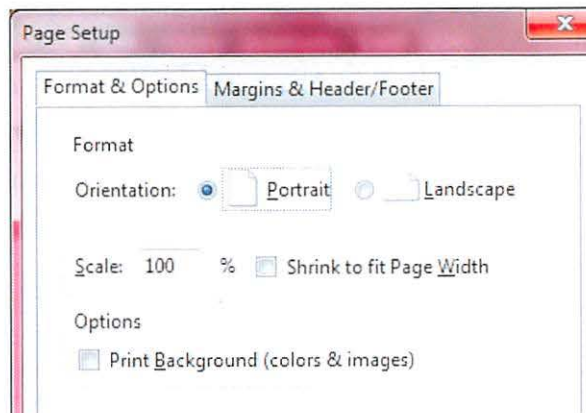
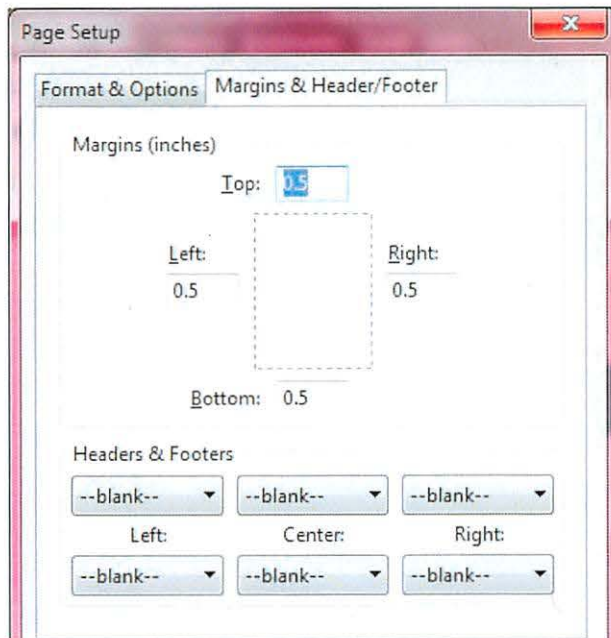


Figure 1.3, Firefox Page Setup





## DES Application – Ammunition Vendor User Guide

**TECHNICAL REQUIREMENTS**

The DES application should work with most common and up-to-date web browsers, and has been tested with the following:

- Mozilla Firefox
- Google Chrome
- Safari (not supported by Windows)
- Internet Explorer 9 and above

**Note:** System requirements vary for each internet web browser. Please refer to the web browser system requirements to determine compatibility with your computer. Additional browsers might work with DES; however DOJ cannot guarantee that their features will work as expected.

If your web browser blocks pop-up windows, the DES application must be added to the list of sites from which pop-ups are allowed, also known as “Exceptions.” (For Firefox, see **Tools | Options | Content | (Block pop-up windows) Exceptions**. For Internet Explorer, see **Tools | Internet Options | Privacy | (Pop-up blocker) Settings**).

The reports generated by this system will be in the Adobe Portable Document Format (PDF), which will require that you have Adobe Acrobat Reader installed on your computer in order to view, save, or print a report. The latest version of Adobe Acrobat Reader can be obtained from Adobe’s website: <http://get.adobe.com/reader/>.



## DES Application – Ammunition Vendor User Guide

**DEFINITIONS, ACRONYMS, AND ABBREVIATIONS**

Term/Acronym	Definition
AFS	Automated Firearms System
ATN	Ammunition Transaction Number
BAEC	Basic Ammunition Eligibility Check means the Department's ammunition eligibility check as prescribed by Penal Code section 30370, subdivision (c). The Department shall conduct a Basic Ammunition Eligibility Check to authorize a purchaser or transferee who is not prohibited from purchasing or possessing ammunition in a single ammunition transaction or purchase.
BOF	Bureau of Firearms
CAV	California Ammunition Vendor means an individual with a valid ammunition vendor license issued pursuant to Penal Code section 30342.
CFARS	California Firearms Application Reporting System
CFD	California Firearms Dealer
COE	Certificate of Eligibility means a certificate which states that the Department has checked its records and the records available to the Department in the National Instant Criminal Background Check System and determined that the applicant is not prohibited from acquiring or possessing firearms.
COE Holder	A person who obtains a valid Certificate of Eligibility.
COE Verification Process (COE Check)	A purchaser or transferee is authorized to purchase ammunition if they hold a current Certificate of Eligibility, subsequent to verification by the Department.
DES	Dealer Record Of Sale Entry System
DOJ	Department of Justice
DROS	Dealer Record of Sale
Firearms Eligibility Check	A state and federal background check, pursuant to Penal Code section 28220, that is used to determine an individual's eligibility to possess, receive, own, or purchase a firearm.
Head of the Agency	Means the chief of police or the director of public safety for a police department, the sheriff for a county sheriff's office, the head of an agency or their designee for a state law enforcement agency, and the manager in charge of any local field office for a federal law enforcement agency.





## DES Application – Ammunition Vendor User Guide

Inventory Code	A customizable setting design by a dealer for specific ammunition type.
PDF	Portable Document Format means the file type used for displaying reports within the DES application.
Pop-up window (pop-ups)	An additional web browser window opened by a main page.
reCAPTCHA	A challenge/response test used to verify that a person, and not another computer, is interacting with a system. The CAPTCHA acronym stands for: Completely Automated Public Turing test to tell Computers and Humans Apart.
SAEC	Standard Ammunition Eligibility Check means the Department's ammunition eligibility check as prescribed by Penal Code section 30370, subdivision (b). A purchaser or transferee is authorized to purchase ammunition if their information matches an entry in the Automated Firearm System and does not match an entry in the Prohibited Armed Persons File.

## 2. USING THE DES APPLICATION

In order to use the DES application, you must request a DES account to obtain a valid user name and password combination (See Section 3, *Enrolling in DES*).

### NAVIGATION WITHIN THE DES APPLICATION

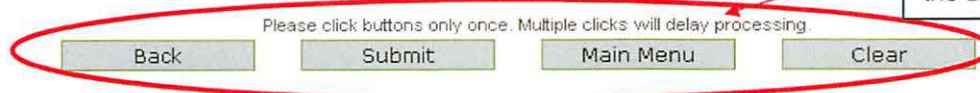
The DES application is a web based application. You can navigate the web pages using either your computer mouse or tab button.

There is one important distinction between websites and web applications concerning the use of browser navigation buttons. The browser navigation and refresh buttons, as shown below, should not be used to navigate within the DES application. Instead, you should navigate the DES application using the buttons and/or links that are found on the application's pages.



**Do not** use the browser buttons to navigate within the DES application.

**Use** DES application buttons to navigate within the DES application.







## DES Application – Ammunition Vendor User Guide

**REQUIRED FIELDS ON FORMS**

On all data entry pages, required fields are clearly marked by a red asterisk preceding the field label.

\*Current Password

**EXITING THE DES APPLICATION**

To exit the DES application, select **Log Off**. You will be logged off from the DES application and returned to the **DROS Entry System Log On** page.

**Note:** Avoid closing the browser window while you are still logged on to the DES. Closing an active window can allow the DES to keep your session open, which could lead to problems logging back on should you attempt this within a short time of closing your browser window.

DROS Entry System (DES) 1.1.0.173 (09/10/2013)    Contact Us    Report an Issue    User Guide    Conditions of Use    **Log Off**

**SESSION TIME OUT**

For security reasons, the DES will time out after 30 minutes of inactivity. If this occurs, the system will display a message indicating that your session has timed out. You will need to log on again to use the system.

**REPORTING AN ISSUE**

If you run into a problem or have a question about using the application, you can report the issue to the Customer Support Center using the **Report an Issue** link which is provided throughout the application.

**Note:** You must be logged on to the DES application in order to use this feature.

DROS Entry System (DES) 1.1.0.173 (09/10/2013)    Contact Us    **Report an Issue**    User Guide    Conditions of Use    Log Off

**Report an Issue**

\*Issue Type  
Having trouble submitting a DROS transaction

\*Comment

Enter additional information concerning the issue. 200 character limit. Characters remaining: 199

Please click buttons only once. Multiple clicks will delay processing.

Submit    Clear    Main Menu



DES Application – Ammunition Vendor User Guide

**To report an issue:**

- 1) Select the **Report an Issue** link located at the top of any page within the DES application.
- 2) Select the Issue Type from the drop down list.
- 3) Enter a comment that describes the issue in 200 characters or less.
- 4) Click on **Submit**.
- 5) Once you have submitted your issue, it will be reviewed by a Customer Support Center analyst. Once the Customer Support Center replies to your issue, you will see a message on the *Main Menu* page. The message will display after clicking the **My Issue Log** link on the *My Issue Log* page (See Section 6, *My Account Link, My Issue Log*).

### 3. ENROLLING IN DES

Enrolling in DES is a two or three step process, depending on whether you are the Ammunition Vendor COE Holder or are enrolling under the authority of the Ammunition Vendor COE Holder.

**IMPORTANT:** The DES application will not allow employees to enroll until the Ammunition Vendor COE Holder has enrolled.

**To enroll in DES:**

- 1) Navigate to the **DROS Entry System Log on** page (<https://DES.doj.ca.gov>).
- 2) Click on request a DES account link.

Not yet a DES user?  
If you are not a DES user, [request a DES account](#).

Current DES users [\[View User Name and Password information\]](#)

*User Name	*Password
<input type="text"/>	<input type="password"/>
<a href="#">Forgot User Name?</a>	<a href="#">Forgot Password?</a>
<a href="#">Forgot User Name and Password?</a>	

Please click buttons only once. Multiple clicks will delay processing

- 3) The **DROS Entry System Account Request/Enrollment Guidelines** page, lists the information you will need to create a DES account.



## DES Application – Ammunition Vendor User Guide

## DROS Entry System Account Request/Enrollment Guidelines

You will need a combination of the following information to complete account request/enrollment

- ▶ California Firearms Dealer (CFD) Dealer ID
- ▶ California Ammunition Vendor (CAV) number
- ▶ Dealership Certificate of Eligibility (COE) number
- ▶ Federal Firearms License (FFL) number
- ▶ A unique personal identification number (for example, your driver's license number)

If you have all the required information and are ready to enroll, please press the "Continue" button to proceed, otherwise press the "Cancel" button.



- 4) If you have all the required information, click on the **Continue** button. The **DROS Entry System Terms of Use Agreement** page displays for your agreement.
- 5) If you agree with the **DROS Entry System Terms of Use Agreement**, click "**I Agree.**" The **User Account Request, Part 1** page will display.

## User Account Request, Part 1

## Step 1: Submit Dealer Information for Verification

*Are you a dealership COE Holder?	*Dealership COE Number	*CFD/CAV Number
Select <input type="text"/>	<input type="text"/>	<input type="text"/>
<small>           ⓘ If you have an Employee COE or other COE type, select No.         </small>		

- 6) **User Account Request, Part 1: Step 1: Submit Dealer Information for Verification**
  - a. Are you a dealership COE holder?
    - i. If you are the Main COE holder, select **YES**.
    - ii. If you have an Employee COE or other COE type, select **NO**.
  - b. Enter the Vendor COE number for the license you are enrolling with.
  - c. Enter the CAV number for the vendor that you are enrolling with. If there are multiple vendors under the COE that you will be working with, enter any one of the CAV numbers that apply. Additionally, CAVs can be assigned at a later date or time.

**Note:** Only answer **YES** to this question if your name is on the California Ammunition Vendor license. Answer **NO** to this question if you have an employee or other non-dealership type of COE number or if you do not have a COE number. If you have questions, please contact the Customer Support Center.

- 7) Select "**I'm not a robot**" to view the reCAPTCHA verification images.



California Department of Justice  
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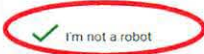


DES Application – Ammunition Vendor User Guide

User Account Request, Part 1

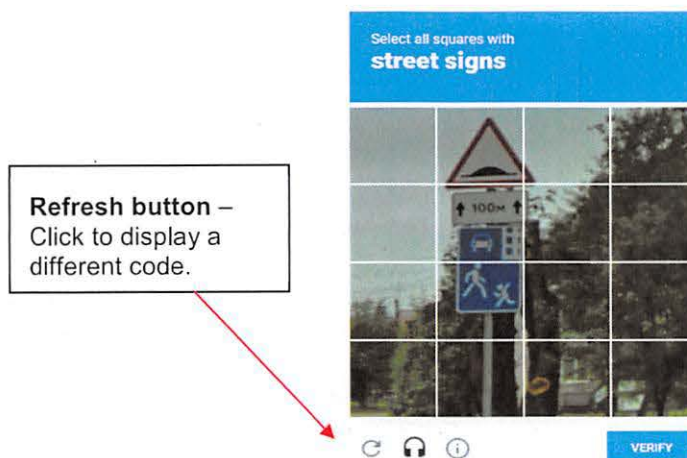
Step 1: Submit Dealer Information for Verification

\*Are you a dealership COE Holder? \*Dealership COE Number \*CFD/CAV Number  
Select  
If you have an Employee COE or other COE type, select No



Submit Clear Cancel

- 8) Identify the reCAPTCHA verification images. If you are unable to determine the images in the reCAPTCHA code, click on the refresh icon next to the verification code, and a new code will be displayed. For more details on reCAPTCHA, (See Section 17, *Use of reCAPTCHA*).



- 9) If you selected **YES** in *User Account Request, Part 1*, “*User Account Request, Part 2*” will display.

User Account Request, Part 2

Step 2: Submit Employee Information for Verification

\*Dealership COE Number \*CAV Number



\*Personal ID Number

Enter the ID Number on record for your COE. Otherwise, enter government issued ID number.



## DES Application – Ammunition Vendor User Guide

- 10) If you selected **NO** in **Step 1**, the below version of “**User Account Request, Part 2**” will display.

## User Account Request, Part 2

**Step 2: Submit Employee Information for Verification**

*Dealership COE Number <input type="text"/>	*CAV Number <input type="text"/>	Employee COE Number <input type="text"/>	*Personal ID Number <input type="text"/>
--	-------------------------------------	---	---

Enter the ID Number on record for your COE. Otherwise, enter government issued ID number.

- 11) Enter your CA Driver License or ID number in the Personal ID Number field. The ID number entered must match the ID number on record for your COE.
- 12) Click on **Submit**. If the enrollment information is correct and matches an active account, the system will display the **User Account Request, Part 3** screen.

**Note:** If there is a problem with the enrollment information, the DES will display a generic error message: *There is a problem with either the information you entered or with the account. Please verify the information and try again.* For security reasons, the message will not state the exact nature of the problem. The following are some possible reasons for the error:

- CAV and/or COE number were entered incorrectly or match an inactive account.
  - The COE holder hasn't created their account prior to an employee attempting to create their account.
  - The COE holder entered a Personal ID number that does not match the ID number associated to their COE.
- 13) Enter your user information: **Note:** If you have a dealership, employee, or other non-dealership COE number, your DES User information **must match** your COE information exactly.
- Enter your **Last Name** (may include alphas, hyphens, and spaces).
  - Enter your **First Name** (may include alphas and spaces).
  - Enter your **Middle Initial**, Optional.
  - Select your **Identity Verification Questions** from the drop down list.
  - Enter the responses associated with each of the questions. You will need to enter these responses should you forget your password or user name or should you get locked out of the DES application.
  - Enter the **Password** that you want to use for the DES. **Note:** Click on the **Password Format** link to view the allowable password format.
  - Re-enter your **Password**.



## DES Application – Ammunition Vendor User Guide

- Click on **Submit**. Once you have submitted the requested information, the system will present a confirmation page allowing you to review the information that you entered.
- If you discover an error, click on **Edit Request** to go back to the request page and edit the field where you discovered the error.
- If the information is correct, click on **Confirmed, Submit**. A confirmation message will be displayed to confirm submission of the account request.
- If you are the COE Holder and if your COE number is associated to multiple dealerships, the Manage Dealership screen will display (See Section 7, *Manage Dealerships*).
- The system displays the **User Name** that you will use to access the DES application. Please make note of your user name, as you will need to use it each time you access the DES application.

**Note:** If you are the COE Holder, you may immediately log on to the DES application using the user name assigned by DES and the password that you created as part of the enrollment process. If you are not the COE Holder, you cannot log on to the DES application until your account has been approved by the COE Holder or store manager (See Section 7, *Assigning permissions*).

#### 4. LOGGING ON TO DES

##### In order to Log On to the DES application:

- You must first enroll in the application (See Section 3, *Enrolling in DES*).

If you are not a COE Holder, your store manager or COE Holder must approve your account request and setup your permissions before you can log on (See Section 7, *Administrator Links*).

##### To Log On to the DES application:

- 1) Navigate to the *DROS Entry System Log On* page (<https://DES.doj.ca.gov>).
- 2) Enter your User Name
- 3) Enter your Password
- 4) Click on the **Log On** button

If you enter either an invalid user name or password, the system will display a warning message. If you enter too many unsuccessful user name or password attempts, the system will lock your account, and you will need to contact your store manager to unlock it. (If you are the COE Holder and lock your account, you will need to contact the Customer Support Center (See Section 1, *Contacting the Bureau of Firearms Customer Support Center*).

##### Forgot Password:

- 1) If you have forgotten your password (prior to locking your account):
- 2) Select the **Forgot Password** option from the *DROS Entry System Log On* page. The *Forgot Password* page displays.






## DES Application – Ammunition Vendor User Guide

## Forgot Password

\*CFD Number \*ID Number \*User Name

☐ I'm not a robot

  
reCAPTCHA  
Privacy Terms

Please click buttons only once

- 3) Enter the requested information:
  - a) Any **CAV Number** associated to your account
  - b) Your Personal **ID Number**
  - c) Your **User Name**
  - d) **reCAPTCHA** verification image
  - e) Click on the **Submit** button
  - f) If a match is found, the system displays two randomly selected identity verification questions that you selected during your DES enrollment.
  - g) Enter the response to the security questions presented and click on the **Submit** button.
    - 1) If the responses entered are correct, the system will display the **Enter New Password** screen. Enter and re-enter your new password and click on the **Submit** button.
    - 2) If the responses entered are incorrect, the system will display a warning, and you may try again. **Note:** If the responses are entered incorrectly, your account will be locked, and you must contact your store manager to unlock your account. If you cannot remember the answers to your security questions, your manager will have to remove your account, and you will have to re-enroll in DES. If you are the COE holder, you will need to contact the Customer Support Center for assistance.


**If you have forgotten your DES User Name:**

- 1) Select the **Forgot User Name** option from the **DROS Entry System Log On** page. The **Forgot User Name** page displays.

## Forgot User Name

\*CFD Number \*ID Number \*Password \*Last Name \*First Name

☐ I'm not a robot

  
reCAPTCHA  
Privacy Terms

Please click buttons only once



## DES Application – Ammunition Vendor User Guide

- 2) Enter the requested information:
  - a) Any **CAV Number** associated to your account
  - b) Your Personal **ID Number**
  - c) **Password** (If you cannot remember your password, see *Forgot User Name and Password* below.)
  - d) Your **Last Name**
  - e) Your **First Name**
  - f) **reCAPTCHA** verification image
  - g) Click on the **Submit** button
  - h) If a match is found, the system displays two randomly selected identity verification questions that you selected during your DES enrollment.
  - i) Enter the responses to the security questions presented and select the **Submit** button.
    - 1) If the responses entered are correct, the system will display your **User Name** on the screen.
    - 2) If either of the responses is incorrect, the system will display a warning, and you may try again. **Note:** If the responses are entered incorrectly, your account will be locked, and you must contact your store manager to unlock your account. If you cannot remember the answers to your security questions, your manager will have to remove your account, and you will have to re-enroll in DES. If you are the COE Holder, you will need to contact the Customer Support Center for assistance.

**If you have forgotten your DES User Name and Password:**

- 1) Select the **Forgot User Name and Password** option from the **DROS Entry System Log On** page. The *Forgot User Name and Password* page displays.

**Forgot User Name and Password**

\*CFD Number    \*ID Number    \*Dealership COE Number    FFL Number    \*Last Name

\*First Name

☐ I'm not a robot

 Please click buttons only once.

- 2) Enter the requested information:
  - a) Any **CAV Number** associated to your account
  - b) Your Personal **ID Number**
  - c) The **Dealership COE Number** associated with your CAV license holder



## DES Application – Ammunition Vendor User Guide

- d) Ammunition vendors do not require a FFL Number associated to the CAV
- e) Your **Last Name**
- f) Your **First Name**
- g) **reCAPTCHA** verification image
- h) Click on the **Submit** button
- i) If a match is found, the system displays two randomly selected identity verification questions that you selected during your DES enrollment.
- j) Enter the response to the security question presented and click on the **Submit** button.
  - 1) If the responses entered are correct, the system will display your **User Name** on the screen and allow you to enter a new **Password**.
  - 2) If either of the responses is incorrect, the system will display a warning, and you may try again. **Note:** If the responses are entered incorrectly, your account will be locked, and you must contact your store manager to unlock your account. If you cannot remember the answers to your security questions, your manager will have to remove your account, and you will have to re-enroll in DES. If you are the COE holder, you will need to contact the Customer Support Center for assistance.

## 5. DES MAIN MENU PAGE

### OVERVIEW

When you log onto the DES application, the *Main Menu* page is displayed, which allows you to perform a variety of tasks within the DES application. Depending on your assigned permissions and other factors, you may perform some or all of the following from your *Main Menu* page:

- Read system generated messages
- Select the ammunition vendor that you'll be working for during this session (This feature is only available if your account is setup with multiple dealerships.)
- View Information Bulletins issued by the Department
- View urgent ammunition eligibility notices on previously submitted transactions
- View forms issued by the Department
- Submit and Search Ammunition Eligibility Checks
- Submit Ammunition Purchase(s)
- Search and add to the Frequently Sold Ammunition List
- View or edit your DES Profile
- Change your password





## DES Application – Ammunition Vendor User Guide

- View or respond to an issue that you had sent to the Customer Support Center
- Select Administrator tasks that you have been given permissions to perform. These tasks include:
  - Process new account requests
  - Manage employee accounts
  - View current and past DES invoices
  - Manage dealerships. (This feature is only available if you are the COE holder and have multiple dealerships associated to your COE number.)
  - Pay your DES invoices
  - View your paid invoices

**MESSAGES**

The *Main Menu* page displays messages related to your account, typically giving you information regarding tasks that you need to perform. For example, this is where you will receive a reminder that it is time to change your password, that you have information bulletins to read, or that you have Urgent Ammunition Eligibility Notices to read.

- ⚠ You have a new message in your 'My Issue Log'.
- ⚠ You have Information Bulletins that must be reviewed.
- ⚠ You have pending account requests.

**6. MY ACCOUNT LINKS**

All users have access to the **My Account** links, which include:

- Edit My Profile
- Change My Password
- My Issue Log

**EDIT MY PROFILE**

The information that you entered when you completed the account request process became part of your DES User Profile. You may edit your user profile once you are logged on to the system, including your name, your personal ID number (unless you are the COE holder), and your identity verification questions and responses.

**To edit your profile:**

- 1) From your *Main Menu* page, click on the **Edit My Profile** link. The *Edit My Profile* page will display.



## DES Application – Ammunition Vendor User Guide

- 2) Modify any editable fields with the new information. (**Note:** If you need to restore the record back to its pre-edited values, click on the **Refresh** button).
- 3) Click on **Submit**. The system will display a confirmation message when you successfully change your profile. Additionally, if you modified your name, the system will generate and display your new DES user name.

**CHANGE MY PASSWORD**

Passwords are valid for 90 days, but you may change your password at any time by clicking on the **Change My Password** option from the *DES Main Menu* page. Beginning 15 days prior to password expiration, you will be reminded of the pending password expiration each time that you log on to the system.

If your password expires, you will need to use the **Forgot Password** feature to select a new password (See Section 4, *Logging on to DES*).

**To change your password:**

- 1) From the *DES Main Menu* page, click on the **Change My Password** link. The *Change Password* page will display.

**Change Password**

\*Current Password

\*New Password [Password Format](#)

\*Re-enter Password

Please click buttons only once.

- 2) From the *Change Password* page, you may elect to view the password format requirements by clicking on the **Password Format** link.
- 3) Enter your **Current Password**.
- 4) Enter and confirm your **New Password**.
- 5) Click on **Submit** button. The password entered will be verified to make sure that it complies with the password format requirements. If any problems are found, an error message identifying the problem will be presented.
- 6) Once the password change has been accepted, a confirmation message will display on the *Main Menu* page.



## DES Application – Ammunition Vendor User Guide

**MY ISSUE LOG**

The My Issue Log allows you to view any issues that you have reported to the Customer Support Center (See Section 2, *Reporting an Issue*).

- 1) To view a previously Reported Issue, select the **My Issue Log** link from the Main Menu. The *My Issues* page will display.

Click here to view the details of the issue.

My Issues

Issue Reported	Date Reported	Select
<a href="#">Other, my issue is not listed</a>	04/26/2013	<input type="checkbox"/>

Displaying records 1 to 1 of 1 total records.

Please click buttons only once. Multiple clicks will delay processing.

Delete Selected

Clear

Main Menu

- 2) To view the original issue that you reported, click on the *Issue Reported* that you would like to view, and the details of your issue will display.
- 3) Once the Customer Support Center replies to your issue, you will see a message on your *Main Menu* page, and the Issue Reported on your *My Issues* page will show a notation indicating **New**.

My Issues

Issue Reported	Date Reported	Select
<b>NEW</b> <a href="#">Other, my issue is not listed</a>	04/26/2013	<input type="checkbox"/>

Displaying records 1 to 1 of 1 total records.

Please click buttons only once. Multiple clicks will delay processing.

Delete Selected

Clear

Main Menu

- 4) Click on the Issue Reported link to view the Customer Support Center response.
- 5) To delete any old Issues, select the box to the right of the *Date Reported* and click the **Delete Selected** button.





## 7. ADMINISTRATION LINKS

### OVERVIEW

Depending on your permissions, you may have access to one or more Administrator Links. These links include:

- New Account Requests
- Manage Employees
- Manage Dealerships
- View Paid Invoices
- Pay Invoices

### NEW ACCOUNT REQUESTS

When an employee's DES enrollment request has been submitted, the request appears on the New Account Requests page. Before the employee can use the DES application, their account must be setup with the appropriate permissions, and, if applicable, setup with any additional dealerships for which they can perform work. Only the COE Holder or another employee who has been given the Manage Employees permission can setup (or reject) accounts.

Employees can be given one or more of the following DES permissions:

- Pay Invoices (Allows user to view and pay invoices)
- Manage Inventory (Allows user to manage ammo inventory)
- Manage Employees (Allows user to add or remove employees)
- Enter Ammo Transactions (Allows user to enter ammo transactions)

#### Permissions for this user

You must select at least one Permission if Approving this request!

☐ Select All Permissions

☐ Pay Invoices [Allows user to view and pay invoices]

☐ Manage Inventory [Allows user to manage ammo inventory]

☐ Manage Employees [Allows user to add or remove employees]

☐ Enter Ammo Transactions [Allows user to enter ammo transactions]

**Note:** By default, the COE Holder has all permissions, and can in turn delegate these permissions to other users who enroll under their COE number. If you have the Manage Employees permission, and you have account requests that need to be approved, a message will display on your *Main Menu* page.

You have pending account requests.

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DES Application – Ammunition Vendor User Guide

**To process account requests:**

- 1) Log on to the DES application.
- 2) Select the **New Account Requests** link from the *Main Menu*. The system will display the *Pending Account Requests* page.

**Pending Account Requests**

Dealership Display Option: All dealerships

Dealership Last Name	First Name	Date Submitted
<a href="#">Baxter</a>	Bob	09/01/2012
<a href="#">Clark</a>	Cathy	09/01/2012

Please click buttons only once. Multiple clicks will delay processing.

[Main Menu](#)

- 3) Click on the last name of the user's record that you would like to process. The System will display the account permissions. You must select at least one Permission in order to approve the request.
- 4) If you wish to reject the account request, click on the **Reject** button at the bottom of the page. The "**Are you sure you want to reject this account request?**" message displays, click **OK**.

Please click buttons only once. Multiple clicks will delay processing.

[Back](#)
[Accept](#)
[Reject](#)

If you wish to approve the account, then you must assign the user the appropriate permissions by checking the box next to each applicable permission.

**Note:** You can assign one or multiple permissions, but at least one permission must be assigned. If your account is associated with multiple dealerships, you can assign additional dealerships to the user by checking the box next to each applicable dealership.

☐ Add Dealership(s) for this user

[list of active dealerships associated to your COE that are not assigned to this user]

☐ Add All Dealerships

Add	Dealer ID	Business Name	Business Physical Address	Business City
<input type="checkbox"/>				
<input type="checkbox"/>				

Once the permissions (and optional dealerships) have been assigned, click on the **Accept** button. The system will display a confirmation message that the account was approved. At this point, the approved user can log on to DES.



## DES Application – Ammunition Vendor User Guide

**MANAGE EMPLOYEES**

If you are the COE holder or if you've been assigned the Manage Employee permission, you can carry out the following tasks:

- View a list of your employees with DES accounts
- Modify an employee's permissions
- Modify an employee's assigned dealership (if applicable)
- Unlock an employee's account
- Remove an Employee's account **Note:** A COE Holder's account cannot be modified. The COE holder by default retains all permissions. If you have the Manage Employee permission, you cannot modify your own account.

**VIEW EMPLOYEES**

To view a list of the employees who have DES accounts with your dealership:

- 1) Select the **Manage Employees** link from the *Main Menu*. A list of all of the dealership's employees will display. If your account is setup with multiple dealerships, each dealership will be displayed with the assigned employees listed under each dealership's CFD number. If an employee is assigned to multiple dealerships, you will see the employee's name listed under each assigned dealership. You can filter the results to see just the employees from a single dealership.
- 2) To view the details of an employee's record, click on the last name of the employee from the list.

**MODIFY AN EMPLOYEE'S ACCOUNT**

Change Permissions:

- 1) Click on the last name of an employee from the list (see View Employees above). The User Details will display.
- 2) You can modify the employee's DES permissions by checking or un-checking the boxes next to the applicable permissions. **Note:** At least one permission must be associated to the employee's account.

**ASSIGNING ADDITIONAL DEALERSHIPS**

If your DES account is associated with multiple dealerships, you can assign additional dealerships to an employee's account, allowing the employee to perform DES activities for any store to which they have been assigned.

- 1) Click on the last name of the applicable employee from your list of employees (see View Employees above). The User Details will display.
- 2) Check the box next to each applicable dealership in the *Add Dealership* section.
- 3) You can remove a dealership by checking the **Remove** box in the *Dealership* section. **Note:** At least one dealership must be associated to the employee's account.





## DES Application – Ammunition Vendor User Guide

**UNLOCKING AN EMPLOYEE'S ACCOUNT**

An employee can lock their DES account by entering an incorrect password, or by incorrectly answering their security questions. An employee with the **Manage Employee** permission can unlock the account as follows:

- 1) Click on the last name of the locked employee from your list of employees (see View Employees above.) The User Details will display.
- 2) Open the Permissions for the User section on the User Detail Page.
- 3) Click on the Unlock Account button. A message will display indicating that the account has been unlocked and that the employee will need to complete the Forgot Password process from the DES Log On page.

**Note:** The Unlock Account button only displays if the users account is currently locked.

**UNLOCKING A COE HOLDER'S ACCOUNT**

If you are a COE Holder and your account becomes locked, you must contact the Customer Support Center and request to have your account reset. Once your account has been reset, you must go to the *DROS Entry System Log On* page, select the **Request a DES Account** link and enter the requested account information. The DES application will then allow you to create a new password.

**REMOVING AN EMPLOYEE FROM THE DES APPLICATION**

When an employee no longer has a need to access the DES application, the employee's account must be removed from the DES by the COE Holder. Prompt removal will protect the dealership from fraudulent DROS-related billing activities.

To remove an Employee from the DES:

- 1) Click on the last name of the applicable employee from your list of employees (see View Employees above). The User Details will display.
- 2) Check the **Remove User** box in the Permissions for this User section and click on the **Submit Changes** button.



The system will ask you to verify if you wish to remove the user's account. Click on **OK** if you wish to proceed with the removal of the account.



## DES Application – Ammunition Vendor User Guide

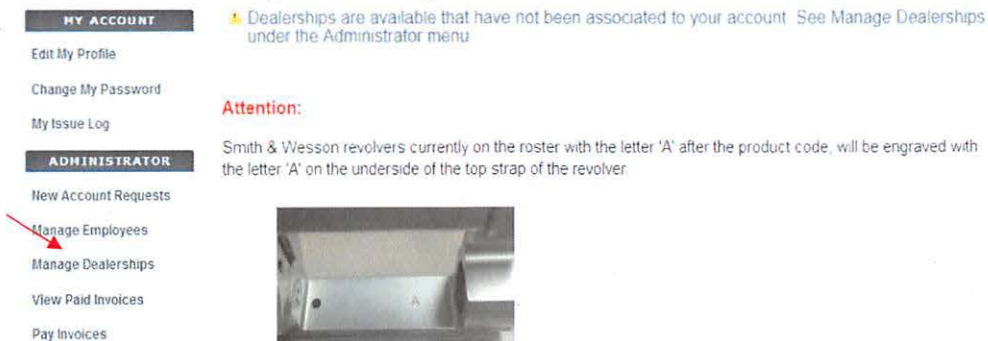
**MANAGE DEALERSHIPS**

In order for employees to enroll in DES and submit Ammunition Eligibility Checks for a particular dealership, the dealership's CAV number must first be associated to the COE Holder's account within the DES application. If the COE Holder has only a single dealership, that dealership is associated to the COE simply by the COE Holder enrolling in DES. If, however, the COE Holder has more than one dealership, the COE Holder must associate any additional dealerships from the *Manage Dealerships* page. The COE Holder may associate additional CAV's during the time of enrollment, or the COE Holder may also use the *Manage Dealerships* function to make the associations at a time other than the enrollment process (for example, when a new dealership is opened).

**Note:** Only the COE holder has the permission for *Managing Dealerships*, and this permission cannot be delegated. The *Manage Dealerships* page is only available when a user has multiple CAV's associated with their COE number.

**TO ASSOCIATE ADDITIONAL DEALERSHIPS**

- 1) From the *Main Menu*, select the **Manage Dealerships** link (the *Manage Dealerships* page automatically displays as part of the enrollment process if your COE number is associated with multiple dealerships).



- 2) The DES displays those dealerships already associated to your account, as well as additional dealerships that are available to be associated to your account.

**IMPORTANT:** CAV's do not have a FFL that can be validated therefore they are automatically associated.

Once you are successful in associating a dealership to your account, you can begin assigning employees to that dealership (see *Managing Employees* above).



## 8. DES INVOICING

### DES FEES AND BILLING CYCLE

Upon submission of an Ammunition Eligibility Check one or more of the following fees will be billed to the dealers account. The Department will not provide refunds after submission and acceptance of an Ammunition Eligibility Check.

#### Ammunition DROS Fee(s)

- The fee for a Basic Ammunition Eligibility Check is \$19.00
- The fee for a Standard Ammunition Eligibility Check is \$1.00
- The fee for a Certificate of Eligibility Check is \$1.00

At the first of each month, the DOJ will generate DES invoices for each dealership that submitted Ammunition Eligibility Check(s) during the previous month. The COE Holder, or a user who has been given the *Pay Invoices* permission, will have the ability to view and pay invoices. Payments for the Ammunition invoice must be made through the DES application, and must be made using one of the following credit/debit card types:

- American Express
- Discover Card
- Master Card
- Visa





## DES Application – Ammunition Vendor User Guide

The DES invoice must be paid within 30 days from the invoice date. Reference the below DES Billing Cycle Chart for billing period, invoicing and suspension details.

Billing Period	Invoice Date	Due By Date	Suspension Date if not paid in full
1/1 - 1/31	2/1	3/2 (3/1 if leap year)	3/3 (3/2 if leap year)
2/1-2/28 (2/29 if leap year)	3/1	3/30	3/31
3/1-3/31	4/1	4/30	5/1
4/1-4/30	5/1	5/30	5/31
5/1-5/31	6/1	6/30	7/1
6/1-6/30	7/1	7/30	7/31
7/1-7/31	8/1	8/30	8/31
8/1-8/31	9/1	9/30	10/1
9/1-9/30	10/1	10/30	10/31
10/1-10/31	11/1	11/30	12/1
11/1-11/30	12/1	12/30	12/31
12/1-12/31	1/1	1/30	1/31

**IMPORTANT:** An invoice that goes unpaid for more than 30 days from the invoice date will result in the dealership being suspended from performing certain tasks on the DES application. This suspension extends to all dealerships that fall under the COE number for which the dealership was setup. Users from a suspended dealership will be prevented from conducting the following DES activities until all past due invoices associated to the COE have been paid in full:

- Submit Ammunition Eligibility Check
- Search Ammunition Eligibility Check
- Search Ammunition Purchase(s)
- Search Frequently Sold Ammunition
- Add Frequently Sold Ammunition

If your dealership is suspended because of a past due invoice, you will still be able to pay the invoice through DES. Once the past due invoice(s) have been paid in full, the dealership(s) DES activities will be restored back to normal.

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DES Application – Ammunition Vendor User Guide

## VIEWING YOUR CURRENT DES INVOICE

From the *Main Menu*, click on the **Pay Invoices** link located in the Administrator section. (You must have the Pay Invoices permission in order to see this link.)



The *Pay Invoices* page will display all billing periods, for each CAV associated to your account, which have a balance due.

Click here to view the Monthly Ammunition Vendor Dealer Invoice Summary report if you have more than one dealership.

Click here to view the payment history for the past twelve months.

Click here to view the Credit Invoice history for the past twelve months.

**Pay Invoices**

View Paid Invoices   View Payment History   Credit Invoice History

☒ Pay Total Payable Balance Due (combined total of all balances due)

☐ Change Payment Amounts

**May 2019 Billing Period, 05/01/2019 to 05/31/2019**

Invoice(s) Total: \$ 2256   Amount Paid: \$ 0   Balance Due: \$2256   Suspension Date if not paid in full: 07/01/2019

CFD/CAV	Type	Invoice Date	Amount Invoiced	Amount Paid	Balance Due	Payment Amount
	Firearm	06/01/2019	\$900	\$0	\$900	\$ 900
	Ammunition	06/01/2019	\$312	\$0	\$312	\$ 312
	Firearm	06/01/2019	\$725	\$0	\$725	\$ 725
	Ammunition	06/01/2019	\$319	\$0	\$319	\$ 319

Total Payments Entered: \$ 2256

Click the Invoice Date to view the Invoice Detail report for each specific dealership.

Please click buttons only once. Multiple clicks will delay processing.

Submit Payments   Refresh   Main Menu

- To view a detailed report of each transaction that occurred for your dealership, click on the **Invoice Date** for the CAV number associated to the dealership that you wish to view. The *Monthly Ammunition Vendor Dealer Invoice* report will display.



## DES Application – Ammunition Vendor User Guide

- 2) If you've made one or more payments for the invoice and wish to view the details of those payments, click on the **Amount Paid** or the **View Payment History** link. The payment details for the past twelve months will display.
- 3) If your account is associated with multiple dealerships, click on the **Invoice(s) Total** amount to view a summary of all of your dealerships' invoices.

**PAYING YOUR DES INVOICE**

- 1) From the *Main Menu*, click on the **Pay Invoices** link located in the Administrator section. (You must have the Pay Invoices permission in order to see this link.) The *Pay Invoices* page will display all billing periods which have a balance due, and the full balance due dollar amount will display in the Payment Amount field(s) for each dealership associated with your account. There is one type of invoice: Ammunition.
  - a. **Paying Your Total Balance Due** - If you are ready to pay the entire balance due, click on the **Submit Payments** button at the bottom of the screen. The *DROS Entry System Payment* screen will display.

Total Payments Entered: \$ 2256

Please click buttons only once. Multiple clicks will delay processing.

Submit Payments	Refresh	Main Menu
-----------------	---------	-----------

- b. **Making a Partial Payment** - If you wish to make a partial payment, select the **Change Payment Amounts** option. The **Payment Amount** fields can then be changed to different amounts (however, you can't enter an amount greater than the **Balance due**). DES will allow you to make multiple partial payments for an invoice; however, the balance due must be paid in full within 30 days of the invoice date, or a suspension will occur. Once you have changed the payment amount, click on **Submit Payments** button at the bottom of the screen. The *DROS Entry System Payment* screen will display.

**PAYING YOUR PAST DUE DES INVOICE**

If you have a past due invoice that has resulted in the suspension of one or more dealerships, you can choose to pay the total balance due, pay just the past due balance, or make a partial payment.

- 1) **Pay Total Payable Balance Due** - Choose this option if you wish to pay the total balance for both past due and current invoices.

- ☒ Pay Total Payable Balance Due (combined total of all balances due)  
☐ Change Payment Amounts

- 2) **Change Payment Amounts** – Choose this option if you wish to make a partial payment; however, when you have a past due invoice, you may not pay on a current invoice until



California Department of Justice  
Bureau of Firearms



DES Application – Ammunition Vendor User Guide

all past due invoices have been paid in full. You may make a partial payment on just a past due bill; however, the suspension will remain in place until the past due bill has been paid in full.

- a. To change payment amounts select **Change Payment Amounts**. The Payment Amounts will become active.

☐ Pay Total Payable Balance Due (combined total of all balances due)  
☒ Change Payment Amounts [Clear Payment Amounts](#)

**May 2019 Billing Period, 05/01/2019 to 05/31/2019**

Invoice(s) Total: \$ 2256 Amount Paid: \$ 0 Balance Due: \$2256 Suspension Date if not paid in full: 07/01/2019

CFD/CAV	Type	Invoice Date	Amount Invoiced	Amount Paid	Balance Due	Payment Amount
	Firearm	06/01/2019	\$900	\$0	\$900	\$ 900
	Ammunition	06/01/2019	\$312	\$0	\$312	\$ 312
	Firearm	06/01/2019	\$725	\$0	\$725	\$ 725
	Ammunition	06/01/2019	\$319	\$0	\$319	\$ 319

Total Payments Entered: \$ 2256

- b. After you enter the desired payment amount, click **Submit**.

**Note:** Special characters are not accepted in the Payment Amount field. Payment amounts should be entered as a number value.

Invoice(s) Total: \$ 2256 Amount Paid: \$ 0 Balance Due: \$2256 Suspension Date if not paid in full:

CFD/CAV	Type	Invoice Date	Amount Invoiced	Amount Paid	Balance Due	Payment Amount
	Firearm	06/01/2019	\$900	\$0	\$900	\$ 900
	Ammunition	06/01/2019	\$312	\$0	\$312	\$ 0
	Firearm	06/01/2019	\$725	\$0	\$725	\$ 725
	Ammunition	06/01/2019	\$319	\$0	\$319	\$ 0

Total Payments Entered: \$ 1625

- 3) **Pay Past Due Balance** – Choose this option if you wish to pay only the amount that is past due. Any invoices that are not past due will have zero in the payment amount field. Selecting this option will allow you to pay the minimum amount required to remove a suspension caused by a past due invoice. **Note:** **Pay Past Due Balance** will only appear if your account is delinquent.

- ☒ Pay Total Payable Balance Due (combined total of all balances due)  
☐ Change Payment Amounts  
☐ Pay Past Due Balance (amount required to resolve past due balance)

- 4) Once you have made your selection and verified the amount you wish to pay, click on the **Submit Payments** button at the bottom of the screen. The **Billing Information** screen will display.



## DES Application – Ammunition Vendor User Guide

**Billing Information**

Payment Amount **\$1625**

\*Cardholder Full Name (as it appears on the card):

\*Billing Address:  \*Billing City:  \*Billing State:  \*Zip Code:

\*Credit/Debit Card Type:  \*Card Number (no spaces):  \*Security Code:  \*Card Expiration Date:







Please click buttons only once. Multiple clicks will delay processing.

**ENTERING YOUR CREDIT/DEBIT CARD INFORMATION**

Once you have clicked on the **Submit Payments** button, the system will display the **Billing Information** screen with the **Payment Amount** automatically entered from the previous screen. If you would like to change the amount of the payment, click on the **Back** button, and you can make changes from the previous screen.

**To submit your credit/debit card payment information:**

- 1) Enter your credit/debit card information as follows:
  - a. **Cardholder Full Name** – Enter the cardholder's name as it appears on the card.
  - b. **Billing Address** – Enter the billing address associated to the card.
  - c. **Billing City** – Enter the city associated to the card.
  - d. **Billing State** – From the drop down list, select the state code associated to the card.
  - e. **Billing Zip Code** – Enter the zip code associated to the card.
  - f. **Credit/Debit Card Type** – From the drop down, select the type of credit/debit card you will be using.
  - g. **Card Number** – Enter the card number from the card. Do not enter spaces.
  - h. **Security Code** – Enter the 3 or 4 digit security code from the front or back of the card.
  - i. **Card Expiration Date** – From the drop down lists, select the month and year of the card's expiration date.
- 2) Once you have entered the required billing information and are ready to submit payment, click **Submit**.

**IMPORTANT:** Once you submit payment, a page loading message may display. **DO NOT** click the browser back button or log out of DES. This may result in a resubmission of information.



## DES Application – Ammunition Vendor User Guide

## Billing Information



Page loading, please wait...

- 3) The credit/debit card transaction is submitted for verification and you will be redirected to the **Pay Invoice** Screen with a notification confirming the amount paid and authorization number.

✓ Your payment of \$1625 has been approved. Your authorization number is ET162088.

## Pay Invoices

- a. **Declined** – If the transaction is declined, a message describing the problem will be displayed. Either correct any invalid information and resubmit the transaction, or enter the information using a different credit/debit card.
- b. **Approved** – If the transaction is approved, the system will display a confirmation message along with your Authorization number.

**Note:** The DOJ does not retain credit/debit card information, with the exception of the last four characters of your card number which is used to display your payment history. Therefore, each time that you make a payment, you will need to re-enter your credit/debit card information.

## VIEW PAID INVOICES

The COE Holder, or a user with the Pay Invoices permission, has the ability to view previously paid invoices.

## To view a previously paid DES Invoice:

- 1) From the Main Menu, click on the **View Paid Invoices** link located in the Administrator section (you must have the Pay Invoices permission in order to see this link).



- 2) The *Paid Monthly Invoice Report* page displays showing the past twelve months of invoices that have been paid in full. If your account is setup with multiple dealerships, all applicable CAVs will display.





## DES Application – Ammunition Vendor User Guide

- 3) To view the invoice that shows a detailed breakdown of the transactions that you were billed for, click on the **Invoice Date** link for the CAV that you wish to view. There is one type of invoice: Ammunition.

**Note:** It is highly recommended to print the paid invoices report for your records. The system will only allow you to view 12 months of paid invoices.

☒ This list represent the last 12 months of paid invoices.

## Paid Invoices

Click here to view a detailed breakdown of all billed transactions.

View Payment History		View Outstanding Invoices / Make Payment		Credit Invoice History	
CFD/CAV	Type	Billing Period	Invoice Date	Invoice Amount	Date Invoice Paid in Full
	Firearm	05/01/2019 - 05/31/2019	06/01/2019	\$ 0	N/A
	Ammunition	03/01/2019 - 03/31/2019	04/01/2019	\$ 0	N/A

## CREDIT INVOICE HISTORY

The COE Holder, or user with the Pay Invoices permission, has the ability to view credit history. If a credit is applied for a DROS transaction, the credit will be reflected on the invoice generated the following month.

## To View Credit History:

- 1) From the Main Menu, click on the **View Paid Invoices** link located in the Administrator section of the *Main Menu*.
- 2) Click Credit Invoice History.

☒ This list represent the last 12 months of paid invoices.

## Paid Invoices

View Payment History		View Outstanding Invoices / Make Payment		Credit Invoice History	
CFD/CAV	Type	Billing Period	Invoice Date	Invoice Amount	Date Invoice Paid in Full
	Firearm	05/01/2019 - 05/31/2019	06/01/2019	\$ 0	N/A
	Ammunition	03/01/2019 - 03/31/2019	04/01/2019	\$ 0	N/A

- 3) If DROS Credits have been issued, the Credit History will display as pictured below.

☒ This list represent the last 12 months credit invoice history

## Credit History

View Paid Invoices

View Outstanding Invoices / Make Payment

View Payment History

January 2019

Payment Date	CFD/CAV	Type	Billing Period	Invoice Date	Amount Invoiced	Credit Amount
01/30/2019 01:05 PM		Firearm	01/01/2019 - 01/31/2019	01/30/2019	0.0	250.0

Please click buttons only once. Multiple clicks will delay processing.

Main Menu



## DES Application – Ammunition Vendor User Guide

- 4) Clicking on the invoice credit will open a report with details on invoice transaction credits.

## INVOICE TRANSACTION CREDIT DETAILS

DEALER ID	SALE DATE/TIME	TRANSACTION #	CREDIT DATE	COST
	03/21/2019 12:32 PM	001005824	03/21/2019	(25)
	03/21/2019 12:30 PM	001005992	03/21/2019	(25)
	03/21/2019 12:30 PM	001005993	03/21/2019	(25)
	03/21/2019 12:29 PM	001006021	03/21/2019	(25)
	03/21/2019 12:31 PM	001006022	03/21/2019	(25)
	03/21/2019 12:31 PM	001006023	03/21/2019	(25)

## 9. TRANSACTIONS, NOTICES, BULLETINS

## OVERVIEW

The Notices and Bulletins section contains links that allow you to:

- Review Eligibility Notices (must have the Enter Ammunition permission)
- Review Information Bulletins issued by the Bureau of Firearms (any permission)

Some of the above links may be hidden for the following reasons:

- **Dealership hasn't been selected** – If your account is associated to multiple dealerships, you must select the dealership that you wish to be associated with prior to viewing bulletins or notices.
- **Unviewed Information Bulletins** – When the BOF posts an Information Bulletin to DES, at least one user from each dealership must view and acknowledge the bulletin. Until the bulletin is viewed and acknowledged, users will be unable to view/submit Ammunition eligibility checks.
- **Unviewed Urgent Ammunition Eligibility Notices** – When the BOF posts an Ammunition Eligibility Notice, a user from the dealership must acknowledge the notice. Until the notice is acknowledged, users will be unable to view/submit Ammunition eligibility checks.

## SELECTING A DEALERSHIP

If your profile has been setup for working with multiple dealerships within a company, you must choose which dealership you are working with.

## To select a dealership:

- 1) Click on the **Select Dealership** link from the *Main Menu* (this link only displays if your profile has been associated to more than one dealership within a company).
- 2) Select the name of the dealership that you wish to be associated with during your session.
- 3) Enter the CAV number associated to the dealership name that you selected above.



## DES Application – Ammunition Vendor User Guide

- 4) The system will then display the Transactions, Notices, Bulletins and Ammunition transactions section with additional links.
- 5) Once you have selected a dealership, you have the option to then select a different dealership by clicking on the **Select a Different Dealership** link.


**REVIEW AMMUNITION ELIGIBILITY NOTICES**

If you have any urgent notices, you must review them before you can conduct any other Ammunition eligibility checks. The DES allows you to view BOF notices for an Ammunition Eligibility entered within the past 90 days. The following notices are considered urgent until they are reviewed and acknowledged by a user:

**Ammunition Eligibility Notices:**

- Approval After Denial Notice
- DMV Reject Notice
- Purchaser Prohibited Notice

**Note:** Records with a Pending or Approved status do not require review before other Ammunition eligibility checks can be conducted.

 If you have urgent notices to review, the system will display a message your *Main Menu* page.

**To Review your Ammunition Eligibility Notices:**

- 1) Log on to the DES application.
- 2) Select your dealership (if applicable).
- 3) From the Main Menu, select the **Review Ammunition Eligibility Notices** link. If you have urgent notices to review, the *Review Urgent Ammunition Eligibility Notices* page will display.
- 4) Click on the status link of the eligibility notice that you wish to view. The notice will display in PDF format.
- 5) You can print a copy of the notice by clicking on the printer icon from the Adobe Reader window.
- 6) Acknowledge that you reviewed the notice by clicking on the **Acknowledge** button.

By clicking on the Acknowledge button, you are acknowledging that you have reviewed this notice. You will have limited access to DES until all urgent notifications have been reviewed.

Back to List

Main Menu

Acknowledge

Click here to acknowledge that you have reviewed the notice.

- 7) Once you have reviewed all of your urgent notices, clicking on the *Review Ammunition Eligibility Notices* link will display any acknowledged notices as well as all of the approved records from the past 90 days.





## DES Application – Ammunition Vendor User Guide

**TYPES OF AMMUNITION ELIGIBILITY CHECK(S)****Approval after Denial Notice**

An “Approval after Denial” notice is generated when the Department has received additional information indicating the purchaser is eligible to purchase ammunition. If you receive this notice you may move forward with the transaction should the purchaser choose to do so. Please note, the approval is valid for 30 days from the date of the letter.

**DMV Reject Notice**

A “DMV Reject” notice is generated when a Basic Ammunition Eligibility Check (BAEC) DROS is being rejected and returned because the driver license/ID card status is not valid and/or the purchaser’s name, driver license/ID card number, and/or date of birth information provided conflict with the files maintained by the Department of Motor Vehicles (DMV). The purchaser must correct their personal information on file with the DMV. Consequently, the BAEC DROS must be resubmitted as a new transaction with applicable fees.

**Purchaser Prohibited Notice**

A “Purchaser Prohibited” notice is generated when the purchaser is not eligible to own or possess ammunition, therefore, you cannot release the ammunition to the purchaser.

**REVIEW INFORMATION BULLETINS**

If your dealership has any un-reviewed Information Bulletins, you must review them before you can conduct any other DROS activities. If you have any unread bulletins to review, the system will display a message on your *Main Menu* page.

⚠ You have Information Bulletins that must be reviewed.

**To Review Information Bulletins:**

- 1) Log on to the DES application.
- 2) From the Main Menu, select the **Review Bulletins** link. The *DES Bulletins* page will display, showing a list of all available Information Bulletins issued by the BOF.
- 3) Clicking on the name of the un-reviewed bulletin will display the bulletin details as a PDF document. If you choose, you may print the bulletin by clicking on the Adobe Reader print icon.

**DES Bulletins**

Current DES Bulletins			
Bulletin Name	Date Posted	Reviewed Date	Reviewed By
<a href="#">bulletin two</a>	05/15/2013		
<a href="#">bulletin four</a>	04/19/2013	05/13/2013	GEORGE SHAW
<a href="#">bulletin three</a>	04/19/2013	05/13/2013	GEORGE SHAW
<a href="#">bulletin two</a>	04/19/2013	05/13/2013	GEORGE SHAW
<a href="#">Test bulletin One</a>	04/09/2013	05/13/2013	GEORGE SHAW

**Note:** If the bulletin doesn’t automatically display on your screen, you may have to click on the *Download Bulletin to view in Adobe Reader* link. Downloading the most current version of



## DES Application – Ammunition Vendor User Guide

Adobe Reader should ensure that the bulletin automatically displays. To download the most current version of Adobe Reader, visit the following website: <http://get.adobe.com/reader/>. Once you have reviewed the bulletin, your name and the date that you reviewed the bulletin will display on the **DES Bulletins** page.

**IMPORTANT:** The DES message, “You have Information Bulletins that must be reviewed” will only display until the first employee has reviewed and acknowledged the bulletin. Only the first employee must acknowledge the bulletin. Once reviewed, other employees will not be given a DES message to view the bulletin. Thus, it is highly recommended to print out the bulletins and share with other employees. You can reference back to past DES bulletins at any time.

## 10. AMMUNITION TRANSACTIONS

The Ammunition Transactions section contains links that allow you to:

- **Submit Eligibility Check** (must have the Enter Ammo Transactions permission)
- **Search Eligibility Check** (must have the Enter Ammo Transactions permission)
- **Review Eligibility Notices** (must have the Enter Ammo Transactions permission)
- **Submit Ammunition Purchase(s)** (must have the Enter Ammo Transactions permission)
- **Search Frequently Sold Ammunition List** (must have the Manage Inventory permission)
- **Add Frequently Sold Ammunition** (must have the Manage Inventory permission)

Some of the above links may be hidden for the following reasons:

- **Dealership hasn’t been selected** – If your account is associated to multiple dealerships, you must select the dealership that you wish to be associated with prior to viewing bulletins or notices, or conducting any type of DROS transactions.
- **Unviewed Information Bulletins** – When the BOF posts an Information Bulletin to DES, at least one user from each dealership must view and acknowledge the bulletin. Until the bulletin is viewed and acknowledged, users will be unable to view/submit DROS transactions.
- **Unviewed Urgent Ammunition Eligibility Notices** – When the BOF posts an Ammunition Eligibility Notice for a DROS transaction, a user from the dealership must acknowledge the notice. Until the notice is acknowledged, users will be unable to view/submit DROS transactions.



**11. SUBMIT AMMUNITION ELIGIBILITY CHECK****OVERVIEW**

All ammunition eligibility checks require the entry of purchaser information. Purchaser information will be captured by swiping the California Driver License or Identification Card through a magnetic card swipe reader. Any missing or incorrect information will be keyed directly into the appropriate fields.

**Entering Purchaser Information:**

- 1) Swipe the CA driver license or CA identification card through the magnetic card swipe reader.
- 2) Click on the **Populate Fields** button in the *Swipe CA Driver License or ID Card* area.



- 3) Verify that the data displays correctly. **Note:** If the information will not scan, you must manually enter the information.
- 4) Correct information as necessary.
- 5) Complete all applicable fields.

**Tips:**

- **Single Name** – If the purchaser or seller has a single name (example: Wasp, Sky, Rebel), enter the single name in the Last Name field and enter an asterisk (\*) in the first name field (Suffix and Middle Name fields must be blank).
- **Purchaser's City** – The city will automatically appear based on the zip code; however, if the zip code has more than one city name or variation listed, you will need to select the correct city name from the City drop down list.
- **Citizenship** – If you select **NO** from the **U.S. Citizen** drop down list, the system will display additional fields that must be entered. Select the Country of Citizenship from the drop down list and enter either the Alien Registration number or the I-94 number. **Note:** These numbers can be found on the purchaser or seller's Permanent Resident card (Green Card) or I-94 Arrival/Departure card.
- **Telephone Number** – Is a required field for an ammunition eligibility check.



**12. TYPES OF AMMUNITION ELIGIBILITY CHECK(S)****OVERVIEW**

An ammunition purchaser or transferee may request, through an ammunition vendor, the department to conduct a Standard Ammunition Eligibility, Basic Ammunition Eligibility or Certificate of Eligibility Check.

**STANDARD AMMUNITION ELIGIBILITY CHECK**

A purchaser or transferee is authorized to purchase ammunition if their information matches an entry in the Automated Firearm System and does not match an entry in the Prohibited Armed Person File. Follow the steps below to submit a *Standard Ammunition Eligibility Check*.

- 1) From the *Main Menu* page, select the **Submit Eligibility Check** link.

- 2) Under *Purchaser Eligibility Check* select **Standard Ammunition Eligibility Check** link.
- 3) Enter the Purchaser Information (see **Entering Purchaser Information** on the previous page).
- 4) Once all of the DROS information has been entered, you will preview the DROS report by clicking on the **Preview** button. If any information is missing or entered incorrectly, an error message will display. If the system doesn't detect any problems with the DROS, a preview of the DROS report will display. Verify that the information entered is correct. If you find a mistake, click on the **Back** button, and you will be returned to the form and may correct the transaction. If the DROS preview is correct, you must click on the DROS payment agreement box before proceeding.

You must check this box to see the Submit Final option.

I understand that upon submission of this DROS transaction I will be billed and agree to pay a non-refundable fee of \$ 1.00 to the Department of Justice. ☐



## DES Application – Ammunition Vendor User Guide

- Upon checking the DROS payment agreement box, the **Submit Final** button displays. Clicking on the **Submit Final** button sends the transaction to the DOJ and generates a DROS number.

**IMPORTANT:** Once the Submit Final button has been clicked, your dealership will be charged for the transaction, and the transaction can no longer be edited. The DROS Report containing a DROS number and transaction date and time displays.

Transaction has been successfully submitted.

What would you like to do next?

- Print this DROS (you will remain on this page and will be able to select from the options below)
- Go to the Main Menu
- Go to Background Check Menu

**DROS NUMBER:** [redacted]  
**TRANSACTION DATE/TIME:** 8/27/2019 03:53:30 PM

Standard Ammunition Eligibility Check

STATUS: INPROG

**BASIC AMMUNITION ELIGIBILITY CHECK**

A purchaser or transferee is authorized to purchase ammunition if they are not prohibited from purchasing or possessing ammunition, subsequent to affirmation by the Department. Follow the steps below to submit a Basic Ammunition Eligibility Check.

- From the *Main Menu* page, select the **Submit Eligibility Check** link.
- Under *Purchaser Eligibility Check* select **Basic Ammunition Eligibility Check** link.
- Enter the Purchaser Information (see **Entering Purchaser Information** on the previous page).
- Once all of the DROS information has been entered, you will preview the DROS report by clicking on the **Preview** button. If any information is missing or entered incorrectly, an error message will display. If the system doesn't detect any problems with the DROS, a preview of the DROS report will display. Verify that the information entered is correct. If you find a mistake, click on the **Back** button, and you will be returned to the form and may correct the transaction. If the DROS preview is correct, you must click on the DROS payment agreement box before proceeding.

You must check this box to see the Submit Final option.

I understand that upon submission of this DROS transaction I will be billed and agree to pay a non-refundable fee of \$ 19.00 to the Department of Justice. ☐

- Upon checking the DROS payment agreement box, the **Submit Final** button displays. Clicking on the **Submit Final** button sends the transaction to the DOJ and generates a DROS number.

**IMPORTANT:** Once the Submit Final button has been clicked, your dealership will be charged for the transaction, and the transaction can no longer be edited. The DROS Report containing a DROS number and transaction date and time displays.





## DES Application – Ammunition Vendor User Guide

Transaction has been successfully submitted.

What would you like to do next?

- Print this DROS form (you will remain on this page and still be able to select from the options below)
- Go to the Main Menu
- Go to Background Check Menu

DROS NUMBER: 08852-400

TRANSACTION DATE/TIME: 8/27/2019 5:45:47 PM

Basic Ammunition Eligibility Check

STATUS: INPROG

## CERTIFICATE OF ELIGIBILITY CHECK

A Purchaser or transferee is authorized to purchase ammunition if they hold a current Certificate of Eligibility, subsequent to verification by the department. Follow the steps below to submit a Certificate of Eligibility Check.

- 1) From the *Main Menu* page, select the **Submit Eligibility Check** link.
- 2) Under *Purchaser Eligibility Check* select **Certificate Eligibility Check** link.
- 3) Enter the Purchaser's Certificate of Eligibility (COE) Number.
- 4) Enter the Purchaser Information (see **Entering Purchaser Information** on the previous page).

## COE Check

Person Information

Swipe CA Driver's License or ID Card

Populate Fields

\*COE Number

\*First Name Middle Name \*Last Name Suffix

\*Street Address \*Zip Code \*City State

Gender Hair Color Eye Color Height (feet/inches) Weight \*Date of Birth

\*ID Type \*ID Number \*Race \*U.S. Citizen

\*Place of Birth \*Telephone Number

Alias First Name Alias Middle Name Alias Last Name Alias Suffix

Please click buttons only once. Multiple clicks will delay processing.

Back Preview Clear

- 5) Once all of the DROS information has been entered, you will preview the DROS report by clicking on the **Preview** button. If any information is missing or entered incorrectly, an error message will display. If the system doesn't detect any problems with the DROS, a preview of the DROS report will display. Verify that the information entered is correct. If you find a mistake, click on the **Back** button, and you will be returned to the form and may correct the transaction. If the DROS preview is correct, you must click on the DROS payment agreement box before proceeding.

You must check this box to see the Submit Final option.

I understand that upon submission of this DROS transaction I will be billed and agree to pay a non-refundable fee of \$ 1.00 to the Department of Justice. ☐ (a





## DES Application – Ammunition Vendor User Guide

- 6) Upon checking the DROS payment agreement box, the **Submit Final** button displays. Clicking on the **Submit Final** button sends the transaction to the DOJ and generates a DROS number.

**IMPORTANT:** Once the Submit Final button has been clicked, your dealership will be charged for the transaction, and the transaction can no longer be edited. The DROS Report containing a DROS number and transaction date and time displays.

### 13. SEARCH AMMUNITION ELIGIBILITY CHECK

#### OVERVIEW

Once the Ammunition Eligibility Check has been submitted to the Department, you can use the DES application to view the eligibility check, re-print the eligibility check, and submit delivered ammunition to the purchaser.

#### To search for a previously submitted Ammunition Eligibility Check:

- 1) From the *Main Menu* page, click on the **Search Eligibility Check** link. The *Ammunition Eligibility Check Results* page displays.
- 2) Enter the information that you want to search:
  - a. Partial or complete Last Name
  - b. Partial or complete First Name
  - c. DROS Number
  - d. ID Number
  - e. Decision status

**Note:** For the most accurate result, search by DROS number.

- 3) Click on the **Search** button. The system will display a list of all matching records.

#### Ammunition Eligibility Check Results

Last Name	First Name	DROS Number	ID Number
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Decision Select			
Please click buttons only once.			
<input type="button" value="Search"/>		<input type="button" value="Clear Form"/> <input type="button" value="Main Menu"/>	

Search Results

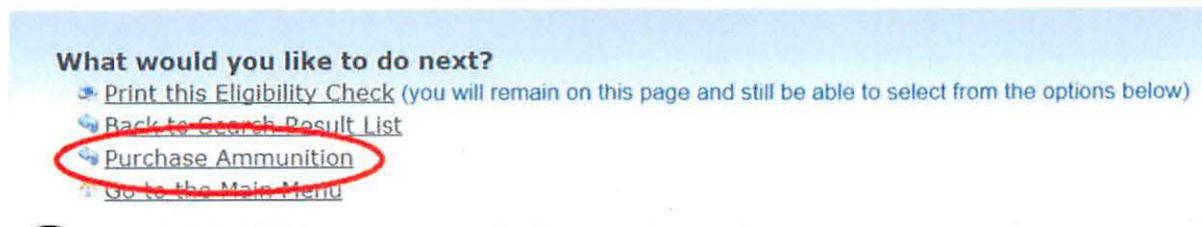
DROS Number	Name of Purchaser (First Middle Last)	ID Number	Decision	Type	Expiration Date
	TEST PURCHASER		DENY/REJECT	Standard Ammunition Eligibility Check	

Displaying records 1 to 1 of 1 total records.



## DES Application – Ammunition Vendor User Guide

- 4) Clicking on the DROS Number from the *Ammunition Eligibility Check Results* will display the selected DROS.
- 5) The DROS will display with a current status indicating whether or not ammunition can be delivered. The ammunition eligibility check status' are:
  - a. **APPROVED** – The Department has determined the individual is eligible to purchase or possess ammunition.
  - b. **DENY/REJECT** – The Department has determined the individual is not eligible to purchase or possess ammunition. The person cannot continue with an ammunition purchase.
  - c. **IN PROGRESS** – Ammunition eligibility check is currently being processed by the Department.
  - d. **USED** – Individual has purchased and received ammunition in association with the eligibility check.
  - e. **EXPIRED** – The eligibility check was approved, but can no longer be used to complete a purchase of ammunition.
- 6) When the eligibility check has an APPROVED status, the **Purchase Ammunition** link will be available at the top of the screen. Clicking the link will allow the purchase of ammunition starting on the *Select Ammunition Purchase Type* page (See Section 14, *Submit Ammunition Purchase(s)*.)

**14. SUBMIT AMMUNITION PURCHASE(S)****OVERVIEW**

All Ammunition Eligibility Checks require an APPROVED status to submit an ammunition purchase. There is no limit to the amount of ammunition that can be delivered using one eligibility check. Once the final delivery of ammunition purchase(s) is made, the eligibility check will change to the USED status.

**To submit an Ammunition purchase:**

- 1) From the *Main Menu* page, click on the **Submit Ammunition Purchase(s)** link. The *Select Ammunition Purchase Type* page displays.

California Department of Justice  
Bureau of Firearms



DES Application – Ammunition Vendor User Guide

### Select Ammunition Purchase Type

#### Ammunition Purchase

Ammunition Sale

Private Party Ammunition Transfer

#### Pending Purchase(s)

You have no pending purchases.

Please click buttons only once. Multiple clicks will delay processing.

[Main Menu](#)

2) Select either:

- a. **Ammunition Sale** – Ammunition from the vendor inventory. Ammunition Sale will also cover any ammunition transferred from another California Ammunition Vendor or out of state ammunition retailer.
- b. **Private Party Ammunition Transfer** – Ammunition transferred from one non-vendor to another non-vendor.

3) Verify the purchaser information.

- a. Enter the fifteen digit Eligibility Check DROS Number. Click the *Verify* button.

OR

- b. Verify the pre-populated purchaser information from the *Search Eligibility Check* link.

### Submit Ammunition

#### Purchaser Information

Enter Eligibility Check DROS #

[Verify](#)

Purchaser First Name Purchaser Middle Name Purchaser Last Name Suffix

Purchaser Street Address Zip Code City State

Gender Hair Color Eye Color Height (feet/inches) Weight Date of Birth

Purchaser ID Type Purchaser ID Number Race U.S. Citizen

Purchaser Place of Birth Telephone Number

Purchaser Alias First Name Purchaser Alias Middle Name Purchaser Alias Last Name Purchaser Alias Suffix

#### Transaction and Ammunition Information

Inventory Code

Select

\*Manufacturer

Select

\*Condition

Select

Bullet Type

Select

Bullet Weight

Select

Usage Type

Select

Casing

Select

\*Caliber

Select Caliber

\*Quantity (Rounds)

Select

Primer Type

Select

Muzzle Velocity

Select

Unit

Select

Muzzle Energy

Select

Unit

Select

Cost/Round

Please click buttons only once. Multiple clicks will delay processing.

[Back](#)

[Preview](#)

[Clear](#)





## DES Application – Ammunition Vendor User Guide

- 4) Enter the Transaction and Ammunition Information. **Note:** \* indicates required field.
  - a. **Inventory Code-** Title of frequently sold ammunition
  - b. \***Manufacturer-** Enter the name of the person or company that manufactured the ammunition.
  - c. \***Condition-** Select whether the ammunition is new, reloaded, or used from the *Condition* drop down list.
  - d. **Bullet Type-** Select from the *Bullet Type* drop down list.
  - e. **Bullet Weight-** If applicable, typically measured in units of mass called grains.
  - f. **Usage Type-** Select from the *Usage Type* drop down list.
  - g. **Casing-** Select from the *Casing* drop down list.
  - h. \***Caliber-** Select the caliber of the ammunition from the *Caliber* drop down list.
  - i. \***Quantity (Rounds) -** Enter the quantity amount
  - j. **Primer Type-** Select from the *Primer Type* drop down list.
  - k. **Muzzle Velocity-** If applicable, the speed of the projectile when fired.
  - l. **Unit-** Select 'Feet per Second' or 'Meter per Second' from the *Unit* drop down list.
  - m. **Muzzle Energy-** If applicable, kinetic energy of the projectile when fired.
  - n. **Unit-** Select 'Foot Pound Force' or 'Joule' from the *Unit* drop down list.
  - o. **Cost/Round-** If applicable, cost of each round in USD.
  
- 5) Once all of the DROS information has been entered, you will preview the DROS report by clicking on the **Preview** button. If any information is missing or entered incorrectly, an error message will display. If the system doesn't detect any problems with the DROS, a preview of the DROS report will display. Verify that the information entered is correct. If you find a mistake, click on the **Back** button, and you will be returned to the form and may correct the transaction. If the DROS preview is correct, you must click on the DROS payment agreement box before proceeding.
 

You must check this box to see the Submit Final option.

I understand that upon submission of this DROS transaction I will be billed and agree to pay a non-refundable fee of \$0 to the Department of Justice. ☐

  - 6) After clicking on the DROS payment agreement box, the **Add to Pending Purchases** button and the **Print** button appear.
  - 7) Click the **Add to Pending Purchases** button to continue.
  - 8) The Pending Purchase(s) page will display.
  - 9) Click the **Deliver** button to complete the ammunition purchase.
  - 10) Click the **Add Ammunition** button to select another ammunition purchase.
  - 11) Click the **Empty Purchases** button to clear the cart and return to the Main Menu page.

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DES Application – Ammunition Vendor User Guide

Transaction has been successfully uploaded to your pending purchase(s). Click Deliver to submit transaction.

Pending Purchase(s)

Pending Purchase(s)				Total Items: 1
Name:	DOB:	ID:		
Manufacturer	Caliber	Condition	Quantity (Rounds)	
TESTER	12-GAUGE SHOTGUN	NEW	100	

Please click buttons only once. Multiple clicks will delay processing.

12) Click the **OK** button to confirm delivery of the pending purchase(s).

**IMPORTANT:** If you proceed with the submission of the transaction, please remember to select the **Print DROS** link on the next screen (upper left hand corner) as that will be the only opportunity to generate a printed DROS Ammunition copy for customer signature.

Clicking Deliver will submit the transaction.  
Press 'OK' to continue, or Cancel to stay on this page. ATTENTION: If you proceed with the submission of this transaction, please remember to select Print DROS on the next screen (upper left hand corner) as that will be your only opportunity to generate a printed DROS Ammunition copy for customer signature.

13) Click the **Print this DROS** link in the upper left hand corner of the page.

✓ Your transaction is complete.

What would you like to do next?

☒ **Print this DROS** (you will remain on this page and still be able to select from the options below)  
☐ Go to the Main Menu

Dealer's Record of Sale of Ammunition

**IMPORTANT:** Please remember to select the **Print DROS** link on the upper left hand corner of the DROS screen. This will be the only opportunity to generate a printed DROS Ammunition copy for customer signature. Records must be maintained and available for inspection for five (5) years. (Pen. Code, § 30355).

AMMUNITION INFORMATION				
MANUFACTURER	CONDITION	BULLET TYPE	BULLET WEIGHT	USAGE TYPE
TESTER	NEW	BUFF SHOT		HANDGUN
CASING	CALIBER		QUANTITY (ROUNDS)	PRIMER TYPE
BRASS/PLASTIC	12-GAUGE SHOTGUN		100	CENTERFIRE
MUZZLE VELOCITY	MUZZLE ENERGY	COST/ROUND		

TRANSACTION INFORMATION	
TRANSACTION TYPE	Purchaser's Signature
REGISTRATION SALE	
I have read the list of prohibited offenses and nothing would preclude me from possessing a firearm. By signing this document, I hereby certify under penalty of perjury that the information provided is true and correct.	
DEALER:	
ADDRESS:	
DROS ENTERED BY:	Salesperson's Signature
END/END DATE:	
DEALERSHIP TELEPHONE:	
CODE:	
CODE:	

MANUFACTURE OF INFORMATION ON THIS FORM IS A CRIME, PUNISHABLE BY UP TO 18 MONTHS IN STATE PRISON OR PENAL CODE SECTION 26900. Falsification of information may result in a charge of perjury. Records must be maintained and available for inspection for five (5) years. (Pen. Code, § 30355). For more information on California firearms laws, please visit the website: www.cdps.ca.gov/firearms.

**15. ADD TO FREQUENTLY SOLD AMMUNITION LIST****OVERVIEW**

The Frequently Sold Ammunition List is a tool for processing ammunition purchases. It allows for different ammunitions to be saved to an **Inventory Code** drop down that will be available on all ammunition purchases for the licensed location.

**Add Item to Frequently Sold Ammunition List:**

- 1) From the *Main Menu* page, click on the *Add Frequently Sold Ammunition* link. The *Ammunition Item Detail* page displays.

**Ammunition Item Detail**

*Inventory Code Test	*Manufacturer Maker	*Condition NEW	Bullet Type HOLLOW POINT
Bullet Weight	Usage Type PERSONAL DEFENSE	Casing BRASS	*Caliber 9mm L/Para/9x18, 9x21, 9x23/Large 9x19, 9mm rimfire shotgun
Primer Type CENTERFIRE	Muzzle Velocity	Unit Select	Muzzle Energy Unit Select
Cost/Round			

Back Submit Clear Form

- 2) Enter the information to be saved to the CAV. The following fields are required:
  - a. **Inventory Code** – Type a name to identify saved ammunition. The **Inventory Code** drop down will be available on all ammunition purchases from the CAV.
  - b. **Manufacturer** – Type the name of the person or company that made the ammunition.
  - c. **Condition** – Select whether the ammunition is new, reloaded, or used from the **Condition** drop down list.
  - d. **Caliber** - Select the caliber of the ammunition from the **Caliber** drop down list.

Transaction and Ammunition Information

Inventory Code TEST	*Manufacturer TESTER	*Condition NEW	Bullet Type BUCKSHOT
Select AMMO TEST	Casing BRASS/PLASTIC	*Caliber 12-gauge shotgun	
Quantity (rounds)	Primer Type CENTERFIRE	Muzzle Velocity	Unit Select
		Muzzle Energy	Unit Select
Cost/Round			

Please click buttons only once. Multiple clicks will delay processing.

Back Preview Clear

- 3) Click the **Submit** button. A confirmation banner will display at the top of the *Main Menu* page.



**16. SEARCH FREQUENTLY SOLD AMMUNITION LIST****OVERVIEW**

The Search Frequently Sold Ammunition List is a tool to review the ammunition that you added to your Frequently Sold Ammunition List. You will be able to review and maintain frequently sold ammunition from this page.

**Search Item on Frequently Sold Ammunition List:**

- 1) From the *Main Menu* page, click on the **Search Frequently Sold Ammunition** link. The *Search Ammunition Item List* page displays.

**Search Ammunition Item List**

Inventory Code  Manufacturer

Please click buttons only once.

Search Results

Delete	Inventory Code	Manufacturer	Bullet Type	Caliber
<input checked="" type="checkbox"/>	AMMO	TEST MAKER	BUCKSHOT	9mm L/Para/9x18, 9x21, 9x23/Largo 9x19, 9mm rimfire shotgun
<input checked="" type="checkbox"/>	TEST	TESTER	BUCKSHOT	12-gauge shotgun

Displaying records 1 to 2 of 2 total records.

- 2) Enter the information to search.
  - a. Partial or complete Inventory Code
  - b. Partial or complete Manufacturer
- 3) Click **Search**. The system will display a list of all matching records.
- 4) Clicking on the inventory code name from the *Search Ammunition Item List* will display the selected *Ammunition Item Details* page. Clicking on the **Delete** button next to a record will remove the record entirely.

**Ammunition Item Detail**

Inventory Code  Manufacturer  Condition  Bullet Type

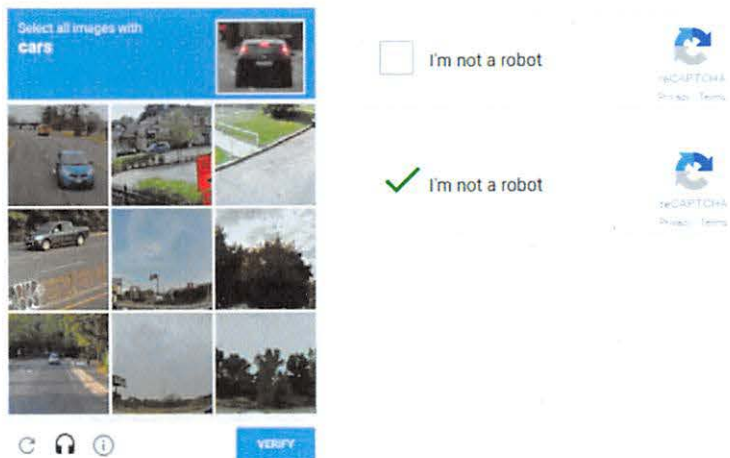
Bullet Weight  Usage Type  Casing  Caliber

Primer Type  Muzzle Velocity  Unit  Muzzle Energy  Unit  Cost/Round

- 5) Make the desired changes to the ammunition item information.
- 6) Click on the **Submit** button to save the changes. Click on the **Delete** button to remove the record entirely. A confirmation banner will display at the top of the *Search Ammunition Item List* page.

**17. USE OF reCAPTCHA**

The reCAPTCHA program helps prevent a computer application from being accessed by another computer. reCAPTCHAs are used by many websites to prevent abuse from "bots," or automated programs usually written to generate spam. No computer program can read distorted text as well as humans can, so bots cannot navigate sites protected by reCAPTCHAs. We present a reCAPTCHA challenge on all data submission pages that are available to a user prior to being logged on to the application.



# EXHIBIT 1





Jessie Romine  
Bureau of Firearms  
Division of Law Enforcement  
Department of Justice  
P.O. Box 160487  
Sacramento, CA 95816-0487  
Phone: 916-227-4217  
Email: [Ammoregs@doj.ca.gov](mailto:Ammoregs@doj.ca.gov)

#### AUTHORITY AND REFERENCE

Authority: Sections 30352, and 30370, Penal Code.

Reference: Sections 16150, 16151, 26710, 28180, 28220, 30300, 30305, 30312, 30314, 30342, 30352, 30370, 30385, 30390, and 30395, Penal Code.

#### INFORMATIVE DIGEST/POLICY STATEMENT OVERVIEW

Prior to the passage of Proposition 63 of 2016 (The Safety for All Act) and SB 1235 (2016), the sale or transfer of ammunition was not regulated by existing law. Penal Code section 30305 had established that an individual who is prohibited from owning or possessing a firearm is also prohibited from owning or possessing ammunition. Both Proposition 63 and SB 1235 (2016) authorize the Department to complete an ammunition eligibility check or to verify that an individual's Certificate of Eligibility (COE) is valid when the individual purchases or transfers ammunition from or through an ammunition vendor. Prior to voter approval of The Safety for All Act and the enactment of SB 1235 (2016), the Department had no mechanism to regulate the sale of ammunition, meaning the Department could not stop a prohibited individual from purchasing or receiving ammunition.

The Legislature enacted SB 1235 (2016) and the voters approved The Safety for All Act, delegating the authority to the Department to write regulations to interpret, and make specific certain Penal Code sections regulating the sale and transfer of ammunition. These regulations are beneficial as they create a process for the Department to make a determination to either approve or reject an ammunition purchase or transfer that is conducted by or processed through an ammunition vendor. The Department will make a determination to either approve or reject each ammunition purchase or transfer conducted by or processed through an ammunition vendor unless the individual is exempt from the Department's approval pursuant to Penal Code section 30352, subdivision (e).

These regulations explain that an ammunition vendor is responsible for facilitating an ammunition purchase or transfer by submitting the ammunition purchaser's or transferee's personal information to the Department, or by verifying the individual's COE status.

These regulations will benefit the state of California because an individual who is prohibited by either state or federal law to possess ammunition will be unable to obtain Department approval for an ammunition purchase or transfer from or through an ammunition vendor.

California Code of Regulations, Title 11, Division 5, Chapter 11 interprets and details the specifics of these regulations as follows:

Section 4300 specifies the scope of the new chapter, the regulation of an ammunition purchase or transfer from or through an ammunition vendor. This chapter provides guidance for an individual to purchase or transfer ammunition commencing July 1, 2019.

Section 4301 defines all firearm-related words throughout this new chapter so that the Department and members of the public can apply the same definitions to the firearm-related terminology used in the regulations to understand what the Department requires of them.

Section 4302 establishes the process for an individual to purchase or transfer ammunition as prescribed by Penal Code section 30370, subdivision (b).

Section 4303 establishes the process for one-time ammunition purchases or transfers.

Section 4304 establishes the process for an individual to purchase a firearm and ammunition within the same transaction.

Section 4305 establishes the process for an individual with a COE to purchase or transfer ammunition.

Section 4306 establishes the process for an exempted individual to purchase or transfer ammunition.

Section 4307 establishes the application process for an ammunition vendor to acquire telephonic access to the Department, which will allow the Department to complete an ammunition eligibility check or verify that an individual's COE is valid, as a result of the ammunition vendor being unable to electronically submit information to the Department's DES website.

Section 4308 specifies that the ammunition vendor can only deliver ammunition after the ammunition purchase or transfer is approved.

Section 4309 explains that an ammunition vendor will collect the fee for the ammunition eligibility check or COE verification, from the purchaser or transferee, and transfer the funds to the Department.

#### ANTICIPATED BENEFITS OF THE PROPOSED REGULATIONS

An ammunition purchase or transfer completed in the state of California must be conducted through an ammunition vendor unless otherwise exempted. Prior to the sale or transfer, an ammunition vendor will initiate an eligibility check to ensure the purchaser or transferee is not prohibited from possessing ammunition. These proposed regulations will benefit public safety because they create a process which will ensure an individual prohibited by either state or federal law from possessing ammunition will be unable to purchase or transfer ammunition.



These regulations will explain the process that must be followed to purchase or transfer ammunition, what to do if an attempted purchase or transfer is denied, and will clarify what is needed to be exempt from certain parts of the process. In brief, these regulations will provide the public and ammunition vendors with directives that will guide both in the ammunition sale and transfer process.

#### EVALUATION OF INCONSISTENCY/INCOMPATIBILITY WITH EXISTING STATE REGULATIONS

Pursuant to Government Code section 11346.5, subdivision (a)(3)(D), the Department shall evaluate whether the proposed regulation is inconsistent or incompatible with existing state regulations. Pursuant to this evaluation, the Department has reviewed existing regulations pertaining to firearms within California Code of Regulations ("CCR") Title 11, Division 5, and determined that these proposed regulations are not inconsistent or incompatible. This determination is based on the fact that the proposed regulations clarify and provide further detail for existing Penal Code sections.

#### COMPARABLE FEDERAL REGULATIONS

The proposed regulations are not mandated by federal statute or regulation.

#### INCORPORATED BY REFERENCE

The following form is Incorporated by Reference: Application for Telephonic Vendor Approval, BOF 1020 (Orig. 05/2018)

#### DISCLOSURES REGARDING THE PROPOSED ACTION

The Department has made the following initial determinations:

Mandate on local agencies or school districts: None.

Cost or savings to any state agency: None.

Cost to any local agency or school district which shall be reimbursed in accordance with Government Code sections 17500 through 17630: None.

Other nondiscretionary cost or savings imposed on local agencies: None.

Cost or savings in federal funding to the state: None.

Significant effect on housing costs: None.

Business report requirement: None.

Significant, statewide adverse economic impact directly affecting business, including the ability of California businesses to compete with businesses in other states: None.

## RESULTS OF THE ECONOMIC IMPACT ASSESSMENT/ANALYSIS

Assessment regarding effect on jobs/businesses: Adoption of the proposed regulation will create permanent jobs within the Department. Adoption of the proposed regulations will not:

- (1) Create or eliminate jobs within California, with the exception of the Department's permanent positions needed to conduct tasks associated with ammunition eligibility checks and COE verifications;
- (2) Create new businesses or eliminate existing businesses within California; or
- (3) Affect the expansion of businesses currently doing business within California.

The Department has made the determination on items (1) through (3) based on the fact that the fee for an ammunition eligibility check or the COE verification process is minimal and will not deter an individual from purchasing or transferring ammunition in California. Therefore, an individual will still purchase or transfer ammunition from an ammunition vendor, and an ammunition vendor will not be losing business from these regulations.

The Department has also made this determination after considering implied costs to ammunition vendors and ammunition purchasers for the processing time of a Standard Ammunition Eligibility Check. The Department estimates that it will take approximately two minutes for a Standard Ammunition Eligibility Check to be processed, so the implied costs for an ammunition vendor can be derived from taking the two-minute processing time and multiplying it by the 13 million transactions while valuing ammunition vendor staff and ammunition purchaser time at \$11 per hour. In total, the annual implied cost that comes from the Department's processing time for these transactions is \$9,533,334, and this cost independently applies to ammunition vendors (\$4,766,667) and ammunition purchasers (\$4,766,667). Although ammunition vendors and ammunition purchasers have implied costs attributed to the time it takes to process a transaction, ammunition vendors have the ability to process multiple transactions simultaneously and ammunition purchasers are still able to shop and be productive while waiting for their transaction to be processed. Therefore, the Department's processing time for the Standard Ammunition Eligibility Check will not be burdensome for ammunition vendors nor restrict ammunition purchasers in their leisurely activity of shopping.

(4) Benefits of the Proposed Regulations: These proposed regulations are beneficial to the health and welfare of California's residents because they create a process which will ensure an individual prohibited by either state or federal law to possess ammunition will be unable to purchase or transfer ammunition. An ammunition purchase or transfer completed in California must be conducted by or processed through an ammunition vendor unless otherwise exempted. An ammunition vendor is required to submit an ammunition purchaser's or transferee's personal information directly to the Department, to allow the Department to complete an ammunition eligibility check or verify that the individual has a valid COE prior to approving an ammunition purchase or transfer. Furthermore, these regulations will benefit the welfare of California residents because the Department shall only approve an ammunition purchase or transfer for an

individual who is not prohibited by either state or federal law from possessing ammunition. These regulations minimize the likelihood of a dangerous prohibited individual taking possession of ammunition.

#### Cost impacts on a Private Person or Business:

The Department has determined that the cost to a private individual would be either the \$1.00 fee for the Department's Standard Ammunition Eligibility Check, the \$1.00 fee for the Department to verify that a COE is valid, or the \$19.00 fee for the Department's Basic Ammunition Eligibility Check. The actual cost to the individual depends on the number of times an individual attempts to purchase or transfer ammunition. The Department is unable to determine how many times an individual will attempt to purchase or transfer ammunition. As mentioned above, ammunition purchasers and ammunition vendors will have an annual implied cost of \$4,766,667 each that comes from the Department's processing time for a Standard Ammunition Eligibility Check.

The Department determines that these regulations will not have a significant impact on the creation or elimination of private sector jobs within the state of California. The estimated impact on businesses considers the implied costs that stem from the processing time for a Standard Ammunition Eligibility Check. The processing time for a Standard Ammunition Eligibility Check does not limit the amount of ammunition transactions that an ammunition vendor can initiate, and therefore, ammunition vendors will not lose business as a result.

Small business determination: The Department has determined that the proposed regulation will not affect the creation or elimination of businesses because the effects from these regulations will be minimal. The estimated impact on small businesses considers the implied costs that come from the processing time for a Standard Ammunition Eligibility Check. The processing time for a Standard Ammunition Eligibility Check does not limit the amount of ammunition transactions that an ammunition vendor that is a small business can initiate, and therefore, these ammunition vendors will not lose business as a result.

#### CONSIDERATION OF ALTERNATIVES

In accordance with Government Code section 11346.5, subdivision (a)(13), the Department must determine that no reasonable alternative it considered or that has otherwise been identified and brought to the attention of the Department would be more effective in carrying out the purpose for which the action is proposed or would be as effective and less burdensome to affected private persons than the proposed action or would be more cost-effective to affected private persons and equally effective in implementing the statutory policy or other provision of law. Any person interested in presenting statements or arguments with respect to alternatives to the proposed regulations may do so at the scheduled hearing or during the written comment period.

#### CONTACT PERSONS

Please direct inquiries concerning the proposed administrative action to:



Jessie Romine  
Bureau of Firearms  
Division of Law Enforcement  
Department of Justice  
P.O. Box 160487  
Sacramento, CA 95816-0487  
Phone: (916) 227-4217  
Email: [Ammoregs@doj.ca.gov](mailto:Ammoregs@doj.ca.gov)

The back-up contact person for these inquiries is:

Kelan Lowney  
Bureau of Firearms  
Division of Law Enforcement  
Department of Justice  
P.O. Box 160487  
Sacramento, CA 95816-0487  
Phone: (916) 227-7614  
Email: [Ammoregs@doj.ca.gov](mailto:Ammoregs@doj.ca.gov)

#### AVAILABILITY OF RULEMAKING FILE INCLUDING THE INITIAL STATEMENT OF REASONS

The Department will have the entire rulemaking file available for inspection and copying throughout the rulemaking process. The text of the proposed regulation (the “express terms”), the initial statement of reasons, and the information upon which the proposed rulemaking is based are available at the Department’s website at <http://oag.ca.gov/firearms/regs>. Copies may also be obtained by contacting Jessie Romine.

#### AVAILABILITY OF CHANGED OR MODIFIED TEXT

After considering all timely and relevant comments received, the Department may adopt the proposed regulations substantially as described in this notice. If the Department makes modifications, which are sufficiently related to the originally proposed text, it will make the modified text (with the changes clearly indicated) available to the public for at least 15 days and accept written comments before the Department adopts the regulations. Copies of any modified text will be available on the Department’s website at <http://oag.ca.gov/firearms/regs>. A written copy of any modified text may be obtained by contacting Jessie Romine.

#### AVAILABILITY OF FINAL STATEMENT OF REASONS

Upon completion, the final statement of reasons will be available on the Department’s website at <http://oag.ca.gov/firearms/regs>. You may also obtain a written copy of the final statement of reasons by contacting Jessie Romine.

AVAILABILITY OF DOCUMENTS ON THE INTERNET

Copies of the Notice of Proposed Action, the Initial Statement of Reasons, and the text of the regulation in underline and strikeout format, as well as the Final Statement of Reasons once completed, are available on the Department's website at <http://oag.ca.gov/firearms/regs>.

## **INITIAL STATEMENT OF REASONS**

### **PROBLEM STATEMENT**

Proposition 63 (The Safety for All Act of 2016) and Senate Bill 1235 (2016) are newly enacted laws that regulate the sale or transfer of ammunition in California. Proposition 63, section 2, paragraphs 6 and 7 state:

“6. We know background checks work. Federal background checks have already prevented more than 2.4 million gun sales to convicted criminals and other illegal purchasers in America. In 2012 alone, background checks blocked 192,043 sales of firearms to illegal purchasers including 82,000 attempted purchases by felons. That means background checks stopped roughly 225 felons from buying firearms every day. Yet California law only requires background checks for people who purchase firearms, not for people who purchase ammunition. We should close that loophole.

7. Right now, any violent felon or dangerously mentally ill person can walk into a sporting goods store or gun shop in California and buy ammunition, no questions asked. That should change. We should require background checks for ammunition sales just like gun sales, and stop both from getting into the hands of dangerous individuals.”

Proposition 63 and Senate Bill 1235 (2016) authorize the Department of Justice (Department) to adopt these regulations to interpret, and make specific the Penal Code sections that implement a background check for the purchase and transfer of ammunition.

### **ANTICIPATED BENEFITS**

These regulations will benefit public safety by various means, including regulating the sale of ammunition to prevent the acquisition by convicted felons, the dangerously mentally ill and other persons who are prohibited from possessing firearms and ammunition.

These regulations will explain the process that must be followed to purchase or transfer ammunition, or what to do if an attempted purchase or transfer is denied, and will clarify what is needed to be exempt from Department approval to purchase or transfer ammunition. In brief, these regulations will provide the public and ammunition vendors with the directives that will guide both in the ammunition sale and transfer process.

### **PURPOSE & NECESSITY**

#### **§ 4300. Title and Scope.**

This regulation identifies the scope of the new chapter - Chapter 11, “The Department of Justice Regulations for Ammunition Purchases or Transfers.” This regulation is necessary to identify the title and explain the scope of the regulations.



### **§ 4301. Definition of Key Terms.**

Subdivisions (a) through (p) of this regulation define firearm-related words used throughout this chapter. This section is necessary because it clarifies commonly used firearm-related terms. The Department and members of the public can apply the same definitions to the firearm-related terminology used in this chapter; therefore, it will help to eliminate any misunderstandings between the Department and the public.

### **§ 4302. Standard Ammunition Eligibility Check.**

This section establishes the fee for conducting a Standard Ammunition Eligibility Check and explains the process for an individual to purchase or transfer ammunition pursuant to Penal Code section 30370, subdivision (b).

Subdivision (a) establishes the fee for a Standard Ammunition Eligibility Check as \$1.00. The fees collected from the Standard Ammunition Eligibility Check will be used to repay the loan for start up costs including consultant and payment processing contract fees, software and hardware purchases, and personnel. (See Penal Code section 30371.) The fees also will provide for ongoing system maintenance (including recordkeeping and storage), and salaries of the 73 permanent employees. The Department will repay the loan on an ongoing basis as revenues from the Standard Ammunition Eligibility Check are collected. This subdivision is necessary to specify the fee assessed pursuant to Penal Code section 30370, subdivision (e) and to recover the total cost of implementation.

Subdivision (b) specifies the personal information that is to be collected from the purchaser or transferee, and outlines the submission process. This subdivision is necessary because an ammunition vendor needs to know what personal information to collect and submit in order for the Department to complete a Standard Ammunition Eligibility Check.

Subdivisions (c) through (d) specify that the Department shall approve or reject an ammunition purchase or transfer and outlines the process if a purchase or transfer is rejected. These subdivisions are necessary to explain that the Department will approve or reject ammunition purchases or transfers and provides the purchaser or transferee with the ability to understand why their transaction was rejected.

### **§ 4303. One-Time Ammunition Transactions.**

This regulation establishes the process for one-time ammunition purchases or transfers. This regulation is necessary because an individual may have to request to undergo a Basic Ammunition Eligibility Check from the Department for a one-time ammunition purchase or transfer.

Subdivision (a) establishes the fee for a Basic Ammunition Eligibility Check as \$19.00. The \$19.00 fee allows the Department to recover the cost of processing the Basic Ammunition Eligibility Check, and is consistent with the fee paid for a firearms eligibility check. The Basic Ammunition Eligibility Check is essentially the same background check as a firearms eligibility

check. This subdivision is necessary to specify what the purchaser or transferee will need to pay for a Basic Ammunition Eligibility Check, as authorized by Penal Code section 30370, subdivision (c).

Subdivision (b) specifies the information an ammunition vendor must collect and submit into the Dealer Record of Sale Entry System (DES) website. This subdivision is necessary because an ammunition vendor needs to know what personal information to collect and submit in order for the Department to complete a Basic Ammunition Eligibility Check.

Subdivision (c) establishes that an ammunition vendor will provide the purchaser or transferee with an Ammunition Transaction Number (ATN), which may be used to check the status of the Basic Ammunition Eligibility Check on the Department's California Firearms Application Reporting System (CFARS) website. This subdivision is necessary to inform an individual how to use an ATN to obtain the status for the Basic Ammunition Eligibility Check from the Department.

Subdivisions (c)(1) through (2) establish that an approved Basic Ammunition Eligibility Check can be used for one ammunition purchase or transfer, and expires 30 days after issuance, and if a Basic Ammunition Eligibility Check is denied, the Department will provide the reason for the denial via U.S. Mail. These subdivisions are necessary to explain the limitations of a Basic Ammunition Eligibility Check, and its expiration period, and to explain the denial notification process.

Subdivision (d) explains that upon completion of the Basic Ammunition Eligibility Check, the transaction status will be updated in DES. This subdivision is necessary because the DES transaction status change is an indication to the ammunition vendor that the Department has completed the Basic Ammunition Eligibility Check, and upon approval, the ammunition vendor may then proceed with the ammunition sale or transfer.

#### **§ 4304. Firearms Eligibility Check.**

As authorized pursuant to Penal Code section 30352, subdivision (c), an individual that has been approved to purchase or transfer a firearm shall also be approved to purchase or transfer ammunition within the same transaction. This regulation establishes the process for an individual to purchase or transfer one or more firearms and ammunition in the same transaction.

Subdivision (a) explains that, except as provided in subdivision (b), an individual purchasing or transferring one or more firearms and ammunition within the same transaction shall only pay the fee prescribed by the California Code of Regulations, Title 11, section 4001, for a firearms eligibility check. This subdivision is necessary because both the firearms dealer and the individual need to understand the fee to be collected when one or more firearms and ammunition are purchased or transferred in the same transaction.

Subdivision (b) specifies two scenarios when a California resident may receive ammunition prior to the completion of the firearms eligibility check. Purchasers may take possession of the ammunition if they pay the \$1.00 fee for either the Standard Ammunition Eligibility Check or

the Certificate of Eligibility (COE) verification process, and are approved by the Department. This subdivision is necessary to explain to a firearms dealer that when ammunition is purchased or transferred within the same transaction as a firearm, ammunition can only be delivered prior to the firearms eligibility check if the individual has been approved following the completion of either the Standard Ammunition Eligibility Check or the COE verification.

#### **§ 4305. COE Verification Process.**

This regulation explains the process for the Department to process a COE holder's ammunition purchase or transfer. Pursuant to Penal Code section 30370, subdivision (a), the Department has the authority to process a COE holder's ammunition purchase or transfer. This regulation is necessary to establish a process for a COE holder to be approved by the Department to purchase or transfer ammunition.

Subdivision (a) establishes the fee for a COE verification as \$1.00. The fees collected from the COE verification will contribute toward start up costs and ongoing system maintenance, including employee salaries. This subdivision is necessary to specify the fee for a COE verification.

Subdivision (b) specifies what information the ammunition vendor will collect from the COE holder for the Department to verify the status of his or her COE in order to approve a purchase or transfer of ammunition. The ammunition vendor is required to submit the COE holder's personal information along with the COE number to the DES website. This subdivision is necessary to explain to an ammunition vendor how to process a COE holder's purchase or transfer.

Subdivision (c) specifies that the Department will approve or reject a COE holder's ammunition purchase or transfer and inform the ammunition vendor of the determination. If the Department determines the individual has a valid COE, the ammunition purchase or transfer shall be approved, but if the Department determines the individual's COE is not valid, the Department shall reject the ammunition purchase or transfer. This subdivision is necessary to ensure the ammunition vendor understands the Department must approve or reject the ammunition purchase or transfer.

#### **§ 4306. Ammunition Purchases or Transfers for Exempted Individuals.**

Subdivisions (a)(1) through (5) specify the types of identification that will identify an individual who is exempt from Department approval to purchase or transfer ammunition. These subdivisions are necessary because an ammunition vendor will need to verify exempted individuals' identities before processing an ammunition purchase or transfer without Department approval.

Subdivision (b) specifies that an ammunition vendor shall keep copies of the identification that identify sworn state or local peace officers or federal law enforcement officers and the original verifiable written certification from the head of the agency, and these records are to be made available to the Department upon request. Pursuant to Penal Code section 30352, subdivision



(e)(8)(iii), an ammunition vendor is required to keep the certification with the record of sale for ammunition transactions processed for sworn state or local peace officers or federal law enforcement officers. This subdivision is necessary to explain how this information must be recorded and reported to the Department.

Subdivision (c) clarifies that once an ammunition vendor has verified that an individual is exempt from Department approval for an ammunition purchase or transfer, the ammunition vendor may provide possession of the ammunition to the exempt individual. This subdivision is necessary because the ammunition vendor can only provide ammunition to an individual after it has verified that individual is exempt from the Department's ammunition eligibility check or the COE verification process.

#### **§ 4307. Telephonic Access for Ammunition Vendors.**

This regulation explains the process for an ammunition vendor to obtain telephonic access to the Department for the purposes of processing the sale or transfer of ammunition, which will allow the Department to manually determine if an individual can possess ammunition. If the ammunition vendor is able to demonstrate it does not have access to Internet service, the ammunition vendor will be able to obtain telephonic access to the Department. This regulation is necessary because an ammunition vendor needs a mechanism to apply for telephonic access to the Department, and the Department is required to process each ammunition purchase or transfer that is conducted by or processed through an ammunition vendor on a telephone line. Telephonic access for an ammunition vendor will allow the Department to manually verify that an individual is eligible to possess ammunition following the completion of a Standard Ammunition Eligibility Check, Basic Ammunition Eligibility Check, or the COE verification process.

Subdivisions (a) and (b) explain what document(s) an ammunition vendor can submit to prove that the service provider in their area does not offer Internet service at the ammunition vendor's place of business. This document is required to be mailed with the Ammunition Vendor (Non-Firearms Dealer) Application for Telephonic Approval, Form BOF 1020 (Orig. 05/2018) to apply for telephonic access to the Department. This subdivision is necessary because an ammunition vendor needs to understand the requirement to show it needs telephonic access because it cannot obtain Internet access. Telephonic access is the only mechanism for an ammunition vendor to submit an ammunition purchaser's or transferee's personal information to the Department when it does not have Internet service.

Penal Code section 30370 provides that it is important that this form be signed under penalty of perjury because the vendor is attempting to utilize a service the Legislature has made available only under specified conditions. By signing under penalty of perjury, the vendor confirms for the Department that it is aware of the restrictions and meets them.

Subdivision (c) clarifies that the Department shall either approve or deny the ammunition vendor's application for telephonic access. This subdivision is necessary because the Department shall approve telephonic access before an ammunition vendor can utilize the

Department's telephone line to submit an ammunition purchaser's or transferee's personal information to the Department.

**§ 4308. Delivery of Ammunition Following DES Submission.**

Subdivision (a) specifies that when the Department approves an ammunition purchase or transfer, the DES transaction record will change from "Pending" to "Approved." The DES transaction record indicates the Department's determination for the ammunition purchase or transfer. This subdivision is necessary because the ammunition vendor can only deliver ammunition to a purchaser or transferee if the DES transaction record shows as "Approved." Subdivision (b) specifies that ammunition may only be delivered if the status of the DES transaction record is approved. This subdivision is necessary to let ammunition vendors know when ammunition can be delivered to a purchaser or transferee.

Subdivision (c) requires that when an ammunition vendor delivers ammunition to a purchaser or transferee, the ammunition vendor shall submit the ammunition sale information to the Department. This subdivision is necessary because this records the ammunition transaction information as required pursuant to Penal Code section 30352, subdivision (b).

**§ 4309. Billing, Payment, and Suspension for Non-Payment.**

Subdivision (a) explains how an ammunition vendor is billed by the Department for the completion of ammunition eligibility checks and COE verifications. This subdivision is necessary because the ammunition vendor is required to collect fees for ammunition eligibility checks and COE verifications and these fees need to be paid to the Department.

Subdivision (b) specifies that an ammunition vendor shall pay the Department via a major credit card or debit card, and that this payment is due within 30-days of the billing statement date. This subdivision is necessary, so the ammunition vendor can both understand how to pay the bill and when specifically the bill is due.

Subdivision (c) explains that if the ammunition vendor does not pay the bill for the ammunition eligibility check and COE verification activity to the Department, the ammunition vendor's access to DES will be suspended until full payment for the past due amount is received. This subdivision is necessary because it explains the consequence for not paying this bill to the Department. If the ammunition vendor does not pay this bill to the Department, the ammunition vendor will be unable to facilitate an ammunition eligibility check or COE verification because the Department will suspend its access to DES.

Subdivision (d) clarifies that when an ammunition vendor's access to DES is suspended, the ammunition vendor will be unable to process or conduct an ammunition purchase or transfer for an individual that needs to undergo an ammunition eligibility check or COE verification. While an ammunition vendor's access to DES is suspended, the ammunition vendor shall still maintain its status as an ammunition vendor licensee. This subdivision is necessary to explain that if an ammunition vendor loses access to DES, its ammunition vendor license status will not be affected.

## AUTHORITY AND REFERENCE

Authority: Sections 30352, and 30370, Penal Code.

Reference: Sections 16150, 16151, 26710, 28180, 28220, 30300, 30305, 30312, 30314, 30342, 30352, 30370, 30385, 30390, and 30395, Penal Code.

## TECHNICAL, THEORETICAL, AND/OR EMPIRICAL STUDY, REPORTS, OR DOCUMENTS

Department staff relied upon their experience, expertise, and the following sources when writing these proposed regulations:

Popken, Ben, Consumer News and Business Channel, “America’s Gun Business, By the Numbers” <https://www.cnn.com/2015/10/02/americas-gun-business-by-the-numbers.html>, published on October 2, 2015.

Henderson, Peter and Daniel Trotta, Reuters, “What’s missing in U.S. gun control scramble? Bullets” <https://www.reuters.com/article/us-usa-guns-ammunition/whats-missing-in-u-s-gun-control-scramble-bullets-idUSBRE90J02K20130120>, published on January 20, 2013.

## ECONOMIC IMPACT ASSESSMENT/ANALYSIS

### Purpose

The Department proposes to adopt California Code of Regulations Title 11, sections 4300 through 4309 to interpret, and make specific the Penal Code sections that implement an eligibility check for the purchase and transfer of ammunition.

The Department estimates there will be approximately 13 million ammunition purchases or transfers conducted each year with a Standard Ammunition Eligibility Check. This calculation was based on the fact that in 2014, California residents accounted for just 931,037 firearms background checks, which is just 4.44 percent of the 20,968,273 firearms background checks that were completed nationally in the United States.<sup>1</sup> Additionally, U.S. residents purchase around 12 billion rounds annually.<sup>2</sup> If this rate of firearm background checks is an indicator of approximate overall gun ownership, and in turn ammunition usage, then this equates to approximately 13.2 million boxes of ammunition per year. For this calculation, the Department has assumed that 4.44 percent of 12 billion is 528 million, and 528 million divided by 40 (40 being the amount of rounds in each box ammunition) ultimately totals approximately 13.2 million boxes of ammunition purchased by California residents each year.

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<sup>1</sup> Ben Popken, “America’s Gun Business, By The Numbers,” Consumer News and Business Channel (CNBC), published October 2, 2015, <https://www.cnn.com/2015/10/02/americas-gun-business-by-the-numbers.html>.

<sup>2</sup> Peter Henderson and Daniel Trotta, “What’s missing in the U.S. gun control scramble? Bullets,” Reuters, published on January 20, 2013, <https://www.reuters.com/article/us-usa-guns-ammunition/whats-missing-in-u-s-gun-control-scramble-bullets-idUSBRE90J02K20130120>.



The Department translated the 13.2 million boxes of ammunition to the estimated 13 million ammunition transactions (conducted with a Standard Ammunition Eligibility Check) after careful consideration of mitigating factors which include ammunition purchased at the same time of a firearm, multiple boxes of ammunition purchased in the same transaction, and individuals transitioning to reloading their own ammunition.

#### Private Sector

The Department determines that these regulations will not have a significant impact on the creation or elimination of private sector jobs within the state of California. The estimated impact on businesses stems from the implied cost for ammunition vendors to process ammunition transactions. The Department estimates that it will take approximately two minutes to process a Standard Ammunition Eligibility Check, so the implied costs for an ammunition vendor can be derived from taking the approximate two-minute processing time and multiplying it by the estimated 13 million transactions, while valuing ammunition vendor staff time at \$11 per hour. In total, the annual direct cost for ammunition vendors to process these transactions is \$4,766,667. Ammunition purchasers will also have the same annual implied cost of \$4,766,667 since they have to wait for the transaction to be processed and their time is valued at \$11 per hour. An ammunition vendor can initiate a Standard Ammunition Eligibility Check, and even when the Department is processing the transaction, the ammunition vendor can still initiate additional ammunition transactions while ammunition purchasers continue to shop and likely purchase other items.

The Department has determined that these regulations will not have a significant impact on the creation of new businesses or elimination of businesses within California or affect the expansion of businesses currently doing business in California because the effects of these regulations will be minimal. The costs for a business to comply with these regulations are minimal because although it takes time for the Department to process an ammunition eligibility check, ammunition purchasers will be shopping for other products in the store, allowing the ammunition vendor to sell more items to the public.

#### Public Sector

The Department determines that these regulations will not have a significant impact on the creation or elimination of public sector jobs within the state of California. The Department anticipates hiring personnel to develop the systems and manage ongoing ammunition sales and transfers. The revenue to pay for these employees is derived from the following fees. The Department is authorized to charge a \$1.00 fee for a Standard Ammunition Eligibility Check, a \$19.00 fee for a Basic Ammunition Eligibility Check, and a \$1.00 fee for the verification of a COE. The Department expects to collect \$13 million per year in revenue from the Standard Ammunition Eligibility Check and COE verification process (based on 13 million ammunition transactions per year). The Department expects to collect \$950,000 per year from the Basic Ammunition Eligibility Check (based on approximately 50,000 Basic Ammunition Eligibility Checks conducted per year). From this revenue, the Department will repay a \$25 million loan to the General Fund used for the start-up costs (that include consultant and payment processing contracts, software and hardware purchases, and personnel) of the implementation of

Penal Code sections 30352 and 30370, and ongoing employee salaries, system maintenance, and payment processing contracts.

The Department has made these determinations based on the fact that the fee for an ammunition eligibility check or the COE verification process is minimal and will not deter an individual from purchasing or transferring ammunition in California. Therefore, an individual will still purchase or transfer ammunition from an ammunition vendor, and an ammunition vendor will not be losing business from these regulations.

The proposed regulations are beneficial to the health and welfare of California's residents because they create a process which will ensure an individual prohibited by either state or federal law to possess ammunition will be unable to purchase or transfer ammunition. An ammunition purchase or transfer completed in California must be conducted by or processed through an ammunition vendor unless otherwise exempted. An ammunition vendor is required to submit an ammunition purchaser's or transferee's personal information directly to the Department, so the Department can complete an ammunition eligibility check or verify that the individual has a valid COE prior to approving an ammunition purchase or transfer to take place. Furthermore, these regulations will benefit the welfare of California residents because the Department shall only approve an ammunition purchase or transfer for an individual who is not prohibited by either state or federal law to possess ammunition. These regulations minimize the likelihood of a dangerous prohibited individual taking possession of ammunition.

#### EVIDENCE SUPPORTING FINDING OF NO SIGNIFICANT STATEWIDE ADVERSE ECONOMIC IMPACT DIRECTLY AFFECTING BUSINESS

The primary evidence supporting the Department's determination that these regulations will not result in adverse economic impact directly affecting business is that despite there being direct and implied costs to ammunition vendors and ammunition purchasers for the time it takes the Department to process a Standard Ammunition Eligibility Check, there is no evidence that these regulations will deter ammunition sales or be a significant burden to ammunition purchasers. Ammunition purchases are considered a leisurely activity, and oftentimes done while out shopping for other items or browsing for future purchases, which is beneficial to both parties.

#### REASONABLE ALTERNATIVES TO THE REGULATION AND THE AGENCY'S REASONS FOR REJECTING THOSE ALTERNATIVES

No other reasonable alternatives were presented to, or considered by, the Department that would be either more effective in carrying out the purpose for which the action is proposed, or would be as effective and less burdensome.

#### REASONABLE ALTERNATIVES TO THE PROPOSED REGULATORY ACTION THAT WOULD LESSEN ANY ADVERSE IMPACT ON SMALL BUSINESSES, AND THE AGENCY'S REASONS FOR REJECTING THEM

No other reasonable alternatives were presented to, or considered by, the Department that would be either more effective in carrying out the purpose for which the action is proposed, or would be

as effective and less burdensome.

**DUPLICATION OR CONFLICT WITH FEDERAL REGULATIONS**

The proposed regulations are not mandated by federal law or regulations.

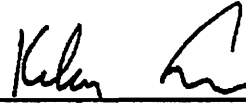


## STATEMENT OF MAILING NOTICE

(Section 86 of Title 1 of the California Code of Regulations)

The Department of Justice has complied with the provisions of Government Code Section 11346.4, subdivision (a)(1) through (4), regarding the mailing of the notice of proposed regulatory action. The notice was mailed on December 14, 2018, over 45 days prior to the close of the public comment period on January 31, 2019.

Dated: 2/26/2019

  
\_\_\_\_\_  
Kelan Lowney

Associate Governmental  
Program Analyst

# EXHIBIT 2

**FINAL STATEMENT OF REASONS**  
**California Code of Regulations**  
**Title 11, Division 5**  
**Chapter 11: Ammunition Purchases or Transfers**

UPDATE OF INITIAL STATEMENT OF REASONS

The Department modified the initially proposed text of the regulations such that the numbering of the subdivisions has changed. This Final Statement of Reasons refers to the subdivision numbers as they appear in the final proposed text of the regulations.

**§ 4300. Title and Scope**

The Department amended the authority and reference sections to delete unnecessary commas. These are non-substantial changes because they clarify the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

**§ 4301. Definition of Key Terms**

The Department deleted the definition of “AFS record,” because that term does not appear in the regulations and therefore was not necessary to define.

The Department added the term “ammunition vendor,” as those persons or entities licensed pursuant to Penal Code section 30385. This is necessary because only those vendors are required by Penal Code sections 30352 and 30370, which these regulations implement, to follow the procedure enacted by these proposed regulations.

The Department added the term “Automated Firearms System” and its definition. The proposed definition explains the term by referencing the Penal Code section that authorizes the establishment and maintenance of that system. This was necessary because sections 4301(b) and 4302(a) refer to the Automated Firearms System, and the Department determined that a definition of the term would clarify the regulations by providing a simple description of the system and providing a citation that allows for further reference.

The Department amended the definition of “Basic Ammunition Eligibility Check” to mirror the language used in Penal Code section 30370, subdivision (c), which authorizes the process that the Department has named the “Basic Ammunition Eligibility Check.” Using the same language in the regulations as in statute will provide greater clarity on the definition of the “Basic Ammunition Eligibility Check.”

The Department amended the definition of “Certificate of Eligibility or COE” to directly refer to the statute that authorizes a COE, and to delete the additional references that describe what is checked before a COE may be granted and why a COE may be granted. The Department



determined that the deleted information reduced the clarity of the definition by presenting too much information. The regulation is made clearer by providing a simple description of the certificate and providing a citation that allows for further reference.

The Department further amended the definition to add punctuation that clearly indicate that the terms “Certificate of Eligibility” and “COE” are separate, yet interchangeable, terms. These are non-substantial changes because they clarify the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

The Department amended the definition of “Dealer Record of Sale Entry System” or “DES” to add punctuation that clearly indicate that the terms “Dealer Record of Sale Entry System” and “DES” are separate, yet interchangeable, terms. The Department further amended the definition to delete the parentheses surrounding the web address. The parentheses were not necessary to demarcate the web address, and may have led to confusion as to how to type the web address. These are non-substantial changes because they clarify the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

The Department amended the definition of “Firearms eligibility check” to make a grammatical change. The “check,” as a process, is a noun, and the sentence requires a verb (“conducted”). This is a non-substantial change because it clarifies the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

The Department deleted the definition of “One-Time Ammunition Transaction” because that term is no longer the title of section 4303. The term also differed from the statutory language (“single ammunition transaction or purchase”) in Penal Code section 30370, subdivision (c), and the Department determined that it was both confusing and not necessary.

The Department added the term “Prohibited Armed Persons File” and its definition. This term is used in section 4302(a) and in the statute that that proposed regulation implements, Penal Code section 30370, subdivision (b). The proposed definition explains the term by reference to the Penal Code section that authorizes the establishment and maintenance of the File.

The Department amended subdivision (o) of this section to correct a grammatical error. The word “subdivision” should be singular, not plural. This is a non-substantial change because it clarifies the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

The Department amended the definition of the term “Sworn federal law enforcement officer” to delete a citation to the California Penal Code. The Department determined that it is not necessary to cite the Penal Code, because although federal law enforcement officers are discussed by that Code (e.g. section 830.8), they are not defined therein.

The Department amended the authority and reference sections to delete unnecessary commas. These are non-substantial changes because they clarify the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

The Department amended the reference section to include Penal Code sections 11106 and 30385, which are newly referenced in the definitions of “Automated Firearms System” and “ammunition vendor,” respectively. This is a non-substantial change because it clarifies the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

#### **§ 4302. Standard Ammunition Eligibility Check (AFS Match).**

The Department has amended the title of this section from “Standard Ammunition Eligibility Check” to “Standard Ammunition Eligibility Check (AFS Match)”. This is necessary to provide greater clarity, as the title will now immediately inform the public that the Standard Ammunition Eligibility Check is the ammunition eligibility check that implements Penal Code section 30370, subdivisions (a)(1) and (b), the defining feature of which is that the purchaser or transferee’s information “matches an entry in the Automated Firearms System (AFS)”.

The Department has added subdivision (a), which introduces the section by interpreting Penal Code section 30370, subdivisions (a), (a)(1) and (b). This is necessary to introduce the purpose of section 4302 and to provide clarity regarding that section of Penal Code.

The Department has added subdivision (a)(1) to further interpret Penal Code section 30370 and to provide a name for the eligibility check authorized by that section. Because a purchase or transfer is initiated by a purchaser or transferee, the Department has clarified that it is the purchaser or transferee who initiates the Standard Ammunition Eligibility Check. Because Penal Code section 30370, subdivision (d) prohibits an ammunition vendor from selling or transferring ammunition without the Department’s approval, and section 30352, subdivision (d) mandates ammunition vendors to verify with the Department that a person is authorized to purchase ammunition, the Department has clarified that the purchaser or transferee is to request the Standard Ammunition Eligibility Check through an ammunition vendor. In conjunction with section 4302, subdivisions (c) and (d), subdivision (a)(1) makes clear the roles of the Department, the ammunition vendor, and the purchaser or transferee.

The Department has amended subdivision (d) to clarify when the Department will instruct the ammunition vendor to approve or reject the purchase or transfer, and the manner by which the Department will communicate its determination. This change is necessary to specify how the ammunition vendor will be able to comply with Penal Code section 30370, subdivision (d), which prohibits an ammunition vendor from selling or transferring ammunition without the Department’s approval, and section 30352, subdivision (d), which mandates ammunition vendors to verify with the Department that a person is authorized to purchase ammunition. This amendment also aligns the Standard Ammunition Eligibility Check process with the Basic

Ammunition Eligibility Check process, as described by section 4303(e) and the amended COE Verification process, as implemented in section 4305(d).

The Department has amended subdivision (e) to specify that the ATN can be used by accessing the Department's CFARS website. Prior to this change, it was unclear how, specifically, the attempted purchaser or transferee would use the ATN. This change also aligns the Standard Ammunition Eligibility Check process with the Basic Ammunition Eligibility Check process, as implemented in section 4303(d).

The Department further amended this section to make nonsubstantial changes to punctuation and grammar. For example, although the California Department of Motor Vehicles refers to a "driver license," the statutes that are implemented by this regulation refer to that document as a "driver's license." The Department has amended the regulation to follow the statutory language. This, and the other punctuation and grammatical changes are non-substantial changes because they clarify the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

The Department amended the authority section to include Penal Code section 30352. That section provides partial authority for the requirement in subdivision (c) for the Standard Ammunition Eligibility Check to require that the purchaser or transferee provide a telephone number.

The Department amended the reference section to delete an unnecessary comma. This is a non-substantial change because it clarifies the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

### **§ 4303. Basic Ammunition Eligibility Check (Single Transaction or Purchase).**

The Department amended the title of this section from "One-Time Ammunition Transactions" to "Basic Ammunition Eligibility Check (Single Transaction or Purchase)," to provide greater clarity. Title now introduces the name of the eligibility check, and aligns with the titles of the other sections that provide methods of verifying authorization to purchase or transfer ammunition. The parenthetical phrase mirrors language used in Penal Code section 30370, subdivisions (a)(3) and (c), and will immediately inform the public that the Basic Ammunition Eligibility Check is the ammunition eligibility check that implements those provisions. Although each ammunition transaction must be approved by the Department prior to purchase or transfer, regardless of the method of obtaining authorization, per Penal Code section 30370, or exemption from the requirement to obtain authorization, per Penal Code 30352, the Department determined that the intent of the legislature in using "single transaction or purchase" to repeatedly describe the eligibility check that the Department has named the "Basic Ammunition Eligibility Check" was because the defining feature of the subdivisions implemented by the Basic Ammunition Eligibility Check is that the purchaser or transferee has neither an entry in the AFS nor a Certificate of Eligibility, nor belongs to one of those classes of persons exempt from needing to obtain authorization, and so the purchase of ammunition is presumed to be a rare, or

singular event. This comports with the Department's estimate that fewer than 2% of eligibility checks will be conducted by means of a Basic Ammunition Eligibility Check.

The Department has added subdivision (a), which introduces the section by interpreting Penal Code section 30370, subdivisions (a), (a)(3) and (c). This is necessary to introduce the purpose of section 4303 and to provide clarity regarding that section of Penal Code. Any person who is not prohibited, broadly speaking, may be authorized in any number of ways. Conversely, any person who is prohibited will not be authorized, as the prohibiting event will be revealed during the manual Basic Ammunition Eligibility Check; the prohibiting event will result in an entry into the Prohibited Armed Persons File and so lead to a denial of a Standard Ammunition Eligibility Check; and the prohibiting event will result in the termination of a Certificate of Eligibility and so lead to a denial of a COE Verification. Of these three, the Basic Ammunition Eligibility Check is potentially applicable to the greatest number of people — per Penal Code section 30370, subdivision (c), this includes any person who is not prohibited. By contrast, as stated in the ISOR Addendum, there are 22,000 COE holders who would be authorized subsequent to a COE verification, and 4.5 million people with distinct entries in the Automated Firearms System (still, the Department estimates that 98% of eligibility checks will be requested by such persons, who possess or are otherwise involved in activities related to firearms, and who thus would be authorized to purchase ammunition subsequent to a Standard Ammunition Eligibility Check or COE verification). Subdivision (a)(2) will provide greater clarity as to which method of obtaining authorization may best apply to a purchaser or transferee who may qualify for the more narrowly-defined paths to authorization (or exemption from authorization).

The Department has added subdivision (a)(1) to further interpret Penal Code section 30370 and to provide a name for the eligibility check authorized by that section. Because a purchase or transfer is initiated by a purchaser or transferee, the Department has clarified that it is the purchaser or transferee who initiates the Basic Ammunition Eligibility Check. Because Penal Code section 30370, subdivision (d) prohibits an ammunition vendor from selling or transferring ammunition without the Department's approval, and section 30352, subdivision (d) mandates ammunition vendors to verify with the Department that a person is authorized to purchase ammunition, the Department has clarified that the purchaser or transferee is to request the Basic Ammunition Eligibility Check through an ammunition vendor. In conjunction with section 4303, subdivisions (c), (d) and (e), subdivision (a)(1) makes clear the roles of the Department, the ammunition vendor, and the purchaser or transferee.

The Department has added subdivision (a)(2) to further clarify the interpretation in subdivision (a) that persons are authorized to purchase ammunition if they are not prohibited, subsequent to affirmation by the Department. In light of the fact that the Department does not have the authority to mandate which procedure a purchaser or transferee uses to seek authorization to purchase ammunition, the Department determined that the most effective way of clarifying the multiple ways of gaining authorization, as provided by statute, is to clearly present each process and its attendant requirements. Persons who are not prohibited may request a determination pursuant to (a)(1), but those persons may also seek authorization by following the alternative procedures, as applicable.



The Department has amended subdivision (c) to include a hyphen between the capital letter “I” and the number “94.” This is a non-substantial change because it clarifies the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

The Department amended subdivision (c) to include the word “and” at the end of the list of information that must be collected for a Basic Ammunition Eligibility Check. This is a non-substantial change because it clarifies the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

The Department has amended subdivision (e) to delete the requirement that the ammunition vendor only deliver the ammunition if the status of the Basic Ammunition Eligibility Check is “approved.” The Department determined that it was not necessary to include here because the same requirement is already provided in section 4308(b), and duplicating that provision made the regulation less clear.

The Department further amended this section to make nonsubstantial changes to punctuation and grammar. For example, although the California Department of Motor Vehicles refers to a “driver license,” the statutes that are implemented by this regulation refer to that document as a “driver’s license.” The Department has amended the regulation to follow the statutory language. This, and the other punctuation and grammatical changes are non-substantial changes because they clarify the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

The Department amended the authority section to include Penal Code section 30352. That section provides partial authority for the interpretation of the statute in subdivision (a), and it provides the authority for the requirement in subdivision (c) for the Basic Ammunition Eligibility Check to require that the purchaser or transferee provide a telephone number.

The Department further amended the authority section to delete an unnecessary comma at the end of the sentence. This is a non-substantial change because it clarifies the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

The Department amended the reference section to include Section 922, Title 18 of the United States Code, because that section provides information regarding federal prohibitions on ammunition that are relevant to understanding why the Department requires the information collected in subdivision (c).

The Department further amended the reference section to delete a comma, to add a semicolon, and to capitalize the words “Section” and “Title.” These are non-substantial changes because they clarify the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

#### **§4304. Firearms Eligibility Check.**

The Department amended subdivision (a) to add a number to what had been the prefatory text, as originally noticed. This change allows for subdivision (a) to be easily referenced. This is a non-substantial change because it clarifies the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

The Department amended subdivision (a) to include the relevant provision of Penal Code section 30352(c) under the condition provided by (c)(2) – specifically, that the *ammunition* shall not be delivered without proper authorization. This is necessary to provide clarity to the regulations and to accurately interpret that section of Penal Code.

The Department amended subdivision (c) to make clear that a person who wishes to take possession of ammunition prior to the completion of a firearms eligibility check must conduct a separate transaction following one of the alternative procedures of obtaining authorization, or qualifying for an exemption, as applicable. Any one of the alternatives is available to the purchaser or transferee, not just the Standard Ammunition Eligibility Check or the Basic Ammunition Eligibility Check, as might have been interpreted from the text as initially proposed. This change is necessary to provide clarity to the regulation.

The Department amended the reference section to delete a comma and to add the word “and” between the final two citations. These are non-substantial changes because they clarify the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

#### **§ 4305. COE Verification Process.**

The Department deleted the prefatory text, as this text is no longer necessary.

The Department has added subdivision (a), which introduces the section by interpreting Penal Code section 30370, subdivision (a)(2). This is necessary to introduce the purpose of section 4305 and to implement and provide clarity regarding that section of Penal Code.

The Department has added subdivision (a)(1) to further interpret Penal Code section 30370 and to provide a name for the verification process that is authorized by that section. Because a purchase or transfer is initiated by a purchaser or transferee, the Department has clarified that it is the purchaser or transferee who initiates the COE Verification. Because Penal Code section 30370, subdivision (d) prohibits an ammunition vendor from selling or transferring ammunition without the Department’s approval, and section 30352, subdivision (d) mandates ammunition vendors to verify with the Department that a person is authorized to purchase ammunition, the Department has clarified that the purchaser or transferee is to request the COE Verification through an ammunition vendor. In conjunction with section 4305, subdivisions (c) and (d), subdivision (a)(1) makes clear the roles of the Department, the ammunition vendor, and the purchaser or transferee.

The Department amended subdivision (b) to correct the citation of the authority for the regulation. The correct citation is to Penal Code section 30370, subdivision (e), not subdivision (c), as originally noticed. This is a non-substantial change because it clarifies the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

The Department amended subdivision (c) to require that the purchaser or transferee provide a telephone number. The purchaser or transferee's telephone number is required by Penal Code section 30352, subdivision (a)(6), at the time of the delivery of the ammunition. Rather than request personal information from the purchaser or transferee at two separate times, the Department determined that it would be most efficient to request all of the purchaser or transferee's personal information required to complete an ammunition purchase or transfer at this stage of the process, so that no new personal information will need to be requested at a second stage of the process. This will streamline the delivery of ammunition as soon as it is approved. The Department has also determined that gathering the purchaser or transferee's phone number at the time of the eligibility check will allow the Department to verify the purchaser's identity, if necessary, and to communicate with the purchaser or transferee, if necessary.

The Department has amended subdivision (d) to clarify when the Department will instruct the ammunition vendor to approve or reject the purchase or transfer, and the manner by which the Department will communicate its determination. Because Penal Code section 30370, subdivision (d) prohibits an ammunition vendor from selling or transferring ammunition without the Department's approval, and section 30352, subdivision (d) mandates ammunition vendors to verify with the Department that a person is authorized to purchase ammunition, the Department has clarified that the purchaser or transferee is to request the COE Verification through an ammunition vendor, and aligns the COE Verification process with the Basic Ammunition Eligibility Check process, as implemented in section 4303(e), and the amended Standard Ammunition Eligibility Check process, as implemented in section 4302(d).

The Department further amended this section to make nonsubstantial changes to punctuation and grammar. For example, although the California Department of Motor Vehicles refers to a "driver license," the statutes that are implemented by this regulation refer to that document as a "driver's license." The Department has amended the regulation to follow the statutory language. This, and the other punctuation and grammatical changes are non-substantial changes because they clarify the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

The Department amended the authority section to include Penal Code section 30352. That section provides partial authority for the requirement in subdivision (c) for the COE Verification to require that the purchaser or transferee provide a telephone number.

The Department amended the reference section to include Penal Code sections 26710 and 28180. Section 26710 pertains to Certificates of Eligibility. Section 28180 pertains to the method of obtaining information as implemented by section 4305(c). The Department further amended the reference section to pluralize the word "Sections," because more than one section is referenced.

These are non-substantial changes because they clarify the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

#### **§ 4306. Ammunition Purchases or Transfers for Exempted Individuals.**

The Department has amended subdivision (a) to indicate that the types of identification documents that follow are deemed “proper” documents for the purpose of identifying persons who are exempt from Department approval to purchase or transfer ammunition, pursuant to Penal Code section 30352, subdivision (e). This is necessary to provide clarity as to the purpose of subdivisions (a)(1) through (a)(10), which implement the requirement in Penal Code section 30352, subdivision (e) that exempted individuals only qualify for the exemption “if properly identified.” Without the specification provided by subdivisions (a)(1) through (a)(10), ammunition vendors would lack clear guidance as to how to properly identify an exempted individual.

The Department has deleted subdivisions (a)(1) through (a)(5) as initially proposed. The Department determined, in response to public comments, that those subdivisions were unclear and so did not effectively specify the identification requirements necessary to implement Penal Code section 30352, subdivision (e)(1) through (8). In their place, the Department has added the following sufficiently-related specifications.

The Department has added subdivision (a)(1) to specify the type of identification document that will “properly” identify an ammunition vendor, which is a class of persons exempted by Penal Code section 30352, subdivision (e)(1), from certain requirements of the ammunition authorization program. The Department determined that a valid Ammunition Vendor License issued pursuant to Penal Code section 30385 is the best document to properly identify an ammunition vendor for the purpose of the exemption provided by Penal Code section 30352, subdivision (e). There is no other identification document that specifically identifies an ammunition vendor.

The Department has added subdivision (a)(2) to specify the type of identification document that will “properly” identify a person on the centralized list of exempted federal firearms licensees maintained by the Department, which is a class of persons exempted by Penal Code section 30352, subdivision (e)(2), from certain requirements of the ammunition purchasing program. The Department determined that a Department-issued Listing Acknowledgement Letter indicating the individual is currently on the centralized list of exempted federal firearms licensees is the best document to properly identify an ammunition vendor for the purpose of the exemption provided by Penal Code section 30352, subdivision (e). There is no other identification document that specifically identifies a person on the centralized list of exempted federal firearms licensees maintained by the Department.

The Department has added subdivision (a)(3) to specify the type of identification document that will “properly” identify a gunsmith, which is a class of persons exempted by Penal Code section 30352, subdivision (e)(4), from certain requirements of the ammunition authorization program.



The Department determined that a valid Type 01 FFL is the best document to properly identify a gunsmith for the purpose of the exemption provided by Penal Code section 30352, subdivision (e). A “gunsmith” is defined by Penal Code section 16630 as a person who is licensed as a dealer pursuant to Chapter 44 (commencing with Section 921) of Title 18 of the United States Code and the regulations issued pursuant thereto, who is engaged primarily in the business of repairing firearms, or making or fitting special barrels, stocks, or trigger mechanisms to firearms, or the agent or employee of that person. Pursuant to that United States Code and the regulations issued pursuant thereto, to provide the services of a gunsmith, a person must apply for and be granted a Type 01 FFL. There is no other identification document that identifies a gunsmith. However, a Type 01 FFL does not exclusively identify gunsmiths—a Type 01 FFL may also be granted to other types of persons licensed to deal in firearms. The Department determined that this ambiguity does not pose a problem because, pursuant to Penal Code section 30385, subdivision (d), most firearms dealers are also authorized ammunition vendors. Therefore, any person presenting a Type 01 FFL would be exempt pursuant to either Penal Code section 30352, subdivision (e)(1) or subdivision (e)(4). Because there is no other identification document that identifies a gunsmith, and because allowing a Type 01 FFL to identify a gunsmith would not frustrate the purpose of the ammunition authorization program, the Department determined that it is the best document to properly identify a gunsmith.

The Department has added subdivision (a)(4) to specify the type of identification document that will “properly” identify a wholesaler of firearms, which is a class of persons exempted by Penal Code section 30352, subdivision (e)(5), from certain requirements of the ammunition authorization program. The Department determined that a valid Type 01 Federal Firearms License is the best document to properly identify a wholesaler for the purpose of the exemption provided by Penal Code section 30352, subdivision (e). A “wholesaler” is defined by Penal Code section 17340 as a person who is licensed as a dealer pursuant to Chapter 44 (commencing with Section 921) of Title 18 of the United States Code and the regulations issued pursuant thereto, who sells, transfers, or assigns firearms, or parts of firearms, to persons who are licensed as manufacturers, importers, or gunsmiths pursuant to Chapter 44 (commencing with Section 921) of Title 18 of the United States Code, or persons licensed pursuant to Sections 26700 to 26915, inclusive, and includes persons who receive finished parts of firearms and assemble them into completed or partially completed firearms in furtherance of that purpose. Pursuant to that United States Code and the regulations issued pursuant thereto, to be licensed as a dealer, a person must apply for and be granted a Type 01 (FFL). There is no other identification document that identifies a wholesaler. However, a Type 01 FFL does not exclusively identify wholesaler—a Type 01 FFL may also be granted to other types of persons licensed to deal in firearms. The Department determined that this ambiguity does not pose a problem because, pursuant to Penal Code section 30385, subdivision (d), most non-wholesaler firearms dealers are also authorized ammunition vendors. Therefore, any person presenting a Type 01 FFL would be exempt pursuant to either Penal Code section 30352, subdivision (e)(1) or subdivision (e)(5). Because there is no other identification document that identifies a wholesaler of firearms, and because allowing a Type 01 FFL to identify a wholesaler would not frustrate the purpose of the ammunition authorization program, the Department determined that it is the best document to properly identify a wholesaler.

The Department has added subdivision (a)(5) to specify the type of identification document that will “properly” identify a manufacturer of firearms, which is a class of persons exempted by Penal Code section 30352, subdivision (e)(6), from certain requirements of the ammunition authorization program. The Department determined that a valid Type 07 FFL is the best document to properly identify a manufacturer of firearms for the purpose of the exemption provided by Penal Code section 30352, subdivision (e). The type of “manufacturer of firearms” that would qualify for the exemption provided by Penal Code section 30352, subdivision (e) and therefore would need to be “properly identified” as proposed by section 4306(a), is specified by Penal Code section 30352, subdivision (e)(6) as “a manufacturer [...] of firearms or ammunition licensed pursuant to Chapter 44 (commencing with Section 921) of Title 18 of the United States Code, and the regulations issued pursuant thereto.” Pursuant to that United States Code and the regulations issued pursuant thereto, to be licensed as a manufacturer of firearms, a person must apply for and be granted a Type 07 FFL. Since Penal Code section 30352(e)(6) specifies that the manufacturer is defined by its federal licensure, the Department has adopted the federal license as the appropriate identifying document.

The Department has added subdivision (a)(6) to specify the type of identification document that will “properly” identify an importer of firearms or ammunition, which is a class of persons exempted by Penal Code section 30352, subdivision (e)(6), from certain requirements of the ammunition authorization program. The Department determined that a valid Type 08 FFL is the best document to properly identify an importer of firearms or ammunition for the purpose of the exemption provided by Penal Code section 30352, subdivision (e). The type of “importer of firearms or ammunition” that would qualify for the exemption provided by Penal Code section 30352, subdivision (e) and therefore would need to be “properly identified” as proposed by section 4306(a), is specified by Penal Code section 30352, subdivision (e)(6) as an “[...] importer of firearms or ammunition licensed pursuant to Chapter 44 (commencing with Section 921) of Title 18 of the United States Code, and the regulations issued pursuant thereto.” Pursuant to that United States Code and the regulations issued pursuant thereto, to be licensed as an importer of firearms or ammunition, a person must apply for and be granted a Type 08 FFL. Since Penal Code section 30352(e)(6) specifies that the importer is defined by its federal licensure, the Department has adopted the federal license as the appropriate identifying document.

The Department has added subdivision (a)(7) to specify the type of identification document that will “properly” identify a manufacturer of ammunition, which is a class of persons exempted by Penal Code section 30352, subdivision (e)(6), from certain requirements of the ammunition authorization program. The Department determined that a valid Type 06 FFL is the best document to properly identify a manufacturer of ammunition for the purpose of the exemption provided by Penal Code section 30352, subdivision (e). The type of manufacturer of ammunition that would qualify for the exemption provided by Penal Code section 30352, subdivision (e) and therefore would need to be “properly identified” as proposed by section 4306(a), is specified by Penal Code section 30352, subdivision (e)(6) as a “manufacturer [...] of [...] ammunition licensed pursuant to Chapter 44 (commencing with Section 921) of Title 18 of the United States Code, and the regulations issued pursuant thereto.” Pursuant to that United States Code and the regulations issued pursuant thereto, to be licensed as an manufacturer of ammunition, a person must apply for and be granted a Type 06 FFL. Since Penal Code section

30352(e)(6) specifies that the manufacturer of ammunition is defined by its federal licensure, the Department has adopted the federal license as the appropriate identifying document.

The Department has added subdivision (a)(8) to specify the type of identification document that will “properly” identify an authorized law enforcement representative of a city, county, city and county, or state or federal government, which, as specified, is a class of persons exempted by Penal Code section 30352, subdivision (e)(7), from certain requirements of the ammunition authorization program. The Department determined that a written authorization from the head of the agency authorizing the ammunition purchase or transfer, as described by Penal Code section 30352, subdivision (e)(7), is the best document to properly identify an authorized law enforcement representative for the purpose of the exemption provided by Penal Code section 30352, subdivision (e). That section of Penal Code specifies the document that is to be used to provide “proper written authorization.” Since Penal Code section 30352(e)(7) specifies that the law enforcement representative is authorized by means of this written authorization, the Department has adopted the written authorization as the appropriate identifying document. The Department determined that no further interpretation is necessary to implement that statute. The requirement is being duplicated here to provide clarity to the regulations by presenting all documents that will “properly” identify all persons exempted from certain ammunition authorization program requirements by Penal Code section 30352, subdivision (e).

The Department has added subdivision (a)(9), including (a)(9)(A) and (B) to specify the type of identification documents that will “properly” identify a sworn peace officer, which, as specified, is a class of persons exempted by Penal Code section 30352, subdivision (e)(8), from certain requirements of the ammunition authorization program. The Department determined that the sworn officer’s credential, along with a written certification from the head of the agency authorizing the ammunition purchase or transfer, as described by Penal Code section 30352, subdivision (e)(8)(B)(i), are the best documents to properly identify a sworn peace officer for the purpose of the exemption provided by Penal Code section 30352, subdivision (e). The Department determined that a written certification from the head of the agency authorizing the ammunition purchase or transfer, as described by Penal Code section 30352, subdivision (e)(8)(B)(i), is one such document to properly identify an authorized law enforcement representative. That section of Penal Code specifies the document that is to be used to provide “proper written authorization.” Since Penal Code section 30352(e)(8) specifies that the sworn peace officer is authorized by means of this written certification, the Department has adopted the written certification as one of the appropriate identifying documents. Unlike section 4306(a)(8), which concerns a representative of a government who is purchasing or transferring ammunition for the exclusive use by the government agency, 4306(a)(9) concerns the use of ammunition by a particular individual – the sworn peace officer. As such, the Department determined that “proper” identification requires identifying the individual officer. A “sworn state or local peace officer’s credential” is defined in section 4301(q) as identification indicating an individual is a sworn state or local peace officer pursuant to Part 2, Chapter 4.5 of the Penal Code. Because such identification can take many forms, depending on the jurisdiction, the Department determined that this definition provides the most effective manner in carrying out the purpose for which the regulation is proposed. The officer’s credential, together with the written certification from the head of the agency, will “properly” identify a sworn peace officer, as defined, who are

exempted from certain ammunition authorization program requirements by Penal Code section 30352, subdivision (e)(8).

Additionally, the Department added to section 4306(a)(9)(B) a provision that had been provided in subdivision (b) of the text as originally noticed, that limits the time for which the written certification is valid. The Department determined that the certification should only be valid for 30 days after issuance, to ensure that the officer's head of agency is aware of and authorizes all ammunition purchases, and to ensure that the officer is still a full-time paid peace officer at the time of the purchase or transfer of ammunition.

The Department has added subdivision (a)(10), including (a)(10)(A) and (B), to specify the type of identification document that will "properly" identify a federal law enforcement officer, which, as specified, is a class of persons exempted by Penal Code section 30352, subdivision (e)(8), from certain requirements of the ammunition authorization program. The Department determined that the federal law enforcement officer's credential, along with a written certification from the head of the agency authorizing the ammunition purchase or transfer, as described by Penal Code section 30352, subdivision (e)(8)(B)(i), are the best documents to properly identify a federal law enforcement officer for the purpose of the exemption provided by Penal Code section 30352, subdivision (e). The Department determined that a written certification from the head of the agency authorizing the ammunition purchase or transfer, as described by Penal Code section 30352, subdivision (e)(8)(B)(i), is one such document to properly identify a federal law enforcement officer. That section of Penal Code specifies the document that is to be used to provide "proper written authorization." Since Penal Code section 30352(e)(8)(B)(i) specifies that the federal law enforcement officer is authorized by means of this written certification, the Department has adopted the written certification as one of the appropriate identifying documents. Unlike section 4306(a)(8), which concerns a representative of a government who is purchasing or transferring ammunition for the exclusive use by the government agency, 4306(a)(9) concerns the use of ammunition by a particular individual – the federal law enforcement officer. As such, the Department determined that "proper" identification requires identifying the individual officer. A "sworn federal law enforcement officer's credential" is defined in section 4301(p) as identification indicating an individual is a sworn federal law enforcement officer. Because such identification can take many forms, depending on the jurisdiction, the Department determined that this definition provides the most effective manner in carrying out the purpose for which the regulation is proposed. The officer's credential, together with the written certification from the head of the agency, will "properly" identify a sworn peace officer, as defined, who are exempted from certain ammunition authorization program requirements by Penal Code section 30352, subdivision (e)(8).

Additionally, the Department added a provision to section 4306(a)(10)(B) that had been provided in subdivision (b) of the text as originally noticed, that limits the time for which the written certification is valid. The Department determined that the certification should only be valid for a 30 days after issuance, to ensure that the officer's head of agency is aware of and authorizes all ammunition purchases, and to ensure that the officer is still a full-time paid peace officer at the time of the purchase or transfer of ammunition.



The Department added subdivision (b) to specify certain record keeping requirements for ammunition vendors. Penal Code section 30352, subdivision (e)(8)(B)(iii) requires the ammunition vendor to keep, with the record of sale, the verifiable written certification from the head of agency, and to submit that certification to the Department. The Department interprets the purpose of this requirement as allowing the Department to verify that the ammunition vendor has complied with Penal Code section 30352, subdivision (e)(8). However, the certification, by itself, would not verify compliance. The Department determined that it would also need to be able to inspect the related identifying documents, as specified in section 4306, subdivisions (a)(9) or (a)(10), and (c), to determine whether the person who purchased or received the transfer of ammunition was a credentialed officer, and was the person identified in the written certification.

The Department added subdivision (b)(1) to provide the ammunition vendor with an alternative method of recordkeeping that will allow the Department to verify compliance with Penal Code section 30352, subdivision (e)(8), in the event that the law enforcement agency does not allow photocopies to be made of the officer's credential. The Department is aware that certain statutes, regulations and policies of federal, state, or local law enforcement agencies prohibit the photocopying of official identification cards (e.g. Title 18, US Code Part I, Chapter 33, Section 701). In such a circumstance, the Department determined that the interest in being able to verify that the person who purchased or received the transfer of ammunition was the person identified in the written certification would best be accomplished by requiring the ammunition vendor to retain another document that would be commonly available to a sworn peace officer or sworn federal law enforcement officer. The Department determined that a business card meets this requirement, so long as the ammunition vendor also personally views the credential.

The Department added subdivision (c) to specify a step that must be conducted at the time of delivery. Subdivision (c) implements Penal Code section 30352, subdivision (c), which requires that an ammunition vendor shall require "bona fide evidence of identity" from the purchaser or transferee, to verify that the person who is receiving delivery of the ammunition is exempted from the requirement to provide authorization. The persons exempted from certain requirements of the ammunition authorization program by Penal Code section 30352, subdivision (e), which is implemented by this section, must still comply with the requirement of Penal Code section 30352, subdivision (c). The term "bona fide evidence of identity" is defined by Penal Code section 16300, a reference to which is provided here for ease of reference. The requirement to provide this evidence of identity is being duplicated here to provide clarity to the regulations by presenting, in this section, all of the requirements for completing a purchase or transfer that is exempt from Penal Code section 30352, subdivisions (a) and (d).

The Department has determined that the person who verifies the bona fide evidence of identity does not have to be the ammunition vendor COE holder, but may also be an authorized associate or salesperson. This mirrors language in section 4308(c), for consistency, as well as proposed changes to title 11, section 4210(a) in a separate rulemaking (see OAL File No. Z-2018-1127-05, currently under review at the California Office of Administrative Law). Currently, section 4210 refers to firearms dealers and "their employees." The Department is replacing the term "employee" with "authorized associate or salesperson." As noted in the Initial Statement of Reasons for that rulemaking, "This change is necessary, as a dealer may not have employees. A

dealer may only have independent contractors who perform DROS transactions on its behalf, and anyone who works for a dealer, in any capacity, and will be using the DES needs to have his or her own account for accurate tracking and accountability.” Conforming language has been used in this rulemaking, and for the same reasons.

The Department further amended this section to make nonsubstantial changes to punctuation and grammar. These are non-substantial changes because they clarify the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

#### **§ 4307. Telephonic Access for Ammunition Vendors.**

The Department amended subdivision (a) to add a number to what had been the prefatory text, as originally noticed. This change allows for subdivision (a) to be easily referenced. The remainder of the section has been renumbered accordingly, including the cross-reference to subdivision (b) in subdivision (c). These are non-substantial changes because they clarify the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

The Department further amended subdivision (a) to make nonsubstantial changes to punctuation and grammar. For example, the Department replaced the phrase “not being able to provide” with “inability to provide,” which is more clear. These are non-substantial changes because they clarify the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

The Department amended subdivision (c) to add the zip code to the address to which an ammunition vendor shall mail an “Ammunition Vendor (Non-Firearms Dealer) Application for Telephonic Approval,” form BOF 1020, as applicable. The zip code had been inadvertently omitted in the text originally made available to the public. This is a non-substantial change because it clarifies the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

The Department further amended subdivision (c) to make nonsubstantial changes to punctuation, and to refer to the cross-reference as a “subdivision” and not a “paragraph.” These are non-substantial changes because they clarify the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

#### **§4308. Delivery of Ammunition Following DES Submission.**

The Department amended subdivision (a) to specify that the DES transaction record will change for transactions conducted pursuant to sections 4302, 4303 or 4305. This amendment removes sections 4304, 4306 and 4307 from the sections affected by 4308(a). Section 4304(a) already

provides for when the purchaser or transferee may take possession of the ammunition under the stated condition. An ammunition transaction conducted pursuant to section 4306 does not require approval, and so will not have a DES transaction record that could change from “Pending” to “Approved.” Section 4307 describes a condition where DES, an electronic system accessed via an internet connection, is not accessible to an ammunition vendor, and therefore will not have a DES transaction record that could change from “Pending” to “Approved.”

The Department amended subdivision (c) to specify additional steps that must be conducted at the time of delivery. Subdivision (c)(1) implements Penal Code section 30352, subdivision (c), which requires that an ammunition vendor shall require bona fide evidence of identity from the purchaser or transferee, to verify that the person who is receiving delivery of the ammunition is authorized to do so. The term “bona fide evidence of identity” is defined by Penal Code section 16300, a reference to which is provided here for ease of reference.

Subdivision (c)(2) implements Penal Code section 30352, subdivision (a), which requires an ammunition vendor to record, at the time of delivery, certain specified information. That section of Penal Code provides that the information shall be recorded “on a form to be prescribed by the Department of Justice.” The DES website is the established portal through which ammunition vendors communicate purchasers’ or transferees’ personal information to the Department for the purpose of the ammunition eligibility checks and the COE verification process. It would be unduly burdensome for ammunition vendors, and unnecessarily expensive for the Department to develop and require use of a separate method of communicating purchasers’ or transferees’ personal information to the Department for the specific purpose of complying with Penal Code section 30352, subdivision (a). The Department has deleted the portion of the text as initially proposed that indicated that the purpose of the submission was “to record the time and date the ammunition is delivered.” The information required by Penal Code section 30352, subdivision (a) includes the date of the sale or transfer, but does not include the time of delivery. By amending the text to refer directly to the information required by Penal Code section 30352, subdivision (a), the regulation now directly implements that section. Both 4308(c)(1) and (c)(2) provide clarity to the public as to what information is required by statute upon delivery of ammunition. The statutory requirements are being duplicated here to provide clarity to the regulations by presenting, in this section, all of the requirements for completing a purchase or transfer conducted pursuant to sections 4302, 4303 or 4305.

The Department amended the authority section to include Penal Code section 30352. That section provides authority for the requirements in subdivision (c).

#### **§ 4309. Billing, Payment, and Suspension for Non-Payment.**

The Department amended subdivision (b) to remove a hyphen from between the number “30” and the word “day.” This change is solely grammatical in nature. This is a non-substantial change because it clarifies the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

The Department also amended subdivision (b) to remove a parenthetical clause that was intended to clarify the regulation by reiterating the day of the month, as provided in subdivision (a), but instead provided potential for confusion. This is a non-substantial change because it clarifies the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

The Department amended subdivision (c) to make clear that the parenthetical identifies persons who are included in the suspension of access to DES, as specified. This meaning was already indicated by the parenthetical, but adding the word “including” makes the meaning more straightforward. This is a non-substantial change because it clarifies the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

The Department amended subdivision (d) to make a grammatical change. The Department has replaced the definite article “the” with the possessive “their,” to clarify that the ammunition vendor possesses the “status.” This is a non-substantial change because it clarifies the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

The Department amended the reference section to remove an unnecessary comma. This is a non-substantial change because it clarifies the regulation without materially altering the requirements, rights, responsibilities, conditions, or prescriptions contained in the original text. (Cal. Code of Regs., tit. 1, § 40.)

All other information provided in the Initial Statement of Reasons (inclusive of the addendum) is accurate and current.

(Note: subsequent to submission of the rulemaking file to the Office of Administrative Law for review, the Department made changes to this Final Statement of Reasons, and non-substantial changes to the regulation text, such as changes to grammar and punctuation, as identified herein.)

#### DOCUMENTS INCORPORATED BY REFERENCE

Proposed section 4308 incorporates by reference form BOF 1020, “Ammunition Vendor (Non-Firearms Dealer) Application for Telephonic Approval (Orig. 05/2018).” It would be cumbersome, unduly expensive, or otherwise impractical to publish this entire form in the California Code of Regulations. As indicated in the Notice of Proposed Action, the document was available upon request directly from the agency, and was reasonably available to the affected public on the Department’s rulemaking website. No change has been made to this document subsequent to the notice.



## LOCAL MANDATE DETERMINATION

The Department determined that this regulatory action will not impose a mandate on local agencies or school districts, nor does it require reimbursement by the State pursuant to Part 7 (commencing with Section 17500) of Division 4 of the Government Code. The Department has also determined that no nondiscretionary costs or savings to local agencies or school districts will result from this regulatory action. The Department determined that costs associated with implementation of the requirement in Penal Code section 30352, subdivisions (e)(7) and (8) that authorized law enforcement representatives and local law enforcement officers must deliver a verifiable written certification from the head of the agency in order to qualify for the exemption, as provided, do not constitute nondiscretionary costs. It should be noted that authorized law enforcement representatives and local law enforcement officers are expressly exempt, pursuant to Penal Code section 30312, subdivisions (c)(1) and (2), from the requirement that a sale of ammunition shall be conducted by or processed through an ammunition vendor.

## SUMMARY AND RESPONSE TO COMMENTS

During the 45-day public comment period (December 14, 2018 through January 31, 2019), the Department received 219 different comments from 566 persons. In addition to receiving written comments, the Department held two public hearings to receive oral testimony on the proposed regulations. During the first hearing, held in Los Angeles on January 29, 2019, the Department heard testimony from four people. Eleven people gave testimony in the second hearing in Sacramento on January 31, 2019.

In order to properly manage the volume of public comment, the Department developed a system consisting of a Comment/Response spreadsheet and Comment Identification Key to assist with public comment organization. During the interpretive analysis of the public comments, a distinct number was assigned to the summaries of each comment, recommendation and objection (aggregated like-comment summaries were assigned the same number), and entered into the Comment/Response spreadsheet. Attachment A (96 pages) is a summary of all comments (written and oral) submitted during the 45-day comment period and the Department's responses. Attachment B is an alphabetical list (24 pages) of the commenters and identifies (by number) the comment(s) made by each person.

The Department noticed the public on April 18, 2019 of modifications to the text of the proposed regulations; an addendum to the Initial Statement of Reasons; and revisions to the Economic and Fiscal Impact Statement. The notice inadvertently provided an email address that was unable to accept incoming mail until April 22, 2019. Upon discovering this error, the Department sent a revised notice on April 23, 2019 that included two functional email addresses, and extended the comment period to May 8, 2019.

During the 15-Day comment period, the Department received 32 different comments from 139 persons. Attachment C (24 pages) is a summary of all comments submitted during the 15-day comment period and the Department's responses. Attachment D is an alphabetical list (6 pages) of the commenters and identifies (by number) the comment(s) made by each person.

Per the Administrative Procedures Act, for the purpose of these regulations, a comment is “irrelevant” if it is not specifically directed at the agency’s proposed action or to the procedures followed by the agency in proposing or adopting the action.

#### NONDUPLICATION STATEMENT

The proposed regulations partially duplicate or overlap a state statute or regulation which is cited as “authority” and “reference” for the proposed regulations. The duplication or overlap is necessary to satisfy the “clarity” standard of Government Code section 11349.1(a)(3).

#### ALTERNATIVES DETERMINATION

The Department determined that no alternative it considered or that was otherwise identified and brought to its attention would be more effective in carrying out the purpose for which the regulation is proposed, would be as effective as and less burdensome to affected private persons than the adopted regulation, or would be more cost effective to affected private persons and equally effective in implementing the statutory policy or other provision of law. The Department’s reasons for rejecting any proposed alternatives are set forth in the responses to comments.

#### ALTERNATIVES THAT WOULD LESSEN ADVERSE ECONOMIC IMPACT ON SMALL BUSINESSES

The Department determined that no proposed alternative would be more cost effective to affected small businesses and equally effective in implementing the statutory policy or other provision of law. The Department’s reasons for rejecting any proposed alternatives are set forth in the responses to comments.

# EXHIBIT 3

**XAVIER BECERRA**  
**Attorney General**

**State of California**  
**DEPARTMENT OF JUSTICE**



Bureau of Firearms  
P.O. Box 160487  
Telephone: (916) 227-2698  
Fax: (916) 227-1032  
E-Mail Address: CL-AVL@doj.ca.gov

June 7, 2019

California Ammunition Vendor Licensees

**Re: Ammunition Purchase Authorization Program**

Dear California Ammunition Vendor Licensees:

The purpose of this letter is to advise Ammunition Vendor Licensees that pursuant to Proposition 63, "The Safety for All Act of 2016" (as amended by Senate Bill 1235, Stats. 2016, ch. 55), effective July 1, 2019, Ammunition Vendor Licensees are prohibited from providing a purchaser or transferee ammunition without approval from the Department of Justice (the Department), except as otherwise specified.

As a result of the above mentioned Proposition and Bill, the Department has made enhancements to the Dealer Record of Sale (DROS) Entry System (DES) and is in the process of finalizing regulations that will enable Ammunition Vendor Licensees to submit requests for ammunition eligibility checks to the Department, and subsequently receive eligibility determinations through the system. Furthermore, the DES will enable Ammunition Vendor Licensees to record information, relative to the sale or transfer of ammunition, at the time of delivery.

***Equipment***

Ammunition Vendor Licensees are encouraged to obtain the necessary equipment to comply with the new Ammunition Authorization Program prior to July 1, 2019. The following equipment is necessary:

- Internet Service Provider
- Computer, laptop, or iPad (etc.) with internet capabilities
- Adobe Acrobat Reader
- A printer
- A magnetic stripe card reader that meets California Department of Motor Vehicle specifications (based on AAMVA standards – card design 2009) which reads 3-tracks of magnetic stripe data, and 2D barcode data.

A magnetic stripe card reader can be purchased from your local electronics retailer or internet electronics retailer. The DES web application is designed to work with most magnetic stripe card readers that meet California Department of Motor Vehicles specifications as noted above.



California Ammunition Vendor Licensees  
June 7, 2019  
Page 2

### ***DES Enrollment***

Access to DES will require enrollment and account set-up. The Department is giving Ammunition Vendor Licensees, and their employees, the opportunity to enroll in DES and set-up their accounts by accessing DES at <https://DES.doj.ca.gov> effective today. It is recommended that Ammunition Vendor Licensees bookmark the DES link at the time of enrollment, as that will facilitate easy access on July 1, 2019.

For your convenience, the Department has included (with this notice) a quick reference guide that covers the following: how to create a DES account, how to approve employee accounts, and how to assign employee permissions.

Please note: Firearm Dealers that were automatically deemed Ammunition Vendor Licensees, and their employees, will *not* have to enroll in DES again – their current accounts will continue to work. Firearm Dealers now have the ability to assign the new ammunition transaction permissions to their employees.

***Full Access to DES will be made available to Ammunition Vendor Licensees at 7:00 am on July 1, 2019***

Effective July 1, 2019, full access to DES will be available to Ammunition Vendor Licensees who have enrolled in DES. At that time, Ammunition Vendor Licensees and their employees (with the appropriate permissions) will have the ability to submit Ammunition Eligibility Check transactions and record ammunition sales.

The following ammunition transaction capabilities will be made available:

- Submit Eligibility Check
- Search Eligibility Check
- Review Eligibility Notices
- Submit Ammunition Purchase(s)
- Search Frequently Sold Ammunition List
- Add Frequently Sold Ammunition
- Pay Invoices
- View Paid Invoices

Firearm Dealers will see the new ammunition transaction functionalities noted above, and will also have the following new functionalities:

- Add an ammunition sale at the time a firearm is being delivered
- DROS transactions (ammunition and firearms) will now be uploaded to a cart prior to being submitted to the Department.

California Ammunition Vendor Licensees  
June 7, 2019  
Page 3

***DES Firearm Dealer/Ammunition Vendor Licensee User Guides***

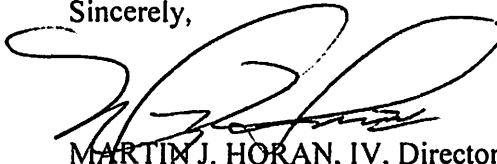
The Department will release an updated DES Firearm Dealer User Guide (which will include all new functionalities) and an Ammunition Vendor Licensee User Guide at a later date.

***Customer Support Center***

The Customer Support Center is available to provide assistance 7 days a week, from 8:00 am to 9:00 pm. On July 1, 2019, the Customer Support Center will be available from 7:00 am to 9:00 pm. If you have any questions regarding the DES web application, please contact the DES Customer Support Center at 1-855-DOJ-DROS (1-855-365-3767).

Should you have any questions regarding this letter, please contact the Bureau of Firearms at the number listed above.

Sincerely,



MARTIN J. HORAN, IV, Director  
Bureau of Firearms

For XAVIER BECERRA  
Attorney General



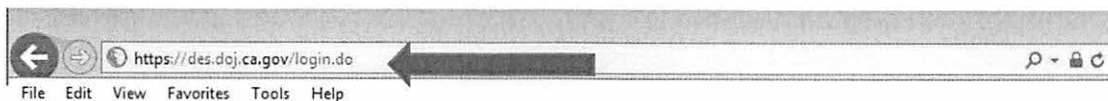
# Firearm Dealers DES Quick Reference Guide Adding Permissions

## New DES Account Permissions

Firearm dealers will now have additional permissions added to their DES account to process ammunition transactions. Employees of the license holder may need to have their permissions updated to process ammunition transactions.

### STEP 1

Go to your internet browser and access the DROS Entry System (DES) by typing the following URL into your URL address bar: <https://des.doj.ca.gov>.



### STEP 2

Enter your User Name and Password.

### DROS Entry System Log On

**Not yet a DES user?**  
If you are not a DES user [request a DES account](#).

**Current DES users** [\[View User Name and Password information\]](#)

**\*User Name**

[Forgot User Name?](#)

[Forgot User Name and Password?](#)

**\*Password**

[Forgot Password?](#)

Please click buttons only once. Multiple clicks will delay processing.

### STEP 3

Click the [Manage Employees](#) link under the ADMINISTRATOR section.

**MY ACCOUNT**

- Edit My Profile
- Change My Password
- My Issue Log

**ADMINISTRATOR**

- New Account Requests
- Manage Employees
- Manage Dealerships
- View Paid Invoices
- Pay Invoices

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## Firearm Dealers DES Quick Reference Guide Adding Permissions

### STEP 4

Select the appropriate employee by clicking on the user's Last Name.

### Employees

Dealership Display Option ▼

Last Name	First Name
<span style="border: 1px solid black; padding: 2px;">B...</span>	<span style="border: 1px solid black; padding: 2px;">J...</span>
<span style="border: 1px solid black; padding: 2px;">B...</span>	<span style="border: 1px solid black; padding: 2px;">R...</span>

### STEP 5

Select the appropriate permissions for the user. Once you've selected the appropriate permissions for your employee, click the **Accept** button.

**Permissions for this user**

(At least one Permission must remain selected)

☐ Select All Permissions

☒ Pay Invoices [Allows user to view and pay invoices]

☐ Manage Inventory [Allows user to manage ammo inventory]

☒ Manage Employees [Allows user to add or remove employees]

☒ Enter Gun Transactions [Allows user to enter DROS and acquisition transactions]

☐ Enter Ammo Transactions [Allows user to enter ammo transactions]

☒ Correct or Cancel DROS [Allows user to correct or cancel DROS transactions]

Remove User ☐

---

**Add Dealership(s) for this user**

(List of active dealerships associated to your COE that are not assigned to this user)

### New Account Permissions include:

- Manage Inventory [Allows the user to add, remove, or edit the list of frequently sold ammunition.]
- Enter Ammo Transaction (COE REQUIRED). [Allows the user to submit ammunition eligibility checks and deliver ammunition.]

**PLEASE NOTE:** The ability to Manage Inventory and Enter Ammo Transactions will not be available until July 1, 2019.

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# Ammunition Vendor Licensee DES Quick Reference Guide Account Set-up

## REQUESTING A DES ACCOUNT

To get started you will need:

### Information

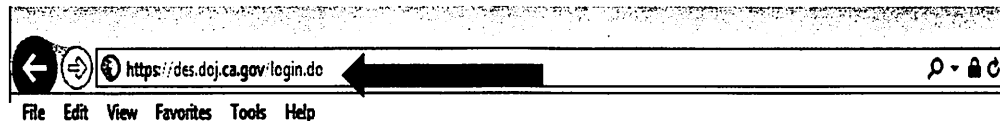
- California Ammunition Vendor (CAV) license number
- DOJ Certificate of Eligibility (COE) number of the license holder/responsible party
- (Optional) Personal DOJ COE number to submit ammunition eligibility checks and deliver ammunition
- Personal driver's license or identification number

### Equipment

- Internet Service Provider
- Computer, laptop, or iPad (etc.) with internet capabilities
- Adobe Acrobat Reader
- A printer
- A magnetic stripe card reader that meets California Department of Motor Vehicle specifications (based on AAMVA standards – card design 2009), which reads 3 tracks of magnetic stripe data, and 2D barcode data.

## STEP 1

Go to your internet browser and access the DROS Entry System (DES) by typing the following URL into your URL address bar: <https://des.doj.ca.gov>.



## STEP 2

Click the "request a DES account" link.

### DROS Entry System Log On

**Not yet a DES user?**  
If you are not a DES user request a DES account.

**Current DES users**    [View User Name and Password information](#)

*User Name	*Password
<a href="#">Forgot User Name?</a>	<a href="#">Forgot Password?</a>
<a href="#">Forgot User Name and Password?</a>	

Please click buttons only once. Multiple clicks will delay processing



## Ammunition Vendor Licensee DES Quick Reference Guide Account Set-up

### STEP 3

Click the **Continue** button.

#### DROS Entry System Account Request/Enrollment Guidelines

You will need a combination of the following information to complete account request/enrollment:

- ▶ California Firearms Dealer (CFD) Dealer ID
- ▶ California Ammunition Vendor (CAV) number
- ▶ Dealership Certificate of Eligibility (COE) number
- ▶ Federal Firearms License (FFL) number
- ▶ A unique personal identification number (for example, your driver's license number)

If you have all the required information and are ready to enroll, please press the "Continue" button to proceed, otherwise press the "Cancel" button.



Continue

Cancel

### STEP 4

If you agree to the Terms of Use agreement,<sup>1</sup> click the **I Agree** button.

#### DROS Entry System Terms of Use Agreement

You may want to print and file this agreement page for your records.

Please read the Agreement below. The Terms of Use are subject to change by the Department of Justice (the Department) upon prior notice to you. If you agree, click the "I Agree" button to proceed to the Account Request form. If you do not agree to the terms and conditions, you will be denied access to the Dealers' Record of Sale (DROS) Entry System.

- ▶ **Non-Liability:** The Department of Justice (Department) is not responsible for and will not have liability for hardware, software, information, or other items or any services provided by any persons other than the Department. In no event shall either party be liable to the other or any third party, under any theory of liability, including, but not limited to, any contract or tort claim for any cause whatsoever, for any indirect, incidental, special or consequential damages, including loss of revenue or profits, even if aware of the possibility thereof.
- ▶ **Authorization:** I am a licensed firearms dealer Certificate of Eligibility (COE) Holder, authorized associate, authorized account associate, or salesperson of the firearms dealer, or an ammunition vendor, authorized ammunition vendor associate, authorized ammunition vendor account associate, or ammunition vendor salesperson, and am authorized to use DES on behalf of the firearms dealer or ammunition vendor.
- ▶ **Access:** The acquisition and maintenance of the device and software used to access the internet and interface with DES shall be the responsibility of each firearms dealer or ammunition vendor.

Each authorized associate, authorized account associate, or salesperson shall request and use his/her own DES account after the Dealer COE Holder or ammunition vendor has granted authorization. The DES enables the Dealer COE Holder or ammunition vendor to authorize the functions each user is able to access.

- ▶ **Confidentiality and Unauthorized Use:** It is the responsibility of the user and the firearms dealer or ammunition vendor to protect the confidentiality of the individual password selected by each user to access DES.

If a Dealer COE Holder, authorized associate, authorized account associate, or salesperson, or ammunition vendor, authorized ammunition vendor associate, authorized ammunition vendor account associate, or ammunition vendor salesperson becomes aware that an unauthorized user has obtained access to DES, they must notify the Customer Support Center immediately. Contact information is available upon logging into the DES account. Notwithstanding such notification, the Department shall not be liable for transaction charges fraudulently incurred on a DES account. It is the dealers or ammunition vendors responsibility to pay these transaction charges.

- ▶ **Transactions Involving Multiple Firearms (Firearms Dealers Only):** A transaction means a single sale, transfer, or loan of any number of firearms to one person at the same time. It is the responsibility of the user to indicate that a transaction consists of more than one firearm while entering Dealer Record of Sale (DROS) information for submission to the Department. If the user does not indicate the transaction consists of more than one firearm prior to submission, another DROS fee will be required for the additional firearms.

Upon submission of a DROS, the fee will be charged to the dealer's account. The Department will not provide refunds after submission and acceptance of a DROS.

- ▶ **True and Accurate Information:** All of the information I submit to the Department through DES shall be true, accurate, and complete to the best of my knowledge.



Please click buttons only once. Multiple clicks will delay processing.

I Agree

I Do Not Agree

<sup>1</sup> The effective date of this agreement is July 1, 2019.



## Ammunition Vendor Licensee DES Quick Reference Guide Account Set-up

### STEP 5

Answer the following questions:

- a. Are you the Dealership COE holder?

*If you are the business owner/responsible party on the CAV License, select YES. If you are an employee, select NO.*

- b. Enter the Dealership COE Number. Enter the COE number of the business owner/responsible party.

*If you are the business owner/responsible party on the CAV License, enter your Dealership COE number. If you are an employee, enter the Dealership COE number of the business owner/responsible party on the CAV License. You may need to get this information from the business owner/responsible party.*

- c. Enter the CAV License Number.

*If you are the business owner/responsible party on the CAV license, enter the number on your CAV license. If you are an employee, enter the number on the CAV license of the business owner/responsible party. You may need to get this information from the business owner/responsible party.*

- d. Complete the reCAPTCHA and click **Submit** button.

**User Account Request. Part 1**

**Step 1: Submit Dealer Information for Verification**

*Are you a dealership COE Holder? <input type="text" value="YES"/>	*Dealership COE Number <input type="text"/>	*CFD/CAV Number <input type="text"/>
---	--	---

☒ If you have an Employee COE or other COE type, select No.

I'm not a robot



## Ammunition Vendor Licensee DES Quick Reference Guide Account Set-up

### STEP 6

- a. (Optional) Enter Employee COE Number. If the employee does not have a COE, leave the field blank. Employees are still able to create a DES account with limited permissions.
- b. Enter your Personal ID Number. This will be the number on your driver's license or identification card.
- c. Complete the reCAPTCHA and click **Submit** button.

### STEP 7

- a. Enter your Last Name and First Name.
- b. (Optional) Enter and confirm your Business Email Address.
- c. Select and answer three (3) identity verification questions. These will be used to confirm your identity to recover or reset a password.
- d. Enter and re-enter a password for your DES account. Click the [Password Format](#) link for more details on password requirements. (Please make note of your password and store it in a safe place.)
- e. Click the **Submit Request** button.
- f. Confirm your entries. Click **Confirmed, Submit** button





## Ammunition Vendor Licensee DES Quick Reference Guide Account Set-up

### STEP 8

Make note of the provided user name. Employee accounts will need to be confirmed by another user prior to logging onto DES.

**DES Account Request - Submission Confirmation**

Congratulations, your account has been created.  
 Your user name is **TEEMPLOY2** Please make a note of this.  
 Your account must be set up by your store manager before you can use DES

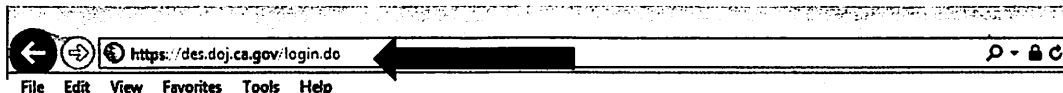
[Go to Log On](#)

### APPROVING ACCOUNT REQUESTS – BUSINESS OWNER/RESPONSIBLE PARTY

Business Owner/Responsible Parties must approve employee accounts before an employee can gain access to the DES. (Please note: this responsibility can be delegated after the business owner/responsible party creates his/her initial account.)

### STEP 1

Go to your internet browser and access the DROS Entry System (DES) by typing the following URL into your URL address bar: <https://des.doj.ca.gov>.



### STEP 2

Enter your User Name and Password.

**DROS Entry System Log On**

Not yet a DES user?  
If you are not a DES user [request a DES account](#).

Current DES users     [\(View User Name and Password Information\)](#)

<p><b>*User Name</b></p> <input style="width: 100%;" type="text"/> <p><a href="#">Forgot User Name?</a></p> <p><a href="#">Forgot User Name and Password?</a></p>	<p><b>*Password</b></p> <input style="width: 100%;" type="password"/> <p><a href="#">Forgot Password?</a></p>
---	---

Please click buttons only once. Multiple clicks will delay processing.



## Ammunition Vendor Licensee DES Quick Reference Guide Account Set-up

### STEP 3

If you have pending account requests to review, you will see the following message:

1. You have pending account requests.

To review an account request, click the New Account Requests link under the ADMINISTRATOR section.

MY ACCOUNT

Edit My Profile

Change My Password

My Issue Log

ADMINISTRATOR

New Account Requests

Manage Employees

Manage Dealerships

View Paid Invoices

Pay Invoices

Menu located on the left-hand-side of the page.

### STEP 4

Select the appropriate request by clicking on the user's Last Name.

Pending Account Requests		
Last Name	First Name	Date Submitted
EMPLOYEE	TEST	05/07/2019 11:24 AM

Displaying records 1 to 1 of 1 total records.

Please click buttons only once. Multiple clicks will delay processing.

### STEP 5

Select the appropriate permissions for the user. Once you've selected the appropriate permissions for your employee, click the **Accept** button. After you accept, your employee will be able to log on to DES.

**Permissions for this user**

☒ You must select at least one Permission if approving this request

☐ Select All Permissions

☒ Pay Invoices [Allows user to view and pay invoices]

☒ Manage Inventory [Allows user to manage ammo inventory]

☒ Manage Employees [Allows user to add or remove employees]

☒ Enter Ammo Transactions [Allows user to enter ammo transactions]

Please click buttons only once. Multiple clicks will delay processing.



## **Ammunition Vendor Licensee DES Quick Reference Guide Account Set-up**

### **AMMUNITION VENDOR DES USER PERMISSIONS:**

- Pay Invoice [Allows the user to view and pay invoices.]
- Manage Inventory [Allows the user to add, remove, or edit the list of frequently sold ammunition.]
- Manage Employees [Allows the user to add, remove, or edit an employee's DES account permissions.]
- Enter Ammo Transaction (COE REQUIRED). [Allows the user to submit ammunition eligibility checks and deliver ammunition.]

**PLEASE NOTE:** The ability to Manage Inventory and Enter Ammo Transactions will not be available until July 1, 2019.

# EXHIBIT 4



**IMPORTANT NOTICE**

**CALIFORNIA DEPARTMENT OF JUSTICE NOTIFICATION REGARDING  
REGULATIONS FOR AMMUNITION PURCHASES OR TRANSFERS AND AUTOMATED  
FIREARMS SYSTEM INFORMATION UPDATES**

Effective July 1, 2019, persons seeking to purchase or transfer ammunition will have to undergo an eligibility check, and be approved by the Department, prior to the sale or transfer, except as otherwise specified. Departmental approval shall occur electronically through a licensed ammunition vendor. (Beginning with Cal. Code Reg., tit. 11, § 4300)

Effective July 1, 2019, persons with an outdated Automated Firearms System record will have the ability to correct or update personal information (name, date of birth, Identification number/type, and current address) on their Automated Firearm System record via the California Firearms Application Reporting System (also known as CFARS). (Cal. Code Reg., tit. 11, § 4350-4353)

The newly adopted text of these regulations can be found at <https://oag.ca.gov/firearms/regs>

Should you have any questions please contact the Bureau of Firearms, Customer Support Center at (855) 365-3767 or via e-mail at [bofdes@doj.ca.gov](mailto:bofdes@doj.ca.gov).

# EXHIBIT 5

## IMPORTANT NOTICE

**Regarding Availability of Instructional User Guides Related to Upcoming Ammunition  
Sale Requirements**

The purpose of this bulletin is to notify firearm dealers and ammunition vendors of the availability of instructional user guides that have been created or updated to reflect enhancements to the Dealer Record of Sale (DROS) Entry System (DES) that allow for the submission of eligibility checks and ammunition purchases. These user guides will be available to access through the Bureau of Firearms website at <https://oag.ca.gov/firearms/forms> listed under “Publications” and subsequently through the DES application.

**Firearm Dealers:** The DES User Guide was updated to include instructions for ammunition eligibility checks and sales.

**Ammunition Vendors:** The Ammunition User Guide provides instructions on using DES including submitting ammunition transactions.

The Quick Reference Guide is an instructional document on how to submit an ammunition eligibility check and ammunition purchase and can be found attached to this bulletin.

In preparation for the upcoming changing requirements for the sale of ammunition through DES, it is recommended that all employees of firearm dealers and ammunition vendors review these instructional guides thoroughly.

**The ammunition functionality will be available within DES at 7:00 am on Monday July 1, 2019, and the Customer Support Center will be available at this time for any assistance with the system.**

**Effective July 2, 2019, the DES hours of operation will be 4:00 am to 1:00 am and the Customer Support Center hours will be Monday through Sunday 8:00 am to 9:00 pm unless otherwise notified.**

Furthermore, new content has been added to the Bureau of Firearms website under the Ammunition Purchase Authorization Program at [oag.ca.gov/firearms/apap](https://oag.ca.gov/firearms/apap). You will find information about the requirements used to determine whether an individual is eligible to purchase ammunition in addition to establishing and updating a record in the Automated Firearms System.

Should you have any questions, please contact the Bureau of Firearms, Customer Support Center at (855) 365-3767 or via e-mail at [bofdes@doj.ca.gov](mailto:bofdes@doj.ca.gov)mailto:.



# DROS Entry System

## Submit Ammunition Transaction

### Quick Reference Guide

#### SUBMITTING AN ELIGIBILITY CHECK

To get started you will need:

##### Information

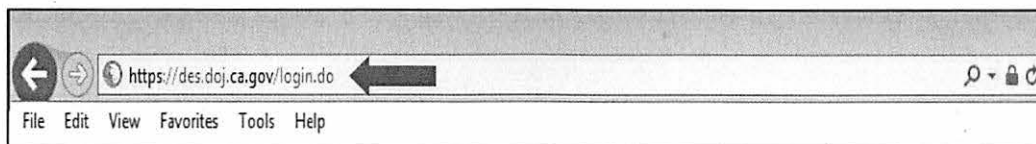
- Purchasers California Driver License or California Identification Card

##### Equipment

- Internet Service Provider
- Computer or laptop with internet capabilities
- Printer
- Adobe Acrobat Reader (software)
- Magnetic card swipe reader that meets California Department of Motor Vehicle specifications (based on AAMVA standards-card design 2009) which read 3-tracks of magnetic stripe data, and 2D barcode data.

#### STEP 1

Go to your internet browser and access the DROS Entry System (DES) by typing the following URL into your URL address bar: <https://des.doj.ca.gov>.



#### STEP 2

Enter your User Name and Password.

### DROS Entry System Log On

---

**Not yet a DES user?**  
If you are not a DES user [request a DES account](#).

---

**Current DES users**      [\[View User Name and Password information\]](#)

---

**\*User Name**

[Forgot User Name?](#)

**\*Password**

[Forgot Password?](#)

[Forgot User Name and Password?](#)

Please click buttons only once. Multiple clicks will delay processing.

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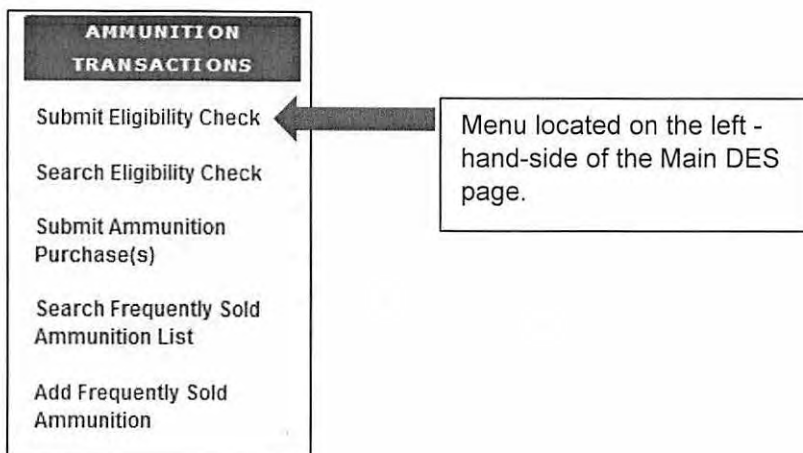
# DROS Entry System

## Submit Ammunition Transaction

### Quick Reference Guide

#### STEP 3

Select **Submit Eligibility Check** from the Ammunition Transaction section.



#### STEP 4

Select the appropriate Ammunition Eligibility Check for the purchaser.

- Standard Ammunition Eligibility Check (SAEC) **Fee: \$1.00**
- Basic Ammunition Eligibility Check (BAEC) **Fee: \$19.00**
- Certificate of Eligibility (COE) Verification **Fee: \$1.00**

### Select Eligibility Check

#### Purchaser Eligibility Check

- Standard Ammunition Eligibility Check
- Basic Ammunition Eligibility Check
- Certificate of Eligibility Verification



# DROS Entry System

## Submit Ammunition Transaction

### Quick Reference Guide

#### STEP 5

Swipe the CA driver license or identification card through the magnetic card swipe reader. You must click on the **Populate Fields** button in order for the personal information to be entered into the personal information fields.

Person Information
⊟

Swipe CA Driver's License or ID Card

Populate Fields

### Standard Ammunition Eligibility Check

Person Information
⊟

Swipe CA Driver's License or ID Card

Populate Fields

\*First Name

Middle Name

\*Last Name

Suffix  
Select

\*Street Address

\*Zip Code

\*City

State  
CA

Gender

Hair Color

Eye Color

Height (feet/inches)  
ft in

Weight

\*Date of Birth  
(mm/dd/yyyy)

\*ID Type

\*ID Number

\*Race

\*U.S. Citizen

\*Place of Birth

\*Telephone Number  
(0000000000)

Alias First Name

Alias Middle Name

Alias Last Name

Alias Suffix

Please click buttons only once. Multiple clicks will delay processing

Back

Preview

Clear

Confirm the information populated matches the driver license or identification card and that all required fields have been entered and then click **Preview**.

**PLEASE NOTE:** When processing an Eligibility Check for a COE holder the COE number must be entered.

### COE Check

Person Information
⊟

Swipe CA Driver's License or ID Card

Populate Fields

\*COE Number

## ER 933



# DROS Entry System

## Submit Ammunition Transaction

### Quick Reference Guide

#### SEARCH AMMUNITION ELIGIBILITY CHECK

#### STEP 1

Once you have submitted an Ammunition Eligibility Check to the Department, you will need to wait for an approved status before the purchaser can purchase ammunition. From the DES Main Page select **Search Eligibility Check** from the Ammunition Transaction section.

**AMMUNITION  
TRANSACTIONS**

Submit Eligibility Check

**Search Eligibility Check** ←

Submit Ammunition Purchase(s)

Search Frequently Sold Ammunition List

Add Frequently Sold Ammunition

Menu located on the left - hand-side of the Main DES page.

#### STEP 2

The "Ammunition Eligibility Check Results" page will populate. From this page you can search by the purchaser's last name, first name, DROS number, ID number or by decision. Enter the information that you want to search by and then click **Search**. The results will populate in the "Search Results" section.

#### Ammunition Eligibility Check Results

Last Name

First Name

DROS Number

ID Number

Decision

Please click buttons only once.

Search Results

DROS Number	Name of Purchaser (First Middle Last)	ID Number	Decision	Type	Expiration Date
<input type="text"/>	TEST PURCHASER	1111111	DENY/REJECT	Standard Ammunition Eligibility Check	

Displaying records 1 to 1 of 1 total records.

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## DROS Entry System Submit Ammunition Transaction Quick Reference Guide

### STEP 3

Click on the DROS number of the Ammunition Eligibility Check to display the DROS. The DROS will display with its status indicating whether or not the purchaser is eligible to purchase or possess ammunition.

The Ammunition Eligibility Check status' are:

- **APPROVED** – The Department has determined the individual is eligible to purchase or possess ammunition.
- **DENY/REJECT** – The Department has determined the individual is not eligible to purchase or possess ammunition. The person cannot continue with an ammunition purchase.
- **IN PROGRESS** – Ammunition eligibility check is currently being processed by the Department.
- **USED** – Individual has purchased and received ammunition in association with the eligibility check.
- **EXPIRED** – The eligibility check was approved, but can no longer be used to complete a purchase of ammunition.

If the eligibility check has an APPROVED status, the "Purchase Ammunition" link will be available at the top of the screen. Clicking the "Purchase Ammunition" link will take you to the "Select Ammunition Purchase Type" page to submit ammunition purchase(s).

What would you like to do next? • Print this DROS (you will remain on this page and still be able to select from the options below) • Back to Search Result List • Purchase Ammunition <span style="font-size: 1.2em;">➔</span> • Go to the Main Menu			
		State of California Department of Justice Bureau of Firearms	
<b>DROS NUMBER:</b> 123456789 <b>TRANSACTION DATE/TIME:</b> 8/28/2019 11:18:31 AM		<b>COE Check</b>	
		<b>STATUS: APPROVED</b> EXPIRY DATE/TIME: 8/28/2019 04:10:31 DECISION DATE/TIME: 8/28/2019 11:18:31	
<b>PERSON INFORMATION</b>			
<b>DOB:</b> 12/15/1980	<b>FIRST NAME:</b> JAMES	<b>MIDDLE NAME:</b> ROBERT	<b>LAST NAME:</b> GORDON
<b>ALIAS FIRST NAME:</b>	<b>ALIAS MIDDLE NAME:</b>	<b>ALIAS LAST NAME:</b>	<b>ALIAS BIRTH DATE:</b>
<b>STREET ADDRESS:</b> 12345 Main St	<b>CITY:</b> OAKLAND	<b>STATE:</b> CA	<b>ZIP:</b> 94612
<b>STREET ADDRESS:</b>	<b>CITY:</b>	<b>STATE:</b>	<b>ZIP:</b>
<b>DATE OF BIRTH:</b> 12/15/1980	<b>PLACE OF BIRTH:</b> ALABAMA	<b>RACE:</b> WHITE	<b>HAIR COLOR:</b> BROWN
<b>DATE OF BIRTH:</b>	<b>PLACE OF BIRTH:</b>	<b>RACE:</b>	<b>HAIR COLOR:</b>
<b>TRANSACTION INFORMATION</b>			
<b>TRANSACTION TYPE:</b> COE CHECK I have read the list of prohibited offenses, and nothing would produce me from possessing a firearm. By signing this document, I hereby certify under penalty of perjury that the information provided is true and correct.			
<b>DEALER:</b> SAMPLE <b>ADDRESS:</b> 12345 Main St, OAKLAND, CA 94612 <b>PHONE:</b> (510) 123-4567		<b>Purchaser's Signature:</b> _____ <b>Salesperson's Signature:</b> _____ <b>DEALER/SALES TELEPHONE:</b> (510) 123-4567	

If the eligibility check has a Deny/Reject status, provide the individual with the DROS number and advise them to go to the Department's CFARS for information on their denial/rejection.

### SUBMIT AMMUNITION PURCHASE(S)

All ammunition eligibility checks require an APPROVED status to submit an ammunition purchase. There is no limit on the amount of ammunition that can be purchased during a transaction, using an APPROVED eligibility check. The eligibility check status will change to USED once the final delivery of ammunition is submitted.

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# DROS Entry System

## Submit Ammunition Transaction

### Quick Reference Guide

#### STEP 1

Select **Submit Ammunition Purchase(s)** from the DES Main Page.

**AMMUNITION  
TRANSACTIONS**

Submit Eligibility Check

Search Eligibility Check

**Submit Ammunition  
Purchase(s)**

Search Frequently Sold  
Ammunition List

Add Frequently Sold  
Ammunition

Menu located on the left -  
hand-side of the Main DES  
page.

#### STEP 2

The "Select Ammunition Purchase Type" page will display. Select the appropriate transaction type.

- a. **Ammunition Sale** – The purchase of ammunition from a licensed California Ammunition Vendor.
- b. **Private Party Ammunition Transfer** – Ammunition transferred from one non-vendor to another non-vendor.

Select Ammunition Purchase Type

---

Ammunition Purchase

Ammunition Sale

Private Party Ammunition Transfer

Pending Purchase(s)

You have no pending purchases.

Please click buttons only once. Multiple clicks will delay processing.

[Main Menu](#)



## DROS Entry System Submit Ammunition Transaction Quick Reference Guide

### STEP 3

After clicking "Ammunition Sale", you must verify the purchaser information by entering the fifteen digit Eligibility Check DROS number in the "Enter Eligibility Check DROS #" field. Click **Verify** and the purchaser's information will populate based on the information entered while submitting the Eligibility Check.

Submit Ammunition

Enter the fifteen digit Eligibility Check DROS Number.

Enter Eligibility Check DROS #

Purchaser First Name Purchaser Middle Name Purchaser Last Name Suffix

Purchaser Street Address Zip Code City State

Gender Hair Color Eye Color Height (feet/inches) Weight Date of Birth

Purchaser ID Type Purchaser ID Number Race U.S. Citizen

Purchaser Place of Birth Telephone Number

Purchaser Alias First Name Purchaser Alias Middle Name Purchaser Alias Last Name Purchaser Alias Suffix

---

Transaction and Ammunition Information

Inventory Code  \*Manufacturer  \*Condition  Bullet Type

Bullet Weight  Usage Type  Casing  \*Caliber

\*Quantity (Rounds)  Primer Type  Muzzle Velocity  Unit  Muzzle Energy  Unit  Cost/Round

Please click buttons only once. Multiple clicks will delay processing.

### STEP 4

Enter the "Transaction and Ammunition Information."

Transaction and Ammunition Information

Inventory Code  \*Manufacturer  \*Condition  Bullet Type

Bullet Weight  Usage Type  Casing  \*Caliber

\*Quantity (Rounds)  Primer Type  Muzzle Velocity  Unit  Muzzle Energy  Unit  Cost/Round

Please click buttons only once. Multiple clicks will delay processing.

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## ER 938





## DROS Entry System Submit Ammunition Transaction Quick Reference Guide

### STEP 6

If the purchaser would like to add additional ammunition to their purchase, simply click **Add Ammunition** and repeat steps 2-5.

Please click buttons only once. Multiple clicks will delay processing.

Deliver
Empty Purchases
Add Ammunition

If the purchaser does not want to add additional ammunition to their transaction, simply click **Deliver**.

Please click buttons only once. Multiple clicks will delay processing.

Deliver
Empty Purchases
Add Ammunition

After Clicking on "Deliver," a dialog box will open. Press "OK" to continue, or "Cancel" to stay on the page.

**PLEASE NOTE:** If you click "OK", the Ammunition Eligibility Check will be used and the purchase of ammunition will be submitted to the Department. The transaction is complete. Please confirm the purchaser does not want to add additional ammunition prior to clicking "OK." If the purchaser decides they want to purchase more ammunition after you have clicked "OK", they will have to pay for another eligibility check.

✔ Transaction has been successfully uploaded to your pending purchase(s). Click Deliver to submit transaction.

### Pending Purchase(s)

**Pending Purchase(s)**

**Total Items: 1**

Name:  DOB:  ID:

Manufacturer	Caliber	Condition	Quantity (Rounds)
TESTER	12-GAUGE SHOTGUN	NEW	100

Please click buttons only once. Multiple clicks will delay processing.

Deliver
Empty Purchases
Add Ammunition

Clicking 'Deliver' will submit the transaction.  
Press 'OK' to continue, or Cancel to stay on this page. **ATTENTION:** If you proceed with the submission of this transaction, please remember to select 'Print DROS' on the next screen (upper left hand corner) as that will be your only opportunity to generate a printed DROS Ammunition copy for customer signature.

OK
Cancel



# DROS Entry System

## Submit Ammunition Transaction

### Quick Reference Guide

#### STEP 7

After clicking "OK", you will be taken to the final Dealer's Record of Sale of Ammunition. Click the ***Print this DROS*** link in the upper left hand corner of the page.

**PLEASE NOTE: You must select the Print this DROS link (upper left hand corner) as that will be the only opportunity to generate a printed DROS Ammunition copy for customer signature.**

⊙ Your transaction is complete.

What would you like to do next?

⬆ **Print this DROS** (you will remain on this page and still be able to select from the options below)

⬆ **Go to the Main Menu**

**Dealer's Record of Sale of Ammunition**

Collect the purchaser and salesperson's signature on the Dealer's Record of Sale of Ammunition printout. Records must be maintained and available for inspection for five (5) years (Pen. Code § 30355).

AMMUNITION INFORMATION			
PURCHASER NAME PETER	CONDITION NEW	MUNITION TYPE BULLETPH	QUANTITY 10
CALIBER 12 GAUGE (BOSTON)	QUANTITY (GROSS)	QUANTITY (GROSS)	QUANTITY (GROSS)
MUNITION VELOCITY	MUNITION VELOCITY	MUNITION VELOCITY	MUNITION VELOCITY
TRANSACTION INFORMATION			
<p>WARNING: BY SIGNING THIS DOCUMENT, YOU ARE CERTIFYING THAT YOU HAVE READ THE LIST OF PROHIBITED OFFENSES AND NOTHING WOULD PRECLUDE YOU FROM POSSESSING A FIREARM. BY SIGNING THIS DOCUMENT, I HEREBY CERTIFY UNDER PENALTY OF PERJURY THAT THE INFORMATION PROVIDED IS TRUE AND CORRECT.</p> <p>DEALER: DND TO DND GUN ADDRESS: 123 MAIN STREET, BOSTON, MA 02108</p> <p>SALES PERSON: BOB ADDRESS: BOSS</p> <p>By signing this document, I hereby certify under penalty of perjury that the information provided is true and correct.</p> <p><small>FALSE INFORMATION OF INFORMATION ON THIS FORM IS A CRIME PUNISHABLE BY UP TO 18 MONTHS IN STATE PRISON (PENAL CODE 26500)</small></p> <p><small>Persons purchasing ammunition may request a copy of their firearm ownership records from the Department of Justice by completing and submitting an authorized Firearms System Request for Firearm Records form (DOJ 6811-4466-0000). Purchasers/Dealers are advised to report the acquisition, disposition, or transferring of firearms to the Department pursuant to Penal Code section 26100. For more information on California firearms laws or to obtain firearms training, please visit the Attorney General's website at <a href="http://ag.ca.gov/firearms">ag.ca.gov/firearms</a>.</small></p>			
Purchaser's Signature		Salesperson's Signature	
DEALER'S PHONE		DEALER'S PHONE	

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# DROS Entry System

## Submit Ammunition Transaction

### Quick Reference Guide

#### FREQUENTLY ASKED QUESTIONS

##### 1. What does an ammunition transaction consist of?

An ammunition transaction consists of two general steps: 1) submitting an eligibility check to the Department, and 2) if the Department determines the individual is eligible to own or possess ammunition, submitting the ammunition purchase to the Department.

##### 2. What if the eligibility check determination (status) comes back as a "Deny/Reject?"

If the Department determines the individual is not eligible to own or possess ammunition, provide the individual with their Ammunition Transaction Number (also known as a DROS number) and advise them to log on to the Department's California Firearms Application Reporting System (<https://cfars.doj.ca.gov/login.do>) for more information regarding the determination.

##### 3. How do I know what type of eligibility check to submit for the individual?

The requirements for each eligibility check are as follows:

1. **Certificate of Eligibility Verification:** You may use this eligibility check if the individual has a current Certificate of Eligibility issued by the Department.
2. **Standard Ammunition Eligibility Check:** You may use this type of eligibility check if the person's information matches an entry in the Automated Firearms System (name, date of birth, current address, and driver license or other government identification) and does not fall within a class of persons who are prohibited from owning or possessing ammunition.

Individuals may have a record in the Automated Firearms System if they have purchased or transferred a firearm through a California licensed firearm dealer, if they have registered an assault weapon during one of the registration periods, or if they have submitted a voluntary report of ownership to the Department. Please note: the individual must still be the owner of the firearm.

If the last long gun purchase was prior to January 1, 2014, there is a possibility they may not have a record in the Automated Firearms System despite having purchased or transferred their firearm through a firearms dealer. The Department was statutorily prohibited from retaining information regarding sales of rifles or shotguns prior to January 1, 2014. As a result, records of rifles and shotguns prior to January 1, 2014, in the Automated Firearms System are limited to assault weapon registrations (Pen. Code, § 30500, et seq.), voluntary reports of ownership, and other records entered by the Department and California law enforcement agencies.

3. **Basic Ammunition Eligibility Check:** You may use this eligibility check if the individual does not have a current entry in the Automated Firearms System or if they do not have a current Certificate of Eligibility. The Department will determine the individual's eligibility based on a comprehensive review of its records (similar to a firearm eligibility check).

##### 4. How do I process a private party transfer (PPT) of ammunition?

When transferring ammunition from one non-vendor to another non-vendor you must obtain an APPROVED eligibility check for the purchaser and then select a **Private Party Ammunition Transfer** to submit the sale of ammunition.

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# DROS Entry System

## Submit Ammunition Transaction

### Quick Reference Guide

Seller's information is not required when processing a transfer for ammunition. If the purchaser receives a DENY or REJECT, the vendor shall forthwith return the ammunition to the seller.

#### 5. How long does it take to get a determination from the Department for each type of eligibility check?

1. **Certificate of Eligibility Verification Checks** – A determination may be completed in approximately 2 minutes.
2. **Standard Ammunition Eligibility Check** – A determination may be completed in approximately 2 minutes.
3. **Basic Ammunition Eligibility Check** – A determination may take days to complete. Once this type of eligibility check is submitted, please provide the individual with their Ammunition Transaction Number (also known as a DROS Number) and advise them they can check the status of their eligibility check through the Department's California Firearms Application Reporting System (<https://cfars.doj.ca.gov/login.do>). Once their eligibility check is approved, they can return to your location and complete the ammunition purchase transaction.

#### 6. How long are eligibility checks valid?

1. **Certificate of Eligibility Verification Checks** – 18 hours from an Approved determination.
2. **Standard Ammunition Eligibility Check** – 18 hours from an Approved determination.
3. **Basic Ammunition Eligibility Check** – 30 days from an Approved determination.

#### 7. At what point do I have the individual sign ammunition purchase paperwork?

The individual and the store associate/sales person/agent are only required to sign the DROS that is generated once the **ammunition purchase** is submitted to the Department.

#### 8. How long do I have to retain DROS Ammunition Sale records?

You must maintain all ammunition sale records on site for 5 years.

#### 9. Do I have to maintain ammunition sale records in hard copy format?

No, whether ammunition sale records are maintained in hard copy format will be at the discretion of the vendor. However, regardless of how they are maintained, they must be accessible onsite for inspection.

#### 10. If the background check is rejected/denied, what are the retention requirements for the paperwork?

There are no recordkeeping retention requirements at this time.

#### 11. I made a mistake on the eligibility check, how do I correct or cancel it?

You cannot correct or cancel an eligibility check once it has been submitted. You will have to resubmit the eligibility check with the correct information. Upon submission of an eligibility check, the fee will be charged to the dealer's account. The Department will not provide refunds after submission and acceptance of an eligibility check.

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## **DROS Entry System Submit Ammunition Transaction Quick Reference Guide**

**12. How do I cancel an ammunition purchase that has already been submitted?**

You cannot cancel an ammunition purchase transaction. As such, it is critical associates/sales persons/agents preview their submission, and make corrections, prior to submitting the transaction.

**13. Is there a limit on how much ammunition an individual can purchase during an ammunition purchase?**

No.

**14. Does the caliber of the ammunition that is being purchased have to match the firearm information that is on record with the Department?**

No.

**15. What does it mean if someone is exempt pursuant to Penal Code section 30352 (e)?**

If someone is exempt, you do not have to submit an ammunition eligibility check for that individual, and you do not have to submit the ammunition purchase to the Department.

**16. Who is considered exempt?**

Refer to Penal Code section 30352 (e).

**17. How do I verify an individual is exempt pursuant to Penal Code section 30352 (e)?**

Refer to the Department's **Ammunition Purchases or Transfers** regulations <https://oag.ca.gov/firearms/regs> for more information.

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IN THE UNITED STATES DISTRICT COURT  
FOR THE SOUTHERN DISTRICT OF CALIFORNIA

<b>Kim Rhode et al.,</b>	3:18-cv-00802-BEN-JLB
Plaintiffs,	
<b>v.</b>	<b>DECLARATION OF MAYRA G. MORALES IN SUPPORT OF DEFENDANT XAVIER BECERRA'S OPPOSITION TO PLAINTIFFS' MOTION FOR PRELIMINARY INJUNCTION</b>
<b>Xavier Becerra, in his official capacity as Attorney General of the State of California, et al.,</b>	
Defendants.	Date: August 19, 2019 Time: 10:30 a.m. Dept: 5A Judge: Hon. Roger T. Benitez Action Filed: 4/27/2018

## **DECLARATION OF MAYRA G. MORALES**

I, MAYRA G. MORALES, declare:

1. I am a Staff Services Manager III for the California Department of Justice, Bureau of Firearms. I make this declaration of my own personal knowledge and experience and, if called as a witness, I could and would testify competently to the truth of the matters set forth herein.

### **BACKGROUND**

2. I possess a Bachelor of Science Degree in Speech Pathology. I have been with the Department of Justice (Department) for over 18 years, of which 11 years have been with the Bureau of Firearms. Over that time, I have held various positions. In 2014, I became a Staff Services Manager within the Administration and Special Projects Section where I oversaw all administrative functions of the Bureau of Firearms including legislation, regulations, budgets, facilities, personnel, telecommunication, procurement, and contracts. In April of 2016, I was promoted to a Department of Justice Administrator II within the Regulatory Program Section of the Bureau of Firearms. In this capacity I planned, organized, directed and provided leadership to several programs.

3. I have served as a Staff Services Manager III over the Special Assignment Section since April 2018.

4. My primary role in this capacity has been to oversee the Reporting and Quality Assurance Section and provide oversight of the implementation of the Ammunition Purchase Authorization Program. Under the direction of the Assistant Bureau Director, I was responsible for the implementation of the Ammunition Purchase Authorization Program that was established by Proposition 63, "Safety for All Act," as amended by Senate Bill 1235. In this capacity, I was a subject-matter generalist for all regulatory sections of the Bureau of Firearms.

## I. THE CALIFORNIA DEPARTMENT OF JUSTICE'S REGULATIONS GOVERNING AMMUNITION PURCHASES AND TRANSFERS

5. Proposition 63 was passed by California voters on November 8, 2016.

6. In January 2018, the Bureau of Firearms adopted Ammunition Vendor Licensing regulations, which are codified in title 11 of the California Code of Regulations at sections 4260-4264. These regulations establish the process for an ammunition vendor to obtain a license to sell ammunition and set the fee an ammunition vendor is authorized to charge the purchaser for processing an ammunition sale between two private, non-vendor parties.

7. As of July 31, 2019, there were 2,040 vendors licensed to sell ammunition in California. Of that number, 1,760 were licensed to sell firearms and ammunition and 280 were licensed to sell ammunition only.

8. In December 2018, the Department issued an Initial Statement of Reasons outlining proposed regulations governing the purchase and transfer of ammunition. A copy of that notice is attached to this declaration as Exhibit 1.

9. The Bureau of Firearms held a public comment period beginning on December 14, 2018, and closing on January 31, 2019. (Often referenced as the 45-day comment period—per the Administrative Procedure Act, the requirement is a minimum of 45 days.) During this comment period, the Bureau of Firearms received 219 different comments from 566 members of the public. The comments and the Summary and Response to Comments are part of the rulemaking file, which is publically available.

10. The Bureau of Firearms also held two public hearings for these regulations during the comment period. The first was held on January 29, 2019, in Los Angeles, and the second was held on January 31, 2019, in Sacramento. I was the hearing officer at both hearings. Transcripts of both are included in the final rulemaking file, which is publicly available.



11. The Bureau of Firearms held an additional public comment period beginning on April 18, 2019, and closing on May 8, 2019. (Often referenced as a 15-day comment period—per the Administrative Procedure Act, the requirement for notice of modifications is a minimum of 15 days.) The documents provided for this additional comment period were a Notice of Modification, an Updated Notice of Modification (correcting an incorrect e-mail address and extending the comment period), modifications to the Text of Proposed Regulations, an Initial Statement of Reasons Addendum, and a revised Economic and Fiscal Impact Statement (Std. 399). During this comment period, the Bureau of Firearms received 32 different comments from 139 members of the public. The comments and the Summary and Response to Comments, are all part of the rulemaking file, which is publically available.

12. In May 2019, the Department submitted a Final Statement of Reasons to the Office of Administrative Law. A copy of that final statement of reasons is attached to this declaration as Exhibit 2.

13. The regulations were approved by the California Office of Administrative Law on June 24, 2019 and went into effect on July 1, 2019.

14. The regulations outline the process for three eligibility checks: (1) the Standard Ammunition Eligibility Check; (2) the Certificate of Eligibility Verification Check; and (3) the Basic Ammunition Eligibility Check. (The regulations also contemplate a fourth Firearms Eligibility Check that permits a person to purchase a firearm and ammunition at the same time.)

15. The Standard Ammunition Eligibility Check and the Certificate of Eligibility Verification Check rely on the Department's Dealer Record of Sale (DROS) Entry System (DES). DES is a web-based application used by California firearms dealers to submit firearm background checks to the Department to determine if an individual is eligible to purchase, loan, or transfer a handgun or

long gun—and now ammunition—and subsequently receive background and eligibility check determinations.

**A. Standard Ammunition Eligibility Checks**

16. Section 4302 of title 11 of the California Code of Regulations governs Standard Ammunition Eligibility Checks.

17. To determine whether a purchaser or transferee (I will generally refer to these together as “purchaser”) is eligible to purchase or possess (I will generally refer to these together as “purchase”) ammunition under a Standard Ammunition Eligibility Check, the Department, through an automated process in DES, cross-references the purchaser’s name, date of birth, current address, and driver license or other government identification number with the information maintained in the Department’s Automated Firearms System.

18. If the purchaser’s information does not match an Automated Firearms System entry, the transaction will be rejected. This usually occurs for one of two reasons: (1) the purchaser’s name, date of birth, current address, driver license or other identification number does not match an entry in the Automated Firearms System and therefore the transaction is rejected; or (2) the purchaser does not have a record in the Automated Firearms System.

19. If the purchaser’s information matches an Automated Firearms System entry, the Department determines if the purchaser falls within a class of persons who are prohibited from owning or possessing firearms and ammunition by cross-referencing the Prohibited Armed Persons File (also known as the Armed Prohibited Persons System). If the purchaser is prohibited from owning or possessing firearms and ammunition, the transaction will be denied.

20. Purchasers who are rejected on a Standard Ammunition Eligibility Check have the ability to electronically update one or more Automated Firearms System records through the California Firearms Application Reporting System, which is available on the Department’s website at: <https://cfars.doj.ca.gov>. People wishing

to correct their records will need to create a California Firearms Application Reporting System account (if they do not already have one), log in, select the “Automated Firearm System Personal Information Update” link, and then enter their current personal information, firearm information, and personal information at time of firearm purchase.

21. Address changes are systematically processed. I am informed and believe that, once the application is submitted, and if a match is found in the Automated Firearms System, the time it takes to update one’s address on the system may take less than 10 minutes, but depending on the number of pending applications, may take longer.

22. Name changes, identification number changes, and date of birth changes require additional documentation be uploaded in order for an analyst to review and validate the change. I am informed and believe that because an analyst must validate the change, these transaction may take a few hours, but depending on Department workload, can take several days (excluding weekends) to process and subsequently update the record (assuming a match is found in the Automated Firearms System).

23. If a person does not know the personal information that was used at the time of purchase of the firearm, they can request to obtain information on all firearms for which they are listed as the purchaser, transferee, or owner in the State of California Automated Firearms System database by submitting an Automated Firearms System Request for Firearm Records (BOF 053) application to the Bureau of Firearms. That form is available on the Department’s website at: <https://oag.ca.gov/firearms/forms>.

24. Once the application is received by the Bureau of Firearms, the Bureau of Firearms will conduct a diligent search of the Automated Firearms System for their records and will provide the individual with the listing of their firearms records via U.S. mail. The individual can then reference the listing (which notes their personal

information at time of purchase or transfer) and use it to submit an Automated Firearm System Personal Information Update application to update their records.

**B. Basic Ammunition Eligibility Checks**

25. Section 4303 of title 11 of the California Code of Regulations governs Basic Ammunition Eligibility Checks.

26. The Department was required by law to develop a procedure in which a person who is not prohibited from purchasing or possessing ammunition may be approved for a single ammunition transaction or purchase. In order to meet this requirement, the Department developed the Basic Ammunition Eligibility Check which closely mirrored the current background check for firearms (without checking federal databases), thereby ensuring consistency in the eligibility checks. A Department analyst manually reviews a purchaser or transferee's records to ascertain the purchaser or transferor is not prohibited from owning or possessing ammunition due to a felony or violent misdemeanor conviction or warrant, domestic violence restraining order, mental health issue, or some combination of these factors.

**C. COE Verification Checks**

27. Section 4305 of title 11 of the California Code of Regulations governs Certificate of Eligibility Verification Checks.

28. To qualify for this type of check, a purchaser must have a current Certificate of Eligibility issued by the Department. To determine if the purchaser or transferee has a current Certificate of Eligibility, the Department, through an automated process in DES, cross-references the Certificate of Eligibility database. If the purchaser does not have a current Certificate of Eligibility, the transaction will be rejected.

29. A Certificate of Eligibility Verification Check (COE Verification Checks) may be rejected for the following reasons: (1) personal information provided to the ammunition vendor and entered into DES does not match the



information in the Certificate of Eligibility database; (2) the Certificate of Eligibility number provided to the ammunition vendor, and entered into DES does not match the information in the Certificate of Eligibility database; or (3) the Certificate of Eligibility for the purchaser is not current.

**II. THE CALIFORNIA DEPARTMENT OF JUSTICE UPGRADES THE DEALER RECORD OF SALE ENTRY SYSTEM (DES) TO PROCESS AMMUNITION SALES AND TRANSFERS**

30. Starting July 1, 2019, California ammunition vendors had access to DES to submit ammunition eligibility checks to the Department, and subsequently receive eligibility determinations through the system. DES also enables ammunition vendors to report information relative to the sale or transfer of ammunition to the Department, at the time of delivery, resulting in a systematic update of the Ammunition Purchase Records File.

31. The Department took several steps in the lead-up to the July 1, 2019 implementation date. A number of updates were made to DES to implement the new law. The user-facing side of these updates, and how to use them, were described to licensed ammunition vendors in a series of notices and guides.

32. On June 7, 2019, the Bureau of Firearms distributed a notice entitled “Ammunition Purchase Authorization Program.” The notice advised dealers that effective July 1, 2019, ammunition vendor licensees would be prohibited from providing a purchaser with ammunition without approval from the Department of Justice, except as otherwise specified. It also advised that the “Ammunition Purchases and Transfers” regulations were being finalized, what equipment would be needed to process transactions through DES, how to enroll in DES, when full access to DES would be available for licensed ammunition vendors, what enhancements were made to DES, that the Department would be updating the DES User Guide and creating an Ammunition Vendor User Guide and both would be released at a later date, and it provided Customer Support Center hours of operation as well as the contact number. Included with the notice was a Quick Reference

Guide that outlined how to create an account in DES (for licensed ammunition vendors) and how to add new ammunition permissions to current users. A copy of that notification and reference guides are attached to this declaration as Exhibit 3.

33. On June 28, 2019, the Bureau of Firearms distributed a notice entitled “California Department of Justice Notification Regarding Regulations for Ammunition Purchase or Transfers and Automated Firearms System Information Updates.” The notice advised licensed ammunition vendors and firearms dealers that effective July 1, 2019, persons seeking to purchase or transfer ammunition would have to undergo an eligibility check, and be approved by the Department, prior to the sale or transfer, except as otherwise specified. It also advised that effective July 1, 2019, persons with an outdated Automated Firearms System record would have the ability to correct or update personal information on their Automated Firearms System record via the California Firearms Application Reporting System. The notice provided information on where to locate the relevant regulations as well as contact information for the Customer Support Center. A copy of that notice is attached to this declaration as Exhibit 4.

34. On the same day, the Bureau of Firearms distributed a notice entitled “Regarding Availability of Instructional User Guides Related to Upcoming Ammunition Sale Requirements,” and a quick reference guide that provided instructions on how to submit ammunition transactions. A copy of that notice and quick reference guide is attached to this declaration as Exhibit 5.

35. Also on the same day, the Bureau of Firearms posted on its website updated and new DES user guides relating to the ammunition sales requirements. The user guides provide an overview of the DES functions and provide direction on how to use the system in relation to ammunition transactions. Copies of those user guides are attached to this declaration as Exhibits 6 and 7.

**III. THE CALIFORNIA DEPARTMENT OF JUSTICE'S EMERGENCY REGULATIONS GOVERNING THE IDENTIFICATION REQUIREMENTS FOR FIREARMS AND AMMUNITION PURCHASES AND TRANSFERS**

36. As a result of my job duties, I am aware that in 2015, the California Department of Motor Vehicles started issuing driver licenses and identification cards with the notation "FEDERAL LIMITS APPLY" printed on the front under California State Assembly Bill (AB) 60 (AB 60), Stats. 2013, Ch. 524.

37. I am also aware that, as of January 22, 2018 California driver licenses and identification cards with the words "FEDERAL LIMITS APPLY" on the front are now issued to both: (1) persons applying under AB 60; and (2) persons who are able to submit satisfactory proof that their presence in the United States is authorized under federal law, but choose not to apply for a "REAL ID" driver license or identification card. REAL ID driver licenses comply with minimum requirements for various official federal purposes, and do not bear the "FEDERAL LIMITS APPLY" disclaimer.

38. As a result of my job duties, I have learned that some firearms dealers refused to accept "FEDERAL LIMITS APPLY" licenses issued on or after January 22, 2018, because they have been advised by their attorneys or have heard from advocacy groups that such licenses are being issued to AB 60 applicants.

39. For purchasers with "FEDERAL LIMITS APPLY" driver licenses issued before January 22, 2018, it should be readily apparent from the face of the license whether the applicant is an AB 60 license holder. For those applicants with "FEDERAL LIMITS APPLY" licenses issued after January 22, 2018, however, there is no practical way to determine from the face of the license whether the applicant is an AB 60 license holder.

40. In response to these concerns, the Department issued a Finding of Emergency on June 7, 2019, stating the need to promulgate an emergency regulation addressing the identification requirements for firearms and ammunition

purchases and eligibility checks. A copy of that Finding of Emergency is attached to this declaration as Exhibit 8.

41. The Finding of Emergency references a document titled “National Rifle Association Institute for Legislative Action, California Special Alert: Update Regarding Use of Non-REAL IDs for Firearm Purchases,” March 22, 2018 (NRA Update). That document is part of the rulemaking file, to which I have access. A true and correct copy of the NRA Update is attached to this declaration as Exhibit 9.

42. The Finding of Emergency also references a document titled “U.S. Department of Justice, Bureau of Alcohol, Tobacco, Firearms and Explosives, Open Letter to All California Federal Firearms Licensees,” which was incorrectly listed as being dated June 30, 2018. The correct date of the letter is June 30, 2016 (ATF June 2016 Letter). That document is part of the rulemaking file, to which I have access. A true and correct copy of the ATF June 2016 Letter is attached to this declaration as Exhibit 10.

43. Department records, to which I have access, also contain an April 9, 2018 letter from Michel & Associates, P.C. to Attorney General Xavier Becerra regarding a Pre-Litigation Demand to Rescind Policy Prohibiting Purchase of Firearms Using Non-Real IDs (Michel Letter). A true and correct copy of the Michel Letter is attached to this declaration as Exhibit 11.

44. The Emergency Regulation was codified in the California Code of Regulations at title 11, section 4045.1. It went into effect on June 27, 2019.

45. The same day, the Department issued an notice titled “California Department of Justice Update Regarding the Use of ‘Federal Limits Apply’ Driver License and Identification Cards to Perform Eligibility Checks.” A true and correct copy of the notice is attached to this declaration as Exhibit 12.



**IV. THE AMMUNITION ELIGIBILITY CHECK SYSTEM AND RULES GO INTO EFFECT ON JULY 1, 2019.**

46. The ammunition eligibility check system went live the morning of July 1, 2019.

47. As part of my job duties, I can request data from the Department's Application Development Bureau regarding ammunition eligibility transactions. I have obtained data for the period starting July 1 and ending July 31, 2019—the first calendar month that the ammunition eligibility check process was in place.

48. Total number of ammunition transactions processed, including transactions that were rejected or where the purchaser was denied: 62,083.

49. At least 106 transactions were denied because prohibited persons had attempted to purchase ammunition.

50. Standard Ammunition Eligibility Checks: 57,553.

- a. Standard Ammunition Eligibility Check approvals: 46,702.
- b. Standard Ammunition Eligibility Check rejections: 10,837.
- c. Standard Ammunition Eligibility Check denials: 14.

51. COE Verification Checks: 880.

- a. COE Verification Check approvals: 768.
- b. COE Verification Check rejections: 112 (this number may include denials).

52. Basic Ammunition Eligibility Checks: 3,798.

- a. Basic Ammunition Eligibility Check approvals: 3,536.
- b. Basic Ammunition Eligibility Check denials: 92.
- c. Basic Ammunition Eligibility Check rejections: 22.

53. Average time to check a purchaser's eligibility in a Standard Ammunition Eligibility Check: 1 second.

54. Average time check a purchaser's eligibility in a COE Verification Check: 1 second.

55. Average time, in Standard Ammunition Eligibility Check, from when the dealer submits the eligibility check to DES through when the dealer hits the “Deliver” button at the end of the Submit Ammunition Purchase process (ending the transaction in DES): 4 minutes, 57 seconds.

56. Average time, in COE Verification Check, from when the dealer submits the eligibility check to DES through when the dealer hits the “Deliver” button at the end of the Submit Ammunition Purchase process (ending the transaction in DES): 11 minutes, 5 seconds.

57. Based on my knowledge of DES and the ammunition eligibility check process, I understand that these numbers provide a good estimate of how long the average Standard Ammunition Eligibility Check and COE Verification Check take, once the personal information field in DES is populated (most of which is done by magnetic swipe), and excluding the time it takes to print and sign the Dealer Record of Sale.

58. The COE Verification Check average is likely higher than the Standard Ammunition Eligibility Check average because there are fewer COE Verification Checks overall, and some outliers may have affected the average—e.g., transactions where the eligibility check was submitted and the customer left the store and returned the next day, creating a gap of several hours in the transaction.

59. I am aware that a number of nonparty ammunition vendors submitted declarations in this matter representing the length of time it takes them to process ammunition transactions. For each of these vendors, I requested and obtained data from July 1 to and including July 31, 2019, showing the average time, in Standard Ammunition Eligibility Check and COE Verification Checks, from when the dealer submits the eligibility check to DES through when the dealer hits the “Deliver” button at the end process (ending the transaction in DES).

60. Bill Ortiz and Turner’s Outdoorsman: 5 minutes, 17 seconds.

61. David Burwell and Norco Armory: 4 minutes, 31 seconds.

62. Chris Puehse and Foothill Ammo, Inc.: 2 minutes, 42 seconds.
63. Travis Morgan and Guns, Fishing and Other Stuff: 3 minutes, 46 seconds.
64. Ethan Bartel and Royal Loan: 3 minutes, 12 seconds.
65. Myra Lowder and Mosquito Creek Outfitters: 3 minutes, 38 seconds.
66. Daniel Gray and Discount Gun Mart: 6 minutes, 3 seconds.
67. I am also aware that Plaintiff Denise Welvang submitted a declaration in this matter representing the amount of time it took to process an ammunition transaction at Gun World in Burbank, California, on July 13, 2019. I requested records involving Ms. Welvang be pulled for that day.
68. The records show that she engaged in a Standard Ammunition Eligibility Check at Gun World on the afternoon of July 13. In that transaction, the time from when the vendor submitted the eligibility check through when the dealer hit the “Deliver” button at the end process (ending the transaction in DES) took less than a minute.
69. The records also show that before Ms. Welvang went to Gun World she purchased ammunition at American Gun Works. In that transaction, the time from when the vendor submitted the eligibility check through when the dealer hit the “Deliver” button at the end process (ending the transaction in DES) took just over a minute.

**V. REPORTED ISSUES WITH THE AMMUNITION ELIGIBILITY CHECK SYSTEM.**

70. Since the July 1, 2019 rollout of the ammunition eligibility check process on DES, the Department has received feedback and inquiries from the public.
71. The Department operates a Customer Support Center, which fields calls from hotlines for licensed firearms dealers and ammunition vendors, law enforcement agencies, Department certified instructors, and the public. The hotline for licensed firearms dealers and ammunition vendors is called the DES Customer

Support Center, and is available daily, 8:00 a.m. to 9:00 p.m. The center is specifically intended to assist licensed firearms dealers and ammunition vendors with their business needs. Firearms dealers and ammunition vendors may call the center with technical questions.

72. During the first week of July, there was a spike in the number of calls per day fielded by all members of the Customer Support Center. Most of those calls related to ammunition purchases. For that first week, callers may have had to wait or call back due to the high volume of calls. Since then, however, the number of calls per day has dropped significantly, but remains above the monthly average. The Bureau of Firearms anticipates a general increase in calls moving forward as a new program has been implemented and that will continue to generate calls.

73. Since the ammunition eligibility check process has been in effect, the Department has received notice of technical issues with DES and ammunition eligibility checks. I am aware of some of the issues that have been raised, and the steps that have been taken to address them. I will describe two examples of these issues.

74. First, the week of July 1, the Department received notices that a few Standard Ammunition Eligibility Checks were delayed due to the system not accommodating people who have more than two first names. A fix was implemented on July 25, 2019.

75. Second, there have been reports that the “Caliber” dropdown menu in the “Transaction and Ammunition Information” step does not contain all calibers of ammunition. I have been informed that the Department is currently researching whether any calibers are missing and anticipates implementing a fix, if one is necessary.

76. I am aware that a number of nonparty ammunition vendors submitted declarations stating that they have been unsuccessful in having their magnetic card readers populate the “gender, hair color, eye color, height, weight, place of birth,



and telephone number” fields in DES. Place of birth and telephone number are not included on California driver licenses or identification cards, and therefore cannot be populated using the magnetic card reader. With regard to the other fields, the Department has not received any calls regarding the magnetic card reader not populating gender, hair color, eye color, height, or weight. At this time, the Department has no reason to believe that DES is preventing that information from being populated by magnetic swipe.

77. I am aware that a number of nonparty ammunition vendors submitted declarations suggesting that they cannot process ammunition transactions for customers whose driver licenses or identification cards list a P.O. Box as their address. I am also aware that these nonparty ammunition vendors have stated that they believe that California law and Department regulations do not allow ammunition vendors to manually edit a customer’s address as reflected on their driver license or identification.

78. If the identification card or driver license has a P.O. Box listed, the dealer can manually enter the current address into the “Personal Information” field in the Standard Ammunition Eligibility Check. It is recommended, however, that dealers obtain documentation from the purchaser with the purchaser’s current address to verify what they are entering on the transaction is accurate. The Department is not aware of any regulation or Penal Code that states ammunition vendors cannot manually input or edit a customer’s address. The Department has issued guidance regarding P.O. boxes on the Bureau of Firearms Frequently Asked Questions website at: <https://oag.ca.gov/firearms/apfaqs>.

1 Pursuant to 28 U.S.C. § 1746, I declare under penalty of perjury that the foregoing  
2 is true and correct.

3  
4 Executed on: August 2, 2019

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7 MAYRA G. MORALES  
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# CERTIFICATE OF SERVICE

Case Name: **Rhode v. Becerra**

No. **3:18-cv-00802-BEN-JLB**

I hereby certify that on August 5, 2019, I electronically filed the following documents with the Clerk of the Court by using the CM/ECF system:

**DECLARATION OF MAYRA G. MORALES IN SUPPORT OF DEFENDANT XAVIER BECERRA'S OPPOSITION TO PLAINTIFFS' MOTION FOR PRELIMINARY INJUNCTION**

I certify that **all** participants in the case are registered CM/ECF users and that service will be accomplished by the CM/ECF system.

I declare under penalty of perjury under the laws of the State of California the foregoing is true and correct and that this declaration was executed on August 5, 2019, at Sacramento, California.

Tracie L. Campbell

Declarant

**/s/ Tracie Campbell**

Signature

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