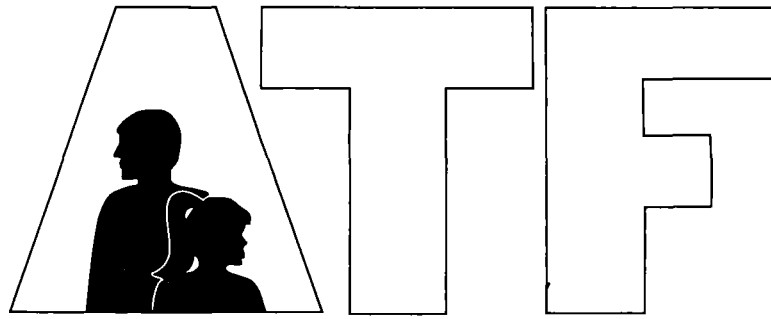

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The Youth Crime Gun Interdiction Initiative

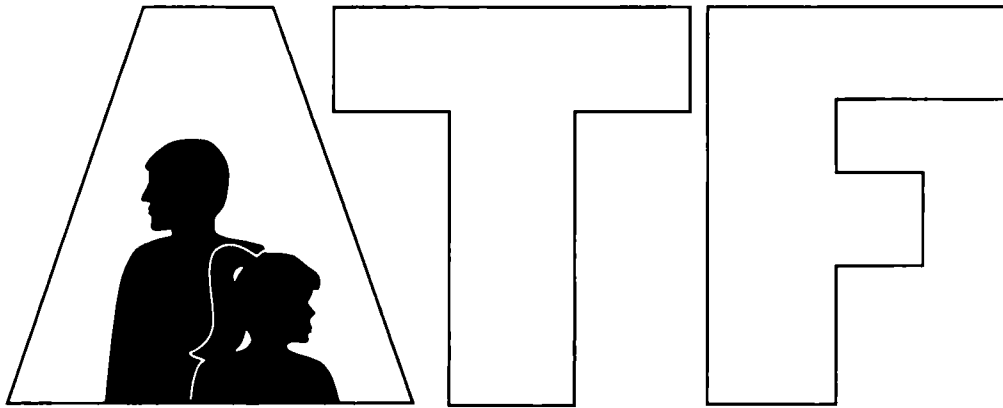
Performance Report

For the

**Senate and House Committees on Appropriations
Pursuant to Conference Report 105-825
October 1998**

February 1999
Department of the Treasury
Bureau of Alcohol, Tobacco, and Firearms





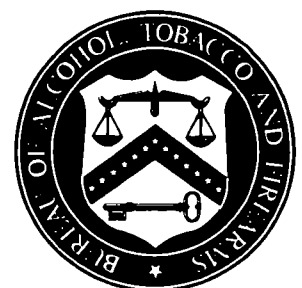
The Youth Crime Gun Interdiction Initiative

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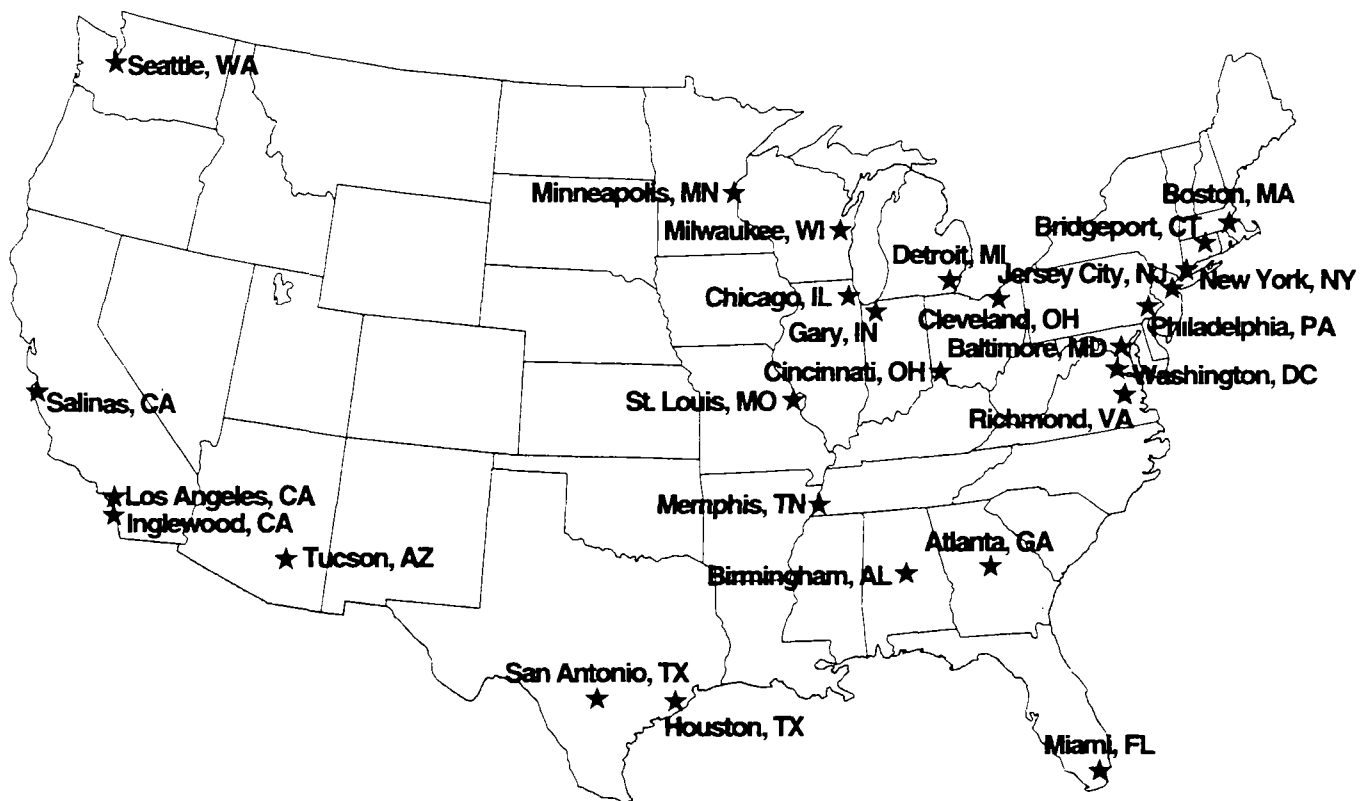
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Department of the Treasury
Bureau of Alcohol, Tobacco, and Firearms



ATF Youth Crime Gun Interdiction Initiative

27 Communities





DEPARTMENT OF THE TREASURY
WASHINGTON, DC

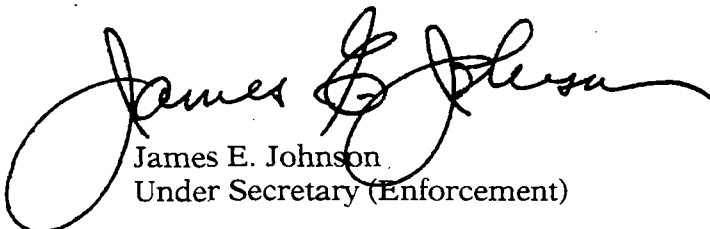
**Youth Crime Gun Interdiction Initiative
Performance Report**
February 1999

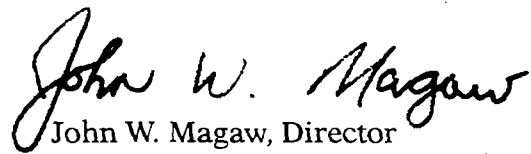
This is a report on the performance of the Youth Crime Interdiction Initiative (YCGII), as requested by the Senate and House Committees on Appropriations (*Performance Report*).¹ The YCGII, part of ATF's national illegal firearms trafficking program, is developing information about how juveniles and criminals illegally obtain crime guns, and using that information to support Federal, State, and local law enforcement efforts to reduce illegal access to firearms. Congress appropriated \$27 million for YCGII for Fiscal Year 1999 to support comprehensive crime gun tracing (\$11 million), and to add 162 ATF special agents to strengthen enforcement of the firearms laws (\$16 million). We are pleased to report substantial accomplishments with respect to both tracing and investigative activity.

A cornerstone of YCGII is support for comprehensive crime gun tracing by law enforcement agencies. Firearms tracing serves three critical law enforcement purposes. Individual traces can allow law enforcement to solve individual crimes by confirming a link between the accused and the firearm. Comprehensive tracing maximizes the investigative leads derived from tracing about the illegal sources of firearms used in crime. Analysis of comprehensive trace information provides law enforcement with needed strategic information about local, regional, and national patterns of illegal gun trafficking. A separate publication, the *1999 YCGII Crime Gun Trace Analysis Reports: 27 Communities (Trace Reports)*, presents analyses of crime gun traces from the 27 communities that participated in YCGII during Fiscal Year 1998.

ATF's greatest strength is its human resources. This *Performance Report* provides a summary of actions taken to hire special agents as directed by Congress; a report of ATF case activity involving youth and juveniles in the 27 cities; and a review of over 640 illegal trafficking investigations involving juveniles and youth nationwide that shows the types of illegal trafficking activity being uncovered. ATF's investigations demonstrate that there is illegal trafficking in new, used, and stolen firearms involving juveniles and youth, and that law enforcement officials are identifying and arresting illegal traffickers using crime gun trace analysis and other means.

The YCGII *Trace Reports* and this *Performance Report* show fulfillment of Congress' intent to strengthen ATF's efforts to identify and arrest criminals involved in illegal gun trafficking to juveniles and youth. Youth violence is declining nationally, but is still historically high. By continuing to investigate and reduce the illegal sources of firearms, we can further reduce youth violence.


James E. Johnson
Under Secretary (Enforcement)


John W. Magaw, Director
Bureau of Alcohol, Tobacco and Firearms

¹ The Statement of Managers accompanying the 1998 Conference Report stated that: the conferees believe that the proposed increase in funding must be supported by evidence of a significant reduction in youth crime, gun trafficking and availability. The conferees would like to see additional evidence linking the Youth Crime Interdiction Initiative (YCGII) to a corresponding decrease in gun trafficking among youths and minors. Therefore, the conferees direct ATF to report no later than February 1, 1999 on the performance of YCGII.

**Youth Crime Gun Interdiction Initiative (YCGII)
Performance Report
February 1999**

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ATF Activity Report

Through the Youth Crime Gun Interdiction Initiative (YCGII), Congress is providing resources for crime gun tracing and for investigative resources to attack the illegal gun market supplying juveniles and criminals. These resources are supporting Federal, State, and local activities. With funding already provided, the Bureau of Alcohol, Tobacco and Firearms (ATF) has assisted law enforcement agencies in 27 cities in instituting comprehensive crime gun tracing; has provided city-specific trace analysis reports for those cities, reporting on over 76,000 trace requests in the reports being published in 1999; has initiated over 640 juvenile and/or youth-related illegal trafficking investigations nationwide involving almost 27,000 illegally trafficked firearms since YCGII began in July 1996, including 350 investigations in the 27 YCGII cities since the beginning of Fiscal Year 1998; is hiring 162 additional agents as directed by Congress to follow up on illegal trafficking leads; and has supported the development of State and local law enforcement agency anti-gun trafficking capability.

Crime gun tracing. YCGII began in July 1996. Until Fiscal Year 1999, start-up funds to support the program came primarily from the Treasury Asset Forfeiture Fund (TAFF), which are not available for funding full time permanent employees. Therefore, the first two years of funding, approximately \$12 million from the TAFF, and \$1.25 million appropriated by Congress in Fiscal Year 1998, have been used to build a foundation of city-based comprehensive crime gun tracing. Through YCGII, ATF has supported 27 cities in developing systems that allow them to trace all recovered crime guns. ATF has also improved its own systems for receiving, responding to, and analyzing the city trace information. The National Tracing Center (NTC) enters investigative trace information into Project LEAD, a crime gun information system, which is supplied to ATF offices for law enforcement use locally. City-specific crime gun analysis, as opposed to the law enforcement sensitive information entered into Project LEAD, is published for Federal, State, and local use in the annual YCGII *Trace Reports*. An important development has been the provision of trace information by age group. Both Project LEAD and the *Trace Reports* now report trace information by age group in order to assess and target enforcement activity more effectively. ATF received a total of over 190,000 trace requests from around the country in 1997 and 1998 respectively. Through YCGII, ATF provided crime gun trace analysis on 37,000 trace requests from 17 cities in the 1997 *Trace Reports*, and is providing analysis on over 76,000 trace requests from 27 cities in the 1999 *Trace Reports* (covering 1998 activity). Further, detailed information about crime gun tracing is included in the *Trace Reports*, which will be published this month.

New ATF special agents. In Fiscal Year 1999, Congress appropriated funding for 81 FTE to support 162 special agent positions annually in connection with the YCGII. ATF is in the process of hiring new agents, in this, the first year where positions have been earmarked. ATF expects the new agent positions to be filled by the end of the Fiscal Year. Congress stipulated that experienced special agents be assigned to support the YCGII in the cities designated, and to date, approximately 50 special agents have been so assigned. To make the best decisions about agent designation, ATF's field divisions are currently in the process of assessing not only the crime gun activity in each division, but also how other YCGII cities are affected by trafficking from within their region. This assessment is supported by the information acquired from comprehensive crime gun tracing by participating police departments, as well as ATF trace analysis that sorts the trace information geographically. Assignment of the Congressionally designated resources is expected to be completed in the third quarter of the Fiscal Year.

ATF investigative activity. One purpose of YCGII is to assist ATF in addressing the increase in juvenile and youth homicides that occurred between the mid-eighties and mid-nineties. YCGII investigations therefore include any investigation involving a juvenile (ages 17 and under) or a youth (ages 18 to 24). ATF makes every effort to ensure that investigative resources and activities provide the greatest possible return on dollars invested. YCGII was designed to use trace infor-

mation to help realize the maximum potential of these resources. The trace results and information about trafficking patterns generated by the tracing component of YCGII are paying significant dividends in allowing ATF to more effectively identify and investigate firearms traffickers throughout the country. To establish a baseline for evaluation of ongoing investigative activity, ATF recently conducted a survey of all its divisions to determine the nationwide level of investigative activity involving illegal gun trafficking, and in particular illegal gun trafficking involving juveniles and youth. ATF field divisions nationwide reported over 1,600 illegal trafficking investigations. Of these, 648 (40.4 percent) involved juveniles and/or youth; 209 (13 percent) involved juveniles, and 625 (38.9 percent) involved youth. These figures are consistent with crime gun trace information to be provided in the YCGII *Trace Reports*, which shows that of the crime guns recovered by law enforcement agencies in the 27 participating cities, approximately 11.3 percent were recovered from juveniles, and 32.4 percent from youth. The survey indicates that over 37 percent of illegal trafficking investigations were initiated through the analysis of firearms trace and multiple sales records. The next section of this *Performance Report* contains detailed information from the ATF survey of illegal trafficking investigations. Although YCGII did not receive funding for additional agent resources until the current Fiscal Year, ATF achieved the following in YCGII cities using available agent resources and working together with State and local agencies:

- ATF initiated 301 YCGII investigations in FY 1998.
 - The number of investigations increased every quarter, as follows: 1st: 47; 2nd: 74; 3rd: 87, 4th: 93.
 - ATF recommended 151 YCGII cases including 276 defendants for Federal prosecution,
 - ATF recommended 19 cases including 36 defendants for State prosecution.
 - These 301 investigations involved 3,347 illegally trafficked firearms.
- In the first quarter of Fiscal Year 1999, ATF initiated 91 YCGII investigations.
 - ATF recommended 57 cases including 77 defendants for Federal prosecution.
 - ATF recommended 5 cases including 8 defendants for State prosecution.
 - These 91 investigations involved 855 illegally trafficked firearms.

State and local investigative activity. A primary function of YCGII is to supply crime gun information to State and local law enforcement agencies, to support local enforcement activity, and to strengthen collaborative enforcement efforts. Although ATF has not collected information on State and local investigative activity undertaken outside joint task forces, ATF field offices report that State and local law enforcement agencies are increasingly focused on the illegal gun supply, and are using crime gun tracing information to support investigations and prosecutions under State and local laws. These agencies often supplement ATF crime gun trace data and other shared investigative information with ballistics data and State and local firearms investigative leads. These local units may be linked with ATF formally, through joint task forces, through informal communications, or even simply through the use of trace information. They may be combined with gang or drug units, or organized as a separate gun unit. Examples of local law enforcement agency gun units are the Los Angeles Police Department's Youth Crime Gun Interdiction Detail, and units in the Baltimore, Richmond, and Chicago police departments. The YCGII *Trace Reports* lists a number of locally based local youth violence and gun enforcement initiatives. The value of YCGII was recognized by the International Association of Chiefs of Police, which adopted a resolution recommending tracing and trafficking strategies to its members. This will encourage more police departments to work with ATF in using trace information to understand the illegal gun market and to identify and arrest illegal gun traffickers.

Further indication of increasing law enforcement focus on the illegal firearms supply comes from developments at the State level. Since YCGII began in 1996, two states, Connecticut and California, have enacted State-wide crime gun tracing laws, and Maryland has established a State-wide gun enforcement initiative working closely with ATF. These States join New Jersey, where

gun enforcement initiative working closely with ATF. These States join New Jersey, where through an agreement sponsored by the U.S. Attorney, local jurisdictions are cooperating in State-wide tracing through a gun tracing and enforcement program called Project LISA.

Using the resources: some highlights. The following are a few examples of successful trafficking investigations focused on interdicting youth crime guns. There are dozens of other similar cases being worked and brought to successful conclusion which are in various stages of investigation and adjudication.

Cleveland, Ohio: Interstate trafficking, corrupt FFL. ATF traced three firearms recovered in New Jersey to an FFL operating in the Cleveland, Ohio area. Two of the firearms had been used in homicides; one of the possessors was a youth. Upon investigation, ATF determined that the FFL had received at least 50 firearms from wholesalers of which only 11 were accounted for in his records. The FFL had recently gone out of business and failed to submit his records to ATF for use in crime gun tracing. Several of the firearms shipped to the trafficker ended up in the hands of youth and were recovered by police. None of the recovered firearms were found in possession of the first purchaser of record and some were the unrecorded firearms. The FFL stated that he had sold between 20 and 30 firearms "off paper", delivering the guns without performing Brady checks or the required purchase forms. The FFL pleaded guilty to a felony firearms violation, was sentenced to a short prison term to be followed by two years of supervised release, and was fined.

Milwaukee, Wisconsin: Intrastate trafficker; guns for drugs. ATF traced a Lorcin .380 caliber semiautomatic pistol recovered from a 17 year old member of the Latin Kings gang to a gun shop in northern Wisconsin, nearly 200 miles from Milwaukee, and through Project LEAD learned that Milwaukee police had recovered another Lorcin handgun from the same neighborhood as the first Lorcin, purchased from the same gun shop. A retired security police officer for the U.S. Army was identified as the first purchaser in both instances. Around the same time, an individual facing drug charges provided information concerning an ex-police officer who traded guns in exchange for marijuana. ATF agents used the information to set up a sting in which the retired security police officer exchanged four handguns for 1.5 pounds of marijuana. The defendant was sentenced in a Federal court to five years imprisonment.

Philadelphia, Pennsylvania: Straw purchase for and trafficking by a felon. A straw purchaser and a trafficker conspired to purchase over 50 semiautomatic rifles, boxes of high-powered ammunition, and accessories such as one hundred round drum magazines, high-powered scopes and laser sights. Seven rifles were recovered, some in connection with drug activity. One rifle was linked via ballistics tests to homicides. ATF traced the majority of the recovered firearms to the purchaser, who further investigation revealed had given them to a convicted felon. The purchaser and the felon operated in high crime areas of North Philadelphia and sold AK-47 type rifles to persons suspected of being local drug traffickers. One of the sales was made to a juvenile. A jury found the suspects guilty on all counts, including firearms trafficking and possession of a firearm in a school zone. The felon-trafficker received a sentence of eleven years and four months in prison, followed by three years of supervised release. The straw purchaser was sentenced to four years and nine months in prison, followed by three years of supervised release. The defendants are appealing their conviction based on the length of the sentence.

Richmond, Virginia: Straw purchaser for gang at gun shows. A trafficker who was a gang member used a straw purchaser to buy firearms at gun shows for other gang members. This case involved the Charlie Boys street gang, linked to gang warfare involving numerous homicides over the previous three years. ATF, working with the Richmond Street Crimes Unit, has been able to document 11 such weapons, purchased over a five month period, of which eight were recovered in crimes. Almost all the guns were bought from Federally licensed firearms dealers at gun shows. The trafficker acted as a straw purchaser for fellow gang members. In

return for his plea to aiding and abetting the illegal possession, trafficking charges were dropped. The trafficker has been convicted and sentenced to 6 years and 6 months in Federal Prison. The trafficker's two co-defendants were also successfully prosecuted for their possession of the firearms provided by the trafficker. Each co-defendant received 5 years and 10 months for their participation with the guns provided by the trafficker. The gang leader was also successfully prosecuted separately and received 16 years and 3 months. These cases were made through vigorously enforcing the firearms statutes in conjunction with Project Exile and YCGII.

Tucson: Trafficking at gun shows of firearms bought from gun stores. Over a nearly two year period, this trafficker bought 595 firearms from three FFLs and sold them illegally from his residence and at gun shows, some to youth and juveniles. One gun recovered in Los Angeles was involved in a homicide. His gun show sales table displayed handguns and a sign advertising guns for sale "Private Sale, No Paper Work, No City Sales Tax, Cash Only." In light of his advanced age, the defendant was permitted to plead guilty to a Federal firearms misdemeanor and relinquished his right to his remaining firearms.

Measuring success. According to the Department of Justice, the overall rate of violent crime committed with guns is down 27 percent from 1993. The youth crime rate is also down, although it remains historically high. Many factors have been cited as contributing to this decline, including community policing and innovative joint local law enforcement efforts, prevention programs, penalty and sentencing policies and incarceration rates, changes in the illegal drug market, and the increased focus on firearms enforcement. New developments in firearms enforcement since 1993 include Brady background checks, Federal firearms licensing reform, and, pursuant to YCGII and related programs, increased crime gun tracing which is supporting Federal, State, and local efforts to reduce illegal gun trafficking, carrying, and possession by criminals and juveniles.

The most immediate measure of the success of YCGII lies in the investigations of illegal trafficking cases, which have resulted in participating YCGII cities in the submission for prosecution of almost 400 defendants. That combined with the interception of thousands of trafficked firearms provides tangible relief to the public from the additional crimes that these firearms and defendants would inflict upon society, as indicated by ATF's published performance measures for these critical areas. Through YCGII funding, ATF has made extensive use of independent academic experts to assess firearms trafficking patterns and support ATF in providing accurate information to Federal, State and local law enforcement about these patterns. Given the recent advent of Federal, State, and local focus on firearms trafficking, no baselines currently exist against which to measure changes in illegal trafficking. Through the work of YCGII and similar activities these baselines are now being created. At this early stage of research on the relationship between firearms trafficking and the illegal acquisition of firearms by juveniles and youth, additional work by academics and practitioners, such as longitudinal studies and controlled experiments, will be necessary to provide additional evidence to explain any reductions in firearms trafficking to and youth crime among these age groups.

Fiscal Year 2000 Budget Request. ATF is seeking an additional \$11.2 million for YCGII, to support 10 new cities in instituting comprehensive crime gun tracing, to develop trace analysis to support investigations of illegal trafficking and other firearms crimes, and to add new special agents to strengthen enforcement of the nation's firearms laws. Among the most important anticipated developments in YCGII is electronic access by ATF field offices to Project LEAD, ATF's crime gun information system that uses trace data to produce investigative leads. This will support a further increase in collaboration with State and local law enforcement agencies in illegal trafficking investigations. ATF is committed to a city by city approach to firearms enforcement developed through YCGII, which takes into account carefully developed facts both about the local crime gun problem and State, regional, and national factors that affect the local crime gun problem. In conjunction with continued efforts to incarcerate and deter armed criminals, ATF's illegal trafficking program and YCGII will continue to assist in reducing violent crime across the country.

Review of ATF Illegal Trafficking Investigations Involving Juveniles and Youth

Through a survey of its field divisions, ATF reviewed its illegal trafficking investigations involving juveniles and youth. This survey was conducted to assist in providing focus and direction to the task of assigning special agent resources to YCGII. For this first report to Congress, ATF is providing a copy of this benchmark research. This research can be revisited in subsequent years to assist in gauging the impact of the program. The results are summarized below.

Illegal trafficking investigations. The survey confirms that the illegal gun market involves a significant number of illegal gun traffickers. The Department of the Treasury, ATF and outside researchers² reviewed information on over 640 investigations nationwide involving gun trafficking to juveniles and youth initiated after YCGII started in July 1996. Of these investigations, 41.4 percent have been adjudicated.³ The investigations involved almost 27,000 reported trafficked firearms.⁴

Relationship between felon in possession and illegal trafficking investigations. Trafficking investigations constitute one aspect of ATF's firearms enforcement program, which is designed to reduce violent crime by engaging two strategies: (1) incarcerating and deterring armed violent criminals, and (2) reducing the illegal diversion of firearms to juveniles, criminals, and other prohibited persons. With respect to felons and firearms, these two strategies may overlap; for example, an armed felon also may be an illegal gun trafficker, or an illegal gun trafficker may be facilitating the activities of a number of armed felons. The particular mix of investigative approaches in a given jurisdiction depends on the local crime problem, priorities of local law enforcement officials, including Federal, State, and local law enforcement, and available investigative information. While the survey discussed here was directed at illegal trafficking investigations, many of the investigations involve felons in possession of firearms.

Trafficking in new, used, and stolen firearms. The survey of investigations shows that juveniles and youth offenders are obtaining both new and older firearms through trafficking. Over three quarters of the investigations involved trafficking in new guns, over half involved trafficking in used guns, and over a third involved trafficking in stolen firearms, both new and used.⁵

Trafficked guns used in subsequent crime. In more than two-thirds of the investigations, improperly transferred firearms were known to have been subsequently involved in additional crimes. More than 23 percent of the investigations were associated with juvenile possession. Twenty-eight percent of the trafficking investigations were associated with assaults; nearly 18 percent were associated with homicides and 18 percent with robberies. More than 45 percent involved firearms associated with felons-in-possession, and more than half with other kinds of illegal possession.⁶ About 11 percent of the investigations involved National Firearms Act (NFA)

² Anthony A. Braga and David M. Kennedy, both of the John F. Kennedy School of Government, Harvard University.

³ See Appendix. Because ATF's budget dedicates special agents to YCGII cities in Fiscal Year 1999, the investigative review covering prior years was not limited to YCGII cities.

⁴ See Appendix, table 6.

⁵ See Appendix, table 7. Some investigations involve firearms from more than one category.

⁶ See Appendix, table 8.

weapons violations, mostly sawed off shotguns or short barrel rifles and shotguns, but also machine guns, and firearms illegally converted from semiautomatic to fully automatic.⁷

Multiple illegal trafficking sources. The investigations show that law enforcement is confronting multiple illegal sources of firearms. Half of the investigations involved firearms trafficked by straw purchasers,⁸ either an individual or a ring. A fifth of the investigations involved trafficking in firearms stolen from a Federally licensed firearms dealer, including licensed pawnbrokers (FFLs). Unregulated private sellers, as distinct from straw purchasers and other traffickers, were involved in 14 percent of the trafficking investigations; six percent of the investigations involved FFLs; and about 10 percent of the investigations involved gun shows and similar venues where both FFLs and unregulated private vendors sell firearms. Nearly 14 percent of the trafficking investigations involved firearms stolen from a residence.⁹

Convicted felons as traffickers. Over a third of the traffickers involved in the investigations had prior felony convictions, as had just under a third of traffickers who were firearms thieves and robbers, and just under a quarter of the straw purchasers who were traffickers.¹⁰ Felons obtained firearms from FFLs by using false identification or providing false information to the FFL.

Role of juveniles (ages 17 and under) and youth (ages 18 to 24). Juveniles were primarily involved in the trafficking investigations as possessors of firearms. However, a quarter of the investigations also involved juveniles as thieves or robbers of firearms, and nearly a fifth of the investigations involved juveniles as gun traffickers. Slightly fewer youth were involved in the investigations as thieves or robbers, but youth were nearly twice as likely to be involved as traffickers, and due to age restrictions on purchase of firearms, about ten times as likely to be involved as straw purchasers.¹¹

Straw purchaser relationships. Half of all investigations involved trafficking through some form of straw purchase.¹² More than 30 percent of the investigations involve groups of straw purchasers or straw purchasers working for a trafficker.¹³ Almost half of these involved straw purchasers who were friends of the trafficker. About 40 percent involved relatives or intimates. Close to a third involved straw purchasers paid with money or drugs.¹⁴

Smaller scale and larger scale trafficking. Trafficking occurred on different scales. Slightly less than 43 percent of the investigations involved 10 firearms or fewer; nearly 37 percent involved

⁷ See Appendix, table 9. Under the NFA, certain firearms and other weapons must be registered. (See U.S.C. chapter 53).

⁸ A "straw purchase" occurs when the actual buyer of a firearm uses another person, the "straw purchaser," to execute the paperwork necessary to purchase a firearm from an FFL. Specifically, the actual buyer uses the straw purchaser to execute the firearms transaction record, purporting to show that the straw purchaser is the actual purchaser of the firearm. Often, a straw purchaser is used because the actual purchaser is prohibited from acquiring the firearm because of a felony conviction or another firearms disability.

⁹ See Appendix, table 4. See also Appendix, table 10.

¹⁰ See Appendix, table 10.

¹¹ See Appendix, table 1.

¹² See Appendix, table 4.

¹³ See Appendix, table 11. Since the straw purchasers in an investigation may have different relationships with the trafficker(s), an investigation can be included in more than one category.

¹⁴ Ibid.

21 or more firearms; and nearly 15 percent involved 51 or more firearms. The two largest numbers of firearms reported in connection with a single investigation were 1,359 and 1,600 respectively.¹⁵ The mean number of straw purchasers associated with straw purchasing rings was close to two; the maximum number was 25. Similarly, the mean number of firearms thieves/robbers associated with trafficking in stolen guns was just under 3; the maximum number was 25.¹⁶

In-State and out-of-State trafficking. Overall, more than 70 percent of the juvenile and youth-related trafficking investigations involved intrastate firearms trafficking, while slightly less than half involved interstate firearms trafficking. (Some investigations involved both).¹⁵ But there were regional variations.¹⁸ Relative to other regions, there was a higher percentage of intrastate trafficking investigations in the Southwest, Central, and West regions of the United States, respectively. Investigations involving interstate trafficking were most frequent in the Northeast region, and least frequent in the Southwest.¹⁹

Regional variations in illegal trafficking methods. While the juvenile and youth-related investigations from each region of the country involve a variety of methods of gun trafficking, the relative mix of types of trafficking investigations differs by region.²⁰ Investigations involving *trafficking by straw purchasers or straw purchasing rings* were most prevalent in the Northeast and Central regions of the United States, and least prevalent in the Southwest and West. Investigations involving *trafficking in firearms stolen from FFLs* were most prevalent in the Southwest and least prominent in the Northeast. Investigations involving *unregulated private sellers*, as distinct from straw purchasers and other traffickers, were most prevalent in the West region, and investigations involving *FFL traffickers* were more frequent in the West and Central regions than in other regions.²¹

National Tracing Center (NTC) trace and multiple sales records as investigative tools.

Trafficking investigations depend on various investigative tools — crime gun and multiple sales form analysis, confidential informants, reports by FFLs, and referrals from other law enforcement agencies — each useful in particular circumstances. For instance, because NTC firearms traces generally end with the first retail purchaser, debriefing of arrestees is especially important when tracking the illegal source of a used gun. The investigative survey shows that while special agents are using a variety of investigative tools, analysis of NTC trace and multiple sales records was the most important factor resulting in trafficking investigations involving juveniles and youth, accounting for initiation of over 37 percent of the investigations.²²

¹⁵ See Appendix, table 6.

¹⁶ See Appendix, table 10.

¹⁷ See Appendix, table 5. As measured in the survey, this indicator does not distinguish between firearms trafficked to the state in the investigation or from the state in the investigation. Rather, it documents regional variation in interstate “movement” of trafficked firearms.

¹⁸ For purposes of a regional comparison, five regions were identified:

Northeast region: Boston, New York, Philadelphia, Baltimore, and Washington, DC field divisions;
Southeast region: Charlotte, Miami, Tampa, Atlanta, Nashville, and New Orleans field divisions;
Central region: Chicago, Columbus, Detroit, Kansas City, Louisville, and St. Paul field divisions;
Southwest region: Phoenix, Dallas, and Houston field divisions;
West region: Los Angeles, San Francisco, and Seattle field divisions.

¹⁹ See Appendix, table 12.

²⁰ Ibid.

²¹ Ibid.

²² See Appendix, table 2.

Additional Information on the Illegal Youth Firearms Market

One of the goals of YCGII is to collect, assess, and improve information on the illegal gun market. Toward that end, ATF has provided the National Institute of Justice \$300,000 to support research on the illegal gun market in selected YCGII cities. That research is ongoing at this time. This section summarizes key information from currently available published reports indicating that diversion of firearms from the legal to the illegal market is a source of crime guns to minors, and therefore an important focus for ATF investigative resources.

Crime gun trace analysis. Crime gun trace analyses use a measure called “time-to-crime” — the time it takes for a gun to move from retail purchase to recovery by law enforcement — to indicate whether illegal diversion may have occurred. Time-to-crime of three years or less is considered a trafficking indicator. Trace analysis can also show if law enforcement officials are recovering concentrations of certain makes of guns, and whether there are patterns associated with the obliteration of serial numbers.

Trace analysis indicates but does not precisely describe a trafficking problem. Fast time-to-crime does not by itself establish that a particular firearm was trafficked. The tracing process cannot show directly what happened in between the first retail sale of a firearm and its recovery by law enforcement — whether a firearm was legally purchased and later stolen; sold illegally by an FFL; bought by a straw purchaser, or any other of many possibilities.

*Boston trace study.*²³ A study of more than 1,500 firearms recovered from youth age 21 and under in Boston showed that 26 percent of all traceable firearms, and more than 40 percent of traceable semiautomatic pistols, had a time-to-crime of less than two years. Half of all the firearms with a time-to-crime of under two years were recovered by police within eight months of their retail sale by an FFL.²⁴ There was one make of firearm frequently recovered by police for which 90 percent of the traces showed a time-to-crime of less than three years.²⁵ Twenty percent of all guns recovered from youth had obliterated serial numbers.²⁶ The authors concluded that these findings “revealed the central role of an illicit gun market featuring a flow of relatively new, semiautomatic weapons.”²⁷

YCGII 1997 Trace Reports. ATF’s 1997 YCGII *Trace Reports*, a study of crime gun traces in 17 communities, concluded that there was a significant trafficking problem because “many recovered firearms are rapidly diverted from first retail sales at Federally licensed gun dealers to an illegal market that supplies juveniles and youth.”²⁸ Up to 43 percent of crime guns recovered from minors and 54 percent of crime guns recovered from possessors aged 18 to 24 showed a time-to-

²³ David Kennedy, Anne Piehl, and Anthony Braga, “Youth Violence in Boston: Gun Markets, Serious Youth Offenders, and A Use-Reduction Strategy,” *Law and Contemporary Problems*, Vol. 59, No.1, Winter 1996. P. 172.

²⁴ *Ibid.*

²⁵ *Ibid.* p. 173.

²⁶ *Ibid.* p. 174.

²⁷ *Ibid.* p. 149.

²⁸ “Crime Gun Trace Analysis Reports: The Illegal Youth Firearms Market in 17 Communities,” Department of the Treasury, Bureau of Alcohol, Tobacco and Firearms, July 1997. P. 8.

crime of three years or less.²⁹ Firearms recovered from juvenile and youth possessors showed a greater concentration by make and model relative to those recovered from older possessors.³⁰ The 1999 YCGII *Trace Reports* contain trace analysis from 27 communities.

Surveys. ATF also reviews published surveys of high school students and incarcerated juveniles that use self-reporting to find out how minors obtain firearms. The authors of the most important available survey of juvenile gun possessors, published in 1993, stated that only 12 percent of the juvenile inmates and 2 percent of the high school students reported stealing their most recent handguns.³¹ The authors reported that 7 percent of inmates and 11 percent of high school students personally bought their most recent gun from a gun store or a pawnshop.³² The authors also reported that a total of 32 percent of the inmates and 18 percent of the students had asked someone to purchase a gun for them in a gun shop, pawnshop, or other retail outlet, and that 12 percent of the inmates and 28 percent of the students indicated that if they needed a firearm they would either buy it from a store or ask someone to do so for them.³³ This survey is consistent with ATF's trace analysis and investigative information³⁴ in showing that diversion from retail sources is a significant source of crime guns for minors.

²⁹ Ibid.

³⁰ Ibid.

³¹ "Gun Acquisition and Possession in Selected Juvenile Samples," Sheley, Joseph F. And Wright, James D., U.S. Department of Justice, Office of Justice Programs, December 1993. P. 6.

³² Ibid.

³³ Ibid. pp. 6-7.

³⁴ See e.g. Appendix, table 11.

APPENDIX

Survey of ATF Trafficking Investigations Involving Juveniles and Youth

To conduct the survey, on December 31, 1998, the Assistant Director (Firearms, Explosives, and Arson) Jimmy Wooten requested all Division Directors to provide any information on all firearms trafficking investigations in their respective areas initiated after the Youth Crime Gun Interdiction Initiative commenced. ATF's budget dedicates special agents to YCGII cities beginning in Fiscal Year 1999; therefore, the investigative review covering prior years was not limited to YCGII cities. As part of this request, the Assistant Director provided a survey instrument to structure the investigation information. The survey instrument is reproduced at the end of this Appendix. All twenty-three field divisions responded by January 28, 1999.

The following tables provide an analysis of information received in response to the survey. The survey responses reported 1,604 illegal trafficking investigations. The tables below present information concerning those 648 investigations involving youth (ages 18 to 24) and/or juveniles (ages 17 and under), approximately 40 percent of the reported investigations.

Table 1: The Role of Youth and Juveniles in Trafficking Investigations

40.4% (648 of 1604) of the investigations involved YOUTH or JUVENILES or both.

Youth

38.9% (625 of 1604) of the investigations involved YOUTH (ages 18 – 24).

N = 625

Note: Since an investigation could involve youth in several roles, an investigation can be included in more than one category.

Role	Number	Percent
Possessor	337	53.9%
Trafficker	236	37.8%
Straw purchaser	149	23.8%
Thief/robber of firearms	122	19.5%

Juvenile

13.0% (209 of 1604) of the investigations involved JUVENILES (ages 17 and under).

N = 209

Note: Since an investigation could involve juveniles in several roles, an investigation can be included in more than one category.

Role	Number	Percent
Possessor	155	74.2%
Thief/robber of firearms	53	25.3%
Trafficker	40	19.1%
Straw purchaser	4	1.9%

Of the total of 1,604 investigations reported, 648 (40.4 percent) of these firearms trafficking investigations involved juveniles or youth or both. Juveniles and youth were most frequently involved in these investigations as possessors of trafficked firearms, with juveniles figuring more prominently as possessors. Youth were nearly twice as likely as juveniles to be involved as traffickers and, due to age restrictions on the purchase of firearms, about ten times as likely to be involved as straw purchasers. Juveniles were slightly more likely to be involved in these investigations as thieves and/or robbers of firearms than youths.

Table 2: Initiation of Investigation Involving Youth and Juveniles

Note: Since an investigation may be initiated in more than one way, an investigation can be included in more than one category.

Reason	Number	Percent
Referral from another state, local or federal agency	164	25.3%
Trace analysis after firearms recovery	159	24.5%
Confidential informant	126	19.4%
Review of multiple sales forms	83	12.8%
FFL reports burglary/theft/robbery to ATF	75	11.6%
FFL reported suspicious activity	62	9.6%
Developed from another ATF investigation	53	8.2%
ATF initiated investigation of suspicious activity (e.g. gun show task force, interstate theft task force, etc.)	28	4.3%
ATF Regulatory inspection of FFL records	13	2.0%
Tip by concerned citizen or anonymous source	10	1.5%
Other	1	0.2%

Overall, most of the trafficking investigations involving youth and juveniles were the result of referrals from other law enforcement agencies, firearms trace data analysis, and ATF-initiated investigations. Nearly 20 percent of the investigations (19.4 percent) were initiated through information obtained from a confidential informant or tip. In 9.6 percent of the investigations, FFLs reported suspicious activity to ATF. About 12 percent of the investigations were initiated by FFLs reporting burglaries, thefts, and robberies to ATF.

Table 3: Violations in the Main Investigations Involving Youth and Juveniles

Note: Since an investigation may involve multiple violations, an investigation may be included in more than one category.

Violation	Number	Percent
Straw purchasing	310	47.8%
Dealing without a license	188	29.0%
Possessing/receiving/trafficking stolen firearms	149	23.0%
Burglary/theft/robbery of		
FFL/common carrier/manufacturer	134	20.7%
Purchase/possession/sales by felon	133	20.6%
Non-licensee engaging in interstate firearms trafficking	86	13.3%
Providing false information to acquire firearms	76	11.8%
Possession/manufacture/trafficking of NFA weapons	72	11.1%
Trafficking	63	9.7%
Obliterating or altering serial numbers	58	9.0%
Sales to prohibited persons	51	7.9%
Receipt/possession/sales by prohibited persons	31	4.8%
Use of gun during violent crime or drug trafficking	29	4.5%
International firearms trafficking	23	3.5%
FFL failure to keep required records	20	3.1%
Trading guns for drugs	17	2.6%
FFL transfer to prohibited persons	15	2.3%
Providing firearms to juveniles	12	1.9%
Providing gun to be used in violent/ drug crime	10	1.5%
FFL making false entries in records	9	1.4%
Non-licensee trafficking to felons	9	1.5%
Trafficking/possession by illegal alien	6	1.0%
FFL conducts illegal out-of-state transfer	4	0.6%
Other FFL violations (selling away from premises, failure to report multiple sales, failure to conduct Brady check)	4	0.6%
Transfer/receive firearms through interstate commerce with intent to commit felony	3	0.5%
Possession/manufacture/transfer of illegal assault weapon	3	0.5%
Armed career criminal	2	0.3%
Failure to notify common carrier of firearms shipment	2	0.3%
Unspecified violation(s)	3	0.5%

A wide variety of apparent violations were uncovered during the investigations. Most of the violations involved "selling" violations (for example, dealing without a license) and "buying" violations (for example, straw purchasing). Violations involving the theft of firearms also figured prominently. Slightly less than 20 percent of the violations specified in the investigations involved convicted felons buying, selling, or possessing firearms. Only 3.5 percent of the investigations involved international trafficking violations and 11 percent of the investigations involved NFA violations.

Table 4: Sources of Firearms Trafficking Identified in Investigations Involving Youth and Juveniles

Note: Since firearms may be trafficked along multiple channels, an investigation may be included in more than one category.

Source	Number	%
Firearms trafficked by straw purchaser or straw purchasing ring	330	50.9%
Trafficking in firearms stolen from FFL	134	20.7%
Trafficking in firearms by unregulated private sellers*	92	14.2%
Trafficking in firearms stolen from residence	88	13.6%
Trafficking in firearms at gun shows, flea markets, auctions, or in want ads and gun magazines	64	9.9%
Firearms trafficked by licensed dealer, including pawnbroker	41	6.3%
Street criminals buying and selling guns from unknown sources	26	4.0%
Trafficking in firearms stolen from common carrier	16	2.5%
Other sources (e.g. selling guns over internet, illegal pawning)	9	1.4%

Half of the investigations involved firearms being trafficked by straw purchasers. Slightly more than 14 percent of the trafficking investigations involved firearms sold by unregulated private dealers and about 10 percent involved firearms diverted at gun shows or other secondary market sources. Trafficking by licensed dealers was involved in only 6.3 percent of the investigations.

*as distinct from straw purchasers and other traffickers

Table 5: Interstate, Intrastate, and International Trafficking in Investigations Involving Youth and Juveniles

Destination of trafficked firearms	Number	Percent
Intrastate	478	73.8%
Interstate	302	46.6%
International	40	6.2%
Unknown	10	1.5%
Mutually exclusive categories:		
Intrastate only	319	49.2%
Interstate only	142	21.9%
Interstate and intrastate	137	21.1%
Interstate, intrastate, and international	21	3.2%
International only	16	2.5%
Interstate and international	2	0.3%
Intrastate and international	1	0.1%
Unknown	10	1.5%

More than 70 percent of the investigations involved intrastate firearms trafficking while slightly less than half of the investigations involved interstate firearms trafficking. Only 21 percent of the investigations involved firearms being trafficked both interstate and intrastate. Firearms were trafficked internationally in about six percent of the investigations.

Table 6: Number of Firearms Involved in Trafficking Investigations Involving Youth and Juveniles

N=648

<u>Range</u>	<u>Number</u>	<u>Percent</u>
Less than 5	130	20.1%
5 – 10	147	22.7%
11 – 20	123	19.0%
21 – 50	142	21.9%
51 – 100	54	8.3%
101 – 250	26	4.0%
251 or greater	17	2.6%
Unknown	9	1.4%

A total of 26,928 firearms were reported to be involved in these 648 investigations. Slightly less than 43 percent of the investigations involved 10 firearms or less; nearly 37 percent involved 21 or more firearms; and nearly 15 percent involved 51 or more firearms. The two largest numbers of firearms reported in connection with a single investigation were 1,359 and 1,600, respectively.

Table 7: New, Used, and Stolen Guns in Trafficking Investigations Involving Youth and Juveniles

Note: Since more than one type of firearm can be recovered in an investigation, an investigation can be included in more than one category.

Type of firearm	Number	Percent
New guns	507	78.2%
Used guns	357	55.1%
Stolen guns	227	35.0%
Unknown	8	1.2%
Stolen firearms:		
New guns	136	61.2%
Used guns	182	80.2%
Mutually exclusive categories for new and used firearms:		
New guns only	283	43.6%
New and used guns	224	34.5%
Used guns only	133	20.5%
Unknown	8	1.2%

The investigations involved the trafficking of new, used, and stolen firearms, with new firearms figuring more prominently. Both new and used firearms were also trafficked in investigations involving stolen firearms, with used firearms figuring more prominently. New and used guns were trafficked together in almost thirty-five percent of the investigations.

Table 8: Trafficked Firearms Known to Have Been Involved in Subsequent Crimes

67.3% of the investigations (436 of 648) had at least one firearm known to have been recovered in subsequent crime.

N = 436

Note: Since firearms recovered in an investigation may be used in many different types of crime, an investigation can be included in more than one category.

Crime	Number of cases with at least one	Percent
Criminal possession (not felon in possession)	237	54.3%
Felon in possession	199	45.6%
Drug offense	134	30.7%
Assault	124	28.4%
Juvenile possession	101	23.1%
Robbery	78	17.9%
Homicide	78	17.9%
Property crime	71	16.2%
Sexual assault/ rape	9	2.1%
Other crime	14	3.2%

In more than two-thirds of the investigations, improperly transferred firearms were known to have been subsequently involved in additional crimes. More than half of these investigations involved firearms associated with illegal possession; more than 45 percent involved firearms associated with felons in possession; more than 23 percent of the investigations were associated with juvenile possession. Twenty-eight percent of the investigations were associated with assaults; and nearly 18 percent were associated with homicides and robberies, respectively.

Table 9: Weapons Associated with NFA Violations in Investigations Involving Youth and Juveniles

N = 72

Note: Since investigations may involve different types of NFA weapons, an investigation can be included in more than one category. However, "converted guns" have not been included in the "machine gun" count.

NFA weapon	Number of cases with at least one	Percent
Sawed-off shotguns/short-barrel rifles & shotguns	43	59.7%
Machine guns	19	26.4%
Silencers	14	19.4%
Other explosives (e.g. blasting caps)	5	6.9%
Converted guns	4	5.6%
Grenades/Grenade launchers	3	4.2%
Conversion kits/parts	1	1.4%

About 11 percent (72 of 648) of the investigations involved NFA weapons violations. Nearly 60 percent involved sawed-off shotguns and/or short-barrel firearms and nearly 20 percent involved silencers. More than a quarter of these investigations involved machine guns and slightly more less 20 percent involved firearms converted to fully automatic.

Table 10: Firearms Traffickers Identified in Investigations Involving Youth and Juveniles

In the 648 investigations, ATF agents identified...

Role	Number of participants	Investigations identifying at least one		Number of participants		Felony conviction	
	N	N	Percent	Mean	Max	N	Percent
Straw purchaser working for trafficker	330	201	31.0%	1.6	25	17	5.2%
Firearms thief/robber	484	173	26.7%	2.8	25	145	30.0%
Trafficker is the straw purchaser	141	127	19.6%	1.1	3	34	24.1%
FFL Trafficker	47	31	4.7%	1.5	10	3	6.4%
Former FFL	4	4	0.6%	1	1	0	0.0%
Other trafficker	463	302	46.6%	1.5	23	170	36.7%

Table 11: Straw Purchaser Relationships

There were 201 investigations where ATF agents identified at least one straw purchaser working for the trafficker(s). In these investigations, the relationships between the straw purchaser and the trafficker(s) were described as:

Relationship	N of cases	Percent
Friend	95	47.3%
Business (paid with money or drugs to buy guns)	60	29.9%
Relative	45	22.4%
Intimate (spouse or girlfriend)	37	18.4%
Member of same gang	15	7.5%

Note: Since the straw purchasers in an investigation may have different relationships with the trafficker(s), an investigation can be included in more than one category.

Table 12: Highlights of Regional Differences in Investigations Involving Youth and Juveniles

Note: Categories are not mutually exclusive.

	Northeast	Southeast	Central	Southwest	West
Firearms trafficked by straw purchaser or straw purchasing ring	65.1%	44.1%	55.1%	27.8%	31.3%
Trafficking in firearms stolen from FFL	10.1%	31.6%	14.0%	40.0%	25.0%
Trafficking in firearms stolen from residence	10.5%	8.1%	16.9%	24.4%	14.5%
Trafficking in firearms stolen from common carrier	2.1%	4.4%	1.5%	1.1%	4.2%
Trafficking in firearms at gun shows, flea markets, auctions, or through want ads and gun magazines	5.9%	9.5%	11.8%	11.1%	22.9%
Trafficking in firearms by unregulated private sellers*	12.6%	10.3%	16.1%	14.4%	27.0%
Firearms trafficked by licensed dealer, including pawnbrokers	3.4%	5.8%	11.0%	5.5%	10.4%
Possession/manufacture/trafficking of NFA weapons	9.2%	6.6%	11.8%	14.4%	25.0%
Firearms trafficked interstate	55.4%	45.6%	41.9%	30.0%	50.0%
Firearms trafficked intrastate	59.7%	68.4%	88.9%	90.0%	85.4%
New firearms	79.8%	88.2%	76.4%	61.1%	79.2%
Used firearms	42.4%	52.2%	57.4%	80.0%	72.9%

* as distinct from straw purchasers and other traffickers

Northeast region: Boston, New York, Philadelphia, Baltimore, and Washington, DC field divisions
 Southeast region: Charlotte, Miami, Tampa, Atlanta, Nashville, and New Orleans field divisions
 Central region: Chicago, Columbus, Detroit, Kansas City, Louisville, and St. Paul field divisions
 Southwest region: Phoenix, Dallas, and Houston field divisions
 West region: Los Angeles, San Francisco, and Seattle field divisions

Methodology

The preceding analyses are based on a survey of ATF special agents reporting information about recent trafficking investigations. The investigations reflect what ATF has encountered and investigated; they do not necessarily reflect typical criminal diversions of firearms or the typical acquisition of firearms by youth and juveniles. Nevertheless, they suggest that the criminal diversion of firearms is an important crime and public safety problem.

The analyses use data from investigations referred for prosecution and adjudicated (41.4 percent of the investigations), and investigations that have not yet been referred for prosecution. Thus, not all violations described will necessarily be charged as crimes or result in convictions. As a consequence, the exact number of offenders in the investigation, the number and types of firearms involved, and the types of crimes associated with recovered firearms may not have been fully known to the case agents at the time of the survey, and some information may be underreported. For example, it is likely that the number of firearms involved in the investigations could increase, as could as the number and types of violations, as more information is uncovered by the agents working the investigations.

Information generated as part of a criminal investigation also does not necessarily capture all data about trafficking and trafficking patterns. For example, investigative information necessary to build a strong case worthy of prosecution may provide very detailed descriptions of firearms used as evidence in the case but may not even estimate, much less describe in detail, all the firearms involved in the trafficking enterprise.

Information was not provided with enough consistency and specificity to determine the number of handguns, rifles, and shotguns trafficked in a particular investigation. Likewise, special agents may not have information on trafficked firearms subsequently used in crime since such information is not always available. Comprehensive tracing of crime guns does not exist nationwide and, until the very recent Youth Crime Gun Interdiction Initiative, most major cities did not trace all recovered crime guns. The figures on new, used, and stolen firearms reflect the number of investigations in which the traffickers were known to deal in these kinds of weapons. The figures on stolen firearms are subject to the usual problems associated with determining whether a firearm has been stolen. Many stolen firearms are not reported to the police. Such limitations apply to much of the data collected in this research.

Except where noted, the unit of analysis in the review of investigations is the investigation itself. The data show, for example, the proportion of investigations that were known by agents to involve new, used, and stolen firearms, but these figures do not represent a proportion or count of the number of new, used, or stolen firearms being trafficked. The data show what proportion of investigations were known to involve a firearm subsequently used in a homicide, but not how many homicides were committed by firearms trafficked. It was not possible to gather more specific information within the short timeframe of the study.

Finally, this is the first time ATF has attempted to gather this information from its field divisions. The analysis in this report is based on the best information currently available. The *Performance Report* study framework did not permit a detailed review and verification of all the submitted information. With the continued development of the Youth Crime Gun Interdiction Initiative, ATF intends to pursue more routine, detailed, and verified reporting from its field divisions to facilitate analysis of the effectiveness of enforcement and the development of enforcement policies.

Survey Instrument

ATF Field Division:

ATF Investigation Number:

Investigation Title:

How was the investigation initiated?

- 1= confidential informant
- 2= referral from another state, local, or federal agency
- 3= FFL reported suspicious activity
- 4= developed from another investigation
- 5= review of multiple sales forms
- 6= Project LEAD or other local tracing project
- 7= gun recovered and traced to origins
- 8= ATF initiated investigation of suspicious activity (e.g. ATF Gun Show Task Force)
- 9= ATF Regulatory inspection of FFL records
- 10= anonymous tip
- 11= other Please specify: _____

What were the violations in the investigation?

Please use the space below to write all violations associated with the traffickers in the investigation (e.g., trafficking, straw purchasing, dealing by non-licensed individuals, "off paper" sales, sales to prohibited persons, obliterating firearms, etc.)

Were there any Title II violations in this investigation?

0= NO

1= YES

Please use the space below to described the Title II violations (e.g., machine guns, converted guns, conversion kits, silencers, grenades, short barreled firearms, etc.).

Please describe the trafficking enterprise.

Circle all appropriate trafficking channels listed below. For example, if a FFL was trafficking firearms at a flea market, choices 1 and 7 would be selected.

- 1= Firearms trafficked by licensed dealer, including pawnbroker.
- 2= Firearms trafficked by straw purchaser or straw purchasing ring.
- 3= Trafficking in firearms stolen from FFL.
- 4= Trafficking in firearms stolen from common carrier.
- 5= Trafficking in firearms stolen from residence.
- 6= Trafficking in firearms by unregulated private sellers.
- 7= Trafficking in firearms at gun shows, flea markets, auctions, or want ads and gun magazines.
- 8= Other. Please specify: _____

Were there NEW guns being trafficked?

0= NO 1= YES

Were there OLD guns being trafficked?

0= NO 1= YES

Were there USED guns being trafficked?

0= NO 1= YES

Were the firearms being trafficked INTERSTATE?

0= NO 1= YES

Were the firearms being trafficked INTRASTATE?

0= NO 1= YES

Were the firearm being trafficked INTERNATIONALLY?

0= NO 1= YES

Please describe the number and types of firearms involved in the investigation.

Please provide as much detail as possible; if the number of handguns and long guns are not known, only fill in the number of firearms.

Total number of firearms: _____

Total number of handguns: _____

Total number of long guns: _____

Total number of rifles: _____

Total number of shot guns: _____

Beyond the number of firearms known to be involved in the investigation, please estimate the number of firearms that may have been trafficked by the individual(s) under investigation.

Estimated firearms: _____

Did this investigation involve YOUTH (person ages 18-24)?

0= NO

1= YES

If yes, how were youth involved? Circle all that apply

1= straw purchaser(s)

2= trafficker(s)

3= possessor(s) of trafficked firearms

4= thief/robber(s)

5= other.

Please specify: _____

Did this investigation involve JUVENILES (person ages 17 and under)?

0= NO

1= YES

If yes, how were juveniles involved? Circle all that apply

1= straw purchaser(s)

2= trafficker(s)

3= possessor(s) of trafficked firearms

4= thief/robber(s)

5= other.

Please specify: _____

Were the trafficked firearms known to be recovered in subsequent crimes?

0= NO

1= YES

If yes, please enter the number for each crime below. If exact numbers are unknown, please simply put a check in the space provided.

Homicide:	_____
Assault:	_____
Robbery:	_____
Sexual assault/ rape:	_____
Property crime:	_____
Felon in possession:	_____
Juvenile in possession:	_____
Illegal possession:	_____
Drug offense:	_____
Other (please specify):	_____

15. Please provide information on the defendant(s) in the investigation. Please use the space below to describe their role in the case (e.g. straw purchaser, FFL, trafficker, etc.), age, sex, race, and whether the person had a felony record.

16. If there were straw purchasers involved in this investigation, please provide any information you may have on the relationship between the straw purchaser and the actual trafficker. Please circle all that apply.

1= Friend

2= Intimate

3= Relative

4= Business relationship (paid with money or drugs to buy guns for the trafficker)

5= Straw purchaser is the trafficker.

6= Other

Please specify: _____

17. Has this case been adjudicated?

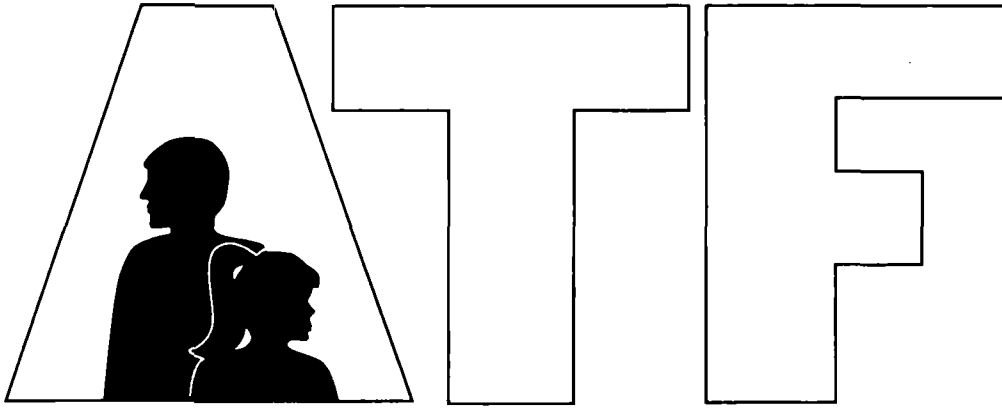
0= NO

1= YES

18. Please use this page to summarize any other pertinent information on this investigation.

This report is also accessible via the Internet on the ATF website:
<http://www.atf.treas>

For further information or additional copies of this report, contact ATF's
Office of Liaison and Public Information
(202) 927-8500



The Youth Crime Gun Interdiction Initiative

Performance Report

For the

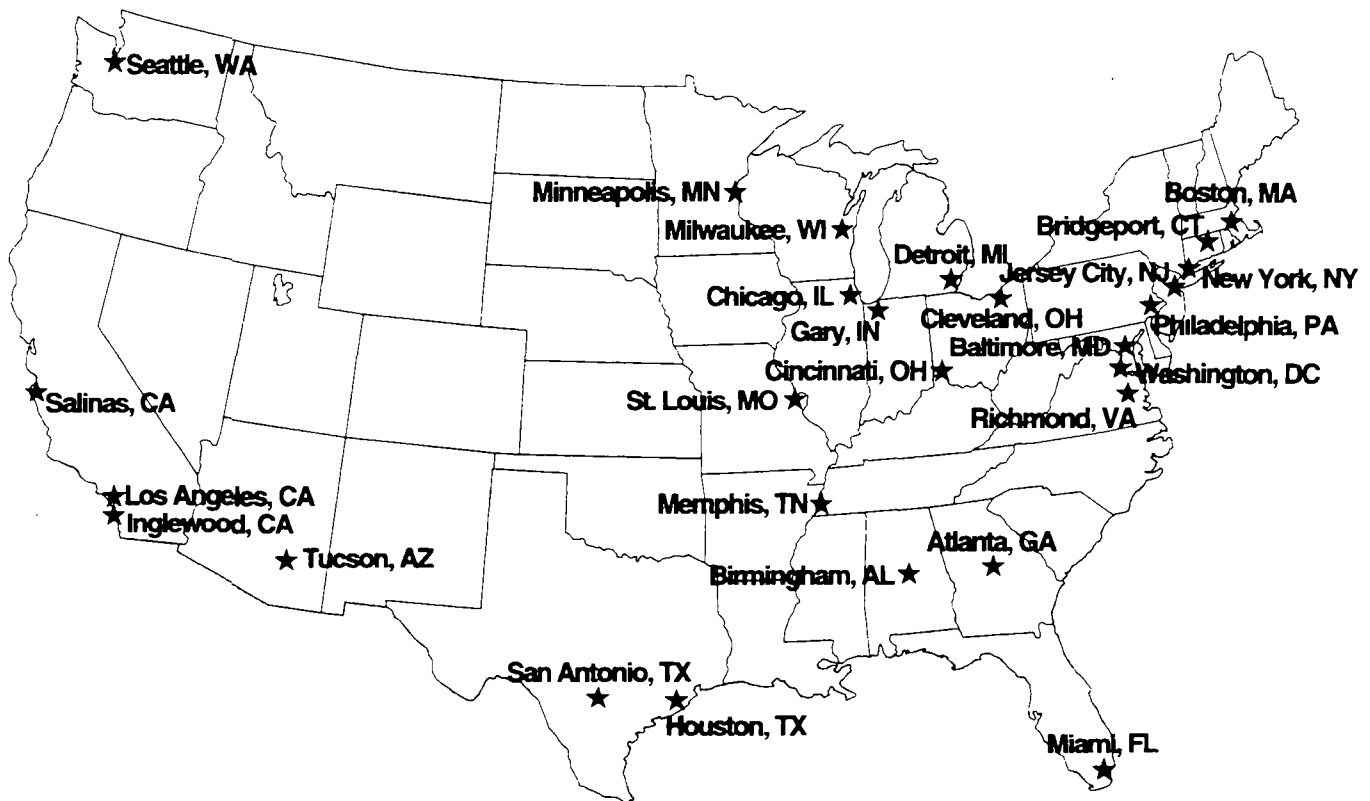
**Senate and House Committees on Appropriations
Pursuant to Conference Report 105-825
October 1998**

February 1999
Department of the Treasury
Bureau of Alcohol, Tobacco, and Firearms



ATF Youth Crime Gun Interdiction Initiative

27 Communities





DEPARTMENT OF THE TREASURY
WASHINGTON, DC

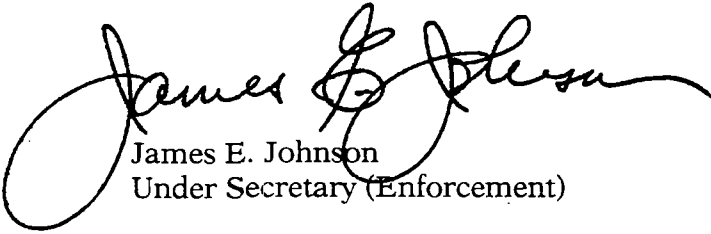
**Youth Crime Gun Interdiction Initiative
Performance Report
February 1999**

This is a report on the performance of the Youth Crime Interdiction Initiative (YCGII), as requested by the Senate and House Committees on Appropriations (*Performance Report*).¹ The YCGII, part of ATF's national illegal firearms trafficking program, is developing information about how juveniles and criminals illegally obtain crime guns, and using that information to support Federal, State, and local law enforcement efforts to reduce illegal access to firearms. Congress appropriated \$27 million for YCGII for Fiscal Year 1999 to support comprehensive crime gun tracing (\$11 million), and to add 162 ATF special agents to strengthen enforcement of the firearms laws (\$16 million). We are pleased to report substantial accomplishments with respect to both tracing and investigative activity.

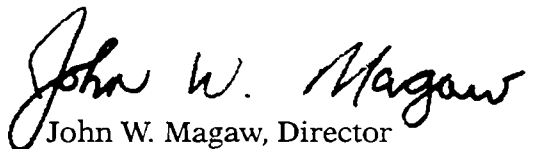
A cornerstone of YCGII is support for comprehensive crime gun tracing by law enforcement agencies. Firearms tracing serves three critical law enforcement purposes. Individual traces can allow law enforcement to solve individual crimes by confirming a link between the accused and the firearm. Comprehensive tracing maximizes the investigative leads derived from tracing about the illegal sources of firearms used in crime. Analysis of comprehensive trace information provides law enforcement with needed strategic information about local, regional, and national patterns of illegal gun trafficking. A separate publication, the *1999 YCGII Crime Gun Trace Analysis Reports: 27 Communities (Trace Reports)*, presents analyses of crime gun traces from the 27 communities that participated in YCGII during Fiscal Year 1998.

ATF's greatest strength is its human resources. This *Performance Report* provides a summary of actions taken to hire special agents as directed by Congress; a report of ATF case activity involving youth and juveniles in the 27 cities; and a review of over 640 illegal trafficking investigations involving juveniles and youth nationwide that shows the types of illegal trafficking activity being uncovered. ATF's investigations demonstrate that there is illegal trafficking in new, used, and stolen firearms involving juveniles and youth, and that law enforcement officials are identifying and arresting illegal traffickers using crime gun trace analysis and other means.

The YCGII *Trace Reports* and this *Performance Report* show fulfillment of Congress' intent to strengthen ATF's efforts to identify and arrest criminals involved in illegal gun trafficking to juveniles and youth. Youth violence is declining nationally, but is still historically high. By continuing to investigate and reduce the illegal sources of firearms, we can further reduce youth violence.



James E. Johnson
Under Secretary (Enforcement)



John W. Magaw, Director
Bureau of Alcohol, Tobacco and Firearms

¹ The Statement of Managers accompanying the 1998 Conference Report stated that: the conferees believe that the proposed increase in funding must be supported by evidence of a significant reduction in youth crime, gun trafficking and availability. The conferees would like to see additional evidence linking the Youth Crime Interdiction Initiative (YCGII) to a corresponding decrease in gun trafficking among youths and minors. Therefore, the conferees direct ATF to report no later than February 1, 1999 on the performance of YCGII.

Youth Crime Gun Interdiction Initiative (YCGII)

Performance Report

February 1999

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ATF Activity Report

Through the Youth Crime Gun Interdiction Initiative (YCGII), Congress is providing resources for crime gun tracing and for investigative resources to attack the illegal gun market supplying juveniles and criminals. These resources are supporting Federal, State, and local activities. With funding already provided, the Bureau of Alcohol, Tobacco and Firearms (ATF) has assisted law enforcement agencies in 27 cities in instituting comprehensive crime gun tracing; has provided city-specific trace analysis reports for those cities, reporting on over 76,000 trace requests in the reports being published in 1999; has initiated over 640 juvenile and/or youth-related illegal trafficking investigations nationwide involving almost 27,000 illegally trafficked firearms since YCGII began in July 1996, including 350 investigations in the 27 YCGII cities since the beginning of Fiscal Year 1998; is hiring 162 additional agents as directed by Congress to follow up on illegal trafficking leads; and has supported the development of State and local law enforcement agency anti-gun trafficking capability.

Crime gun tracing. YCGII began in July 1996. Until Fiscal Year 1999, start-up funds to support the program came primarily from the Treasury Asset Forfeiture Fund (TAFF), which are not available for funding full time permanent employees. Therefore, the first two years of funding, approximately \$12 million from the TAFF, and \$1.25 million appropriated by Congress in Fiscal Year 1998, have been used to build a foundation of city-based comprehensive crime gun tracing. Through YCGII, ATF has supported 27 cities in developing systems that allow them to trace all recovered crime guns. ATF has also improved its own systems for receiving, responding to, and analyzing the city trace information. The National Tracing Center (NTC) enters investigative trace information into Project LEAD, a crime gun information system, which is supplied to ATF offices for law enforcement use locally. City-specific crime gun analysis, as opposed to the law enforcement sensitive information entered into Project LEAD, is published for Federal, State, and local use in the annual YCGII *Trace Reports*. An important development has been the provision of trace information by age group. Both Project LEAD and the *Trace Reports* now report trace information by age group in order to assess and target enforcement activity more effectively. ATF received a total of over 190,000 trace requests from around the country in 1997 and 1998 respectively. Through YCGII, ATF provided crime gun trace analysis on 37,000 trace requests from 17 cities in the 1997 *Trace Reports*, and is providing analysis on over 76,000 trace requests from 27 cities in the 1999 *Trace Reports* (covering 1998 activity). Further, detailed information about crime gun tracing is included in the *Trace Reports*, which will be published this month.

New ATF special agents. In Fiscal Year 1999, Congress appropriated funding for 81 FTE to support 162 special agent positions annually in connection with the YCGII. ATF is in the process of hiring new agents, in this, the first year where positions have been earmarked. ATF expects the new agent positions to be filled by the end of the Fiscal Year. Congress stipulated that experienced special agents be assigned to support the YCGII in the cities designated, and to date, approximately 50 special agents have been so assigned. To make the best decisions about agent designation, ATF's field divisions are currently in the process of assessing not only the crime gun activity in each division, but also how other YCGII cities are affected by trafficking from within their region. This assessment is supported by the information acquired from comprehensive crime gun tracing by participating police departments, as well as ATF trace analysis that sorts the trace information geographically. Assignment of the Congressionally designated resources is expected to be completed in the third quarter of the Fiscal Year.

ATF investigative activity. One purpose of YCGII is to assist ATF in addressing the increase in juvenile and youth homicides that occurred between the mid-eighties and mid-nineties. YCGII investigations therefore include any investigation involving a juvenile (ages 17 and under) or a youth (ages 18 to 24). ATF makes every effort to ensure that investigative resources and activities provide the greatest possible return on dollars invested. YCGII was designed to use trace infor-

mation to help realize the maximum potential of these resources. The trace results and information about trafficking patterns generated by the tracing component of YCGII are paying significant dividends in allowing ATF to more effectively identify and investigate firearms traffickers throughout the country. To establish a baseline for evaluation of ongoing investigative activity, ATF recently conducted a survey of all its divisions to determine the nationwide level of investigative activity involving illegal gun trafficking, and in particular illegal gun trafficking involving juveniles and youth. ATF field divisions nationwide reported over 1,600 illegal trafficking investigations. Of these, 648 (40.4 percent) involved juveniles and/or youth; 209 (13 percent) involved juveniles, and 625 (38.9 percent) involved youth. These figures are consistent with crime gun trace information to be provided in the YCGII *Trace Reports*, which shows that of the crime guns recovered by law enforcement agencies in the 27 participating cities, approximately 11.3 percent were recovered from juveniles, and 32.4 percent from youth. The survey indicates that over 37 percent of illegal trafficking investigations were initiated through the analysis of firearms trace and multiple sales records. The next section of this *Performance Report* contains detailed information from the ATF survey of illegal trafficking investigations. Although YCGII did not receive funding for additional agent resources until the current Fiscal Year, ATF achieved the following in YCGII cities using available agent resources and working together with State and local agencies:

- ATF initiated 301 YCGII investigations in FY 1998.
 - The number of investigations increased every quarter, as follows: 1st: 47; 2nd: 74; 3rd: 87, 4th: 93.
 - ATF recommended 151 YCGII cases including 276 defendants for Federal prosecution.
 - ATF recommended 19 cases including 36 defendants for State prosecution.
 - These 301 investigations involved 3,347 illegally trafficked firearms.
- In the first quarter of Fiscal Year 1999, ATF initiated 91 YCGII investigations.
 - ATF recommended 57 cases including 77 defendants for Federal prosecution.
 - ATF recommended 5 cases including 8 defendants for State prosecution.
 - These 91 investigations involved 855 illegally trafficked firearms.

State and local investigative activity. A primary function of YCGII is to supply crime gun information to State and local law enforcement agencies, to support local enforcement activity, and to strengthen collaborative enforcement efforts. Although ATF has not collected information on State and local investigative activity undertaken outside joint task forces, ATF field offices report that State and local law enforcement agencies are increasingly focused on the illegal gun supply, and are using crime gun tracing information to support investigations and prosecutions under State and local laws. These agencies often supplement ATF crime gun trace data and other shared investigative information with ballistics data and State and local firearms investigative leads. These local units may be linked with ATF formally, through joint task forces, through informal communications, or even simply through the use of trace information. They may be combined with gang or drug units, or organized as a separate gun unit. Examples of local law enforcement agency gun units are the Los Angeles Police Department's Youth Crime Gun Interdiction Detail, and units in the Baltimore, Richmond, and Chicago police departments. The YCGII *Trace Reports* lists a number of locally based local youth violence and gun enforcement initiatives. The value of YCGII was recognized by the International Association of Chiefs of Police, which adopted a resolution recommending tracing and trafficking strategies to its members. This will encourage more police departments to work with ATF in using trace information to understand the illegal gun market and to identify and arrest illegal gun traffickers.

Further indication of increasing law enforcement focus on the illegal firearms supply comes from developments at the State level. Since YCGII began in 1996, two states, Connecticut and California, have enacted State-wide crime gun tracing laws, and Maryland has established a State-wide gun enforcement initiative working closely with ATF. These States join New Jersey, where

gun enforcement initiative working closely with ATF. These States join New Jersey, where through an agreement sponsored by the U.S. Attorney, local jurisdictions are cooperating in State-wide tracing through a gun tracing and enforcement program called Project LISA.

Using the resources: some highlights. The following are a few examples of successful trafficking investigations focused on interdicting youth crime guns. There are dozens of other similar cases being worked and brought to successful conclusion which are in various stages of investigation and adjudication.

Cleveland, Ohio: Interstate trafficking, corrupt FFL. ATF traced three firearms recovered in New Jersey to an FFL operating in the Cleveland, Ohio area. Two of the firearms had been used in homicides; one of the possessors was a youth. Upon investigation, ATF determined that the FFL had received at least 50 firearms from wholesalers of which only 11 were accounted for in his records. The FFL had recently gone out of business and failed to submit his records to ATF for use in crime gun tracing. Several of the firearms shipped to the trafficker ended up in the hands of youth and were recovered by police. None of the recovered firearms were found in possession of the first purchaser of record and some were the unrecorded firearms. The FFL stated that he had sold between 20 and 30 firearms "off paper", delivering the guns without performing Brady checks or the required purchase forms. The FFL pleaded guilty to a felony firearms violation, was sentenced to a short prison term to be followed by two years of supervised release, and was fined.

Milwaukee, Wisconsin: Intrastate trafficker; guns for drugs. ATF traced a Lorcin .380 caliber semiautomatic pistol recovered from a 17 year old member of the Latin Kings gang to a gun shop in northern Wisconsin, nearly 200 miles from Milwaukee, and through Project LEAD learned that Milwaukee police had recovered another Lorcin handgun from the same neighborhood as the first Lorcin, purchased from the same gun shop. A retired security police officer for the U.S. Army was identified as the first purchaser in both instances. Around the same time, an individual facing drug charges provided information concerning an ex-police officer who traded guns in exchange for marijuana. ATF agents used the information to set up a sting in which the retired security police officer exchanged four handguns for 1.5 pounds of marijuana. The defendant was sentenced in a Federal court to five years imprisonment.

Philadelphia, Pennsylvania: Straw purchase for and trafficking by a felon. A straw purchaser and a trafficker conspired to purchase over 50 semiautomatic rifles, boxes of high-powered ammunition, and accessories such as one hundred round drum magazines, high-powered scopes and laser sights. Seven rifles were recovered, some in connection with drug activity. One rifle was linked via ballistics tests to homicides. ATF traced the majority of the recovered firearms to the purchaser, who further investigation revealed had given them to a convicted felon. The purchaser and the felon operated in high crime areas of North Philadelphia and sold AK-47 type rifles to persons suspected of being local drug traffickers. One of the sales was made to a juvenile. A jury found the suspects guilty on all counts, including firearms trafficking and possession of a firearm in a school zone. The felon-trafficker received a sentence of eleven years and four months in prison, followed by three years of supervised release. The straw purchaser was sentenced to four years and nine months in prison, followed by three years of supervised release. The defendants are appealing their conviction based on the length of the sentence.

Richmond, Virginia: Straw purchaser for gang at gun shows. A trafficker who was a gang member used a straw purchaser to buy firearms at gun shows for other gang members. This case involved the Charlie Boys street gang, linked to gang warfare involving numerous homicides over the previous three years. ATF, working with the Richmond Street Crimes Unit, has been able to document 11 such weapons, purchased over a five month period, of which eight were recovered in crimes. Almost all the guns were bought from Federally licensed firearms dealers at gun shows. The trafficker acted as a straw purchaser for fellow gang members. In

return for his plea to aiding and abetting the illegal possession, trafficking charges were dropped. The trafficker has been convicted and sentenced to 6 years and 6 months in Federal Prison. The trafficker's two co-defendants were also successfully prosecuted for their possession of the firearms provided by the trafficker. Each co-defendant received 5 years and 10 months for their participation with the guns provided by the trafficker. The gang leader was also successfully prosecuted separately and received 16 years and 3 months. These cases were made through vigorously enforcing the firearms statutes in conjunction with Project Exile and YCGII.

Tucson: Trafficking at gun shows of firearms bought from gun stores. Over a nearly two year period, this trafficker bought 595 firearms from three FFLs and sold them illegally from his residence and at gun shows, some to youth and juveniles. One gun recovered in Los Angeles was involved in a homicide. His gun show sales table displayed handguns and a sign advertising guns for sale "Private Sale, No Paper Work, No City Sales Tax, Cash Only." In light of his advanced age, the defendant was permitted to plead guilty to a Federal firearms misdemeanor and relinquished his right to his remaining firearms.

Measuring success. According to the Department of Justice, the overall rate of violent crime committed with guns is down 27 percent from 1993. The youth crime rate is also down, although it remains historically high. Many factors have been cited as contributing to this decline, including community policing and innovative joint local law enforcement efforts, prevention programs, penalty and sentencing policies and incarceration rates, changes in the illegal drug market, and the increased focus on firearms enforcement. New developments in firearms enforcement since 1993 include Brady background checks, Federal firearms licensing reform, and, pursuant to YCGII and related programs, increased crime gun tracing which is supporting Federal, State, and local efforts to reduce illegal gun trafficking, carrying, and possession by criminals and juveniles.

The most immediate measure of the success of YCGII lies in the investigations of illegal trafficking cases, which have resulted in participating YCGII cities in the submission for prosecution of almost 400 defendants. That combined with the interception of thousands of trafficked firearms provides tangible relief to the public from the additional crimes that these firearms and defendants would inflict upon society, as indicated by ATF's published performance measures for these critical areas. Through YCGII funding, ATF has made extensive use of independent academic experts to assess firearms trafficking patterns and support ATF in providing accurate information to Federal, State and local law enforcement about these patterns. Given the recent advent of Federal, State, and local focus on firearms trafficking, no baselines currently exist against which to measure changes in illegal trafficking. Through the work of YCGII and similar activities these baselines are now being created. At this early stage of research on the relationship between firearms trafficking and the illegal acquisition of firearms by juveniles and youth, additional work by academics and practitioners, such as longitudinal studies and controlled experiments, will be necessary to provide additional evidence to explain any reductions in firearms trafficking to and youth crime among these age groups.

Fiscal Year 2000 Budget Request. ATF is seeking an additional \$11.2 million for YCGII, to support 10 new cities in instituting comprehensive crime gun tracing, to develop trace analysis to support investigations of illegal trafficking and other firearms crimes, and to add new special agents to strengthen enforcement of the nation's firearms laws. Among the most important anticipated developments in YCGII is electronic access by ATF field offices to Project LEAD, ATF's crime gun information system that uses trace data to produce investigative leads. This will support a further increase in collaboration with State and local law enforcement agencies in illegal trafficking investigations. ATF is committed to a city by city approach to firearms enforcement developed through YCGII, which takes into account carefully developed facts both about the local crime gun problem and State, regional, and national factors that affect the local crime gun problem. In conjunction with continued efforts to incarcerate and deter armed criminals, ATF's illegal trafficking program and YCGII will continue to assist in reducing violent crime across the country.

Review of ATF Illegal Trafficking Investigations Involving Juveniles and Youth

Through a survey of its field divisions, ATF reviewed its illegal trafficking investigations involving juveniles and youth. This survey was conducted to assist in providing focus and direction to the task of assigning special agent resources to YCGII. For this first report to Congress, ATF is providing a copy of this benchmark research. This research can be revisited in subsequent years to assist in gauging the impact of the program. The results are summarized below.

Illegal trafficking investigations. The survey confirms that the illegal gun market involves a significant number of illegal gun traffickers. The Department of the Treasury, ATF and outside researchers² reviewed information on over 640 investigations nationwide involving gun trafficking to juveniles and youth initiated after YCGII started in July 1996. Of these investigations, 41.4 percent have been adjudicated.³ The investigations involved almost 27,000 reported trafficked firearms.⁴

Relationship between felon in possession and illegal trafficking investigations. Trafficking investigations constitute one aspect of ATF's firearms enforcement program, which is designed to reduce violent crime by engaging two strategies: (1) incarcerating and deterring armed violent criminals, and (2) reducing the illegal diversion of firearms to juveniles, criminals, and other prohibited persons. With respect to felons and firearms, these two strategies may overlap; for example, an armed felon also may be an illegal gun trafficker, or an illegal gun trafficker may be facilitating the activities of a number of armed felons. The particular mix of investigative approaches in a given jurisdiction depends on the local crime problem, priorities of local law enforcement officials, including Federal, State, and local law enforcement, and available investigative information. While the survey discussed here was directed at illegal trafficking investigations, many of the investigations involve felons in possession of firearms.

Trafficking in new, used, and stolen firearms. The survey of investigations shows that juveniles and youth offenders are obtaining both new and older firearms through trafficking. Over three quarters of the investigations involved trafficking in new guns, over half involved trafficking in used guns, and over a third involved trafficking in stolen firearms, both new and used.⁵

Trafficked guns used in subsequent crime. In more than two-thirds of the investigations, improperly transferred firearms were known to have been subsequently involved in additional crimes. More than 23 percent of the investigations were associated with juvenile possession. Twenty-eight percent of the trafficking investigations were associated with assaults; nearly 18 percent were associated with homicides and 18 percent with robberies. More than 45 percent involved firearms associated with felons-in-possession, and more than half with other kinds of illegal possession.⁶ About 11 percent of the investigations involved National Firearms Act (NFA)

² Anthony A. Braga and David M. Kennedy, both of the John F. Kennedy School of Government, Harvard University.

³ See Appendix. Because ATF's budget dedicates special agents to YCGII cities in Fiscal Year 1999, the investigative review covering prior years was not limited to YCGII cities.

⁴ See Appendix, table 6.

⁵ See Appendix, table 7. Some investigations involve firearms from more than one category.

⁶ See Appendix, table 8.

weapons violations, mostly sawed off shotguns or short barrel rifles and shotguns, but also machine guns, and firearms illegally converted from semiautomatic to fully automatic.⁷

Multiple illegal trafficking sources. The investigations show that law enforcement is confronting multiple illegal sources of firearms. Half of the investigations involved firearms trafficked by straw purchasers,⁸ either an individual or a ring. A fifth of the investigations involved trafficking in firearms stolen from a Federally licensed firearms dealer, including licensed pawnbrokers (FFLs). Unregulated private sellers, as distinct from straw purchasers and other traffickers, were involved in 14 percent of the trafficking investigations; six percent of the investigations involved FFLs; and about 10 percent of the investigations involved gun shows and similar venues where both FFLs and unregulated private vendors sell firearms. Nearly 14 percent of the trafficking investigations involved firearms stolen from a residence.⁹

Convicted felons as traffickers. Over a third of the traffickers involved in the investigations had prior felony convictions, as had just under a third of traffickers who were firearms thieves and robbers, and just under a quarter of the straw purchasers who were traffickers.¹⁰ Felons obtained firearms from FFLs by using false identification or providing false information to the FFL.

Role of juveniles (ages 17 and under) and youth (ages 18 to 24). Juveniles were primarily involved in the trafficking investigations as possessors of firearms. However, a quarter of the investigations also involved juveniles as thieves or robbers of firearms, and nearly a fifth of the investigations involved juveniles as gun traffickers. Slightly fewer youth were involved in the investigations as thieves or robbers, but youth were nearly twice as likely to be involved as traffickers, and due to age restrictions on purchase of firearms, about ten times as likely to be involved as straw purchasers.¹¹

Straw purchaser relationships. Half of all investigations involved trafficking through some form of straw purchase.¹² More than 30 percent of the investigations involve groups of straw purchasers or straw purchasers working for a trafficker.¹³ Almost half of these involved straw purchasers who were friends of the trafficker. About 40 percent involved relatives or intimates. Close to a third involved straw purchasers paid with money or drugs.¹⁴

Smaller scale and larger scale trafficking. Trafficking occurred on different scales. Slightly less than 43 percent of the investigations involved 10 firearms or fewer; nearly 37 percent involved

⁷ See Appendix, table 9. Under the NFA, certain firearms and other weapons must be registered. (See U.S.C. chapter 53).

⁸ A "straw purchase" occurs when the actual buyer of a firearm uses another person, the "straw purchaser," to execute the paperwork necessary to purchase a firearm from an FFL. Specifically, the actual buyer uses the straw purchaser to execute the firearms transaction record, purporting to show that the straw purchaser is the actual purchaser of the firearm. Often, a straw purchaser is used because the actual purchaser is prohibited from acquiring the firearm because of a felony conviction or another firearms disability.

⁹ See Appendix, table 4. See also Appendix, table 10.

¹⁰ See Appendix, table 10.

¹¹ See Appendix, table 1.

¹² See Appendix, table 4.

¹³ See Appendix, table 11. Since the straw purchasers in an investigation may have different relationships with the trafficker(s), an investigation can be included in more than one category.

¹⁴ Ibid.

21 or more firearms; and nearly 15 percent involved 51 or more firearms. The two largest numbers of firearms reported in connection with a single investigation were 1,359 and 1,600 respectively.¹⁵ The mean number of straw purchasers associated with straw purchasing rings was close to two; the maximum number was 25. Similarly, the mean number of firearms thieves/robbers associated with trafficking in stolen guns was just under 3; the maximum number was 25.¹⁶

In-State and out-of-State trafficking. Overall, more than 70 percent of the juvenile and youth-related trafficking investigations involved intrastate firearms trafficking, while slightly less than half involved interstate firearms trafficking. (Some investigations involved both).¹⁵ But there were regional variations.¹⁸ Relative to other regions, there was a higher percentage of intrastate trafficking investigations in the Southwest, Central, and West regions of the United States, respectively. Investigations involving interstate trafficking were most frequent in the Northeast region, and least frequent in the Southwest.¹⁹

Regional variations in illegal trafficking methods. While the juvenile and youth-related investigations from each region of the country involve a variety of methods of gun trafficking, the relative mix of types of trafficking investigations differs by region.²⁰ Investigations involving *trafficking by straw purchasers or straw purchasing rings* were most prevalent in the Northeast and Central regions of the United States, and least prevalent in the Southwest and West. Investigations involving *trafficking in firearms stolen from FFLs* were most prevalent in the Southwest and least prominent in the Northeast. Investigations involving *unregulated private sellers*, as distinct from straw purchasers and other traffickers, were most prevalent in the West region, and investigations involving *FFL traffickers* were more frequent in the West and Central regions than in other regions.²¹

National Tracing Center (NTC) trace and multiple sales records as investigative tools.

Trafficking investigations depend on various investigative tools — crime gun and multiple sales form analysis, confidential informants, reports by FFLs, and referrals from other law enforcement agencies — each useful in particular circumstances. For instance, because NTC firearms traces generally end with the first retail purchaser, debriefing of arrestees is especially important when tracking the illegal source of a used gun. The investigative survey shows that while special agents are using a variety of investigative tools, analysis of NTC trace and multiple sales records was the most important factor resulting in trafficking investigations involving juveniles and youth, accounting for initiation of over 37 percent of the investigations.²²

¹⁵ See Appendix, table 6.

¹⁶ See Appendix, table 10.

¹⁷ See Appendix, table 5. As measured in the survey, this indicator does not distinguish between firearms trafficked to the state in the investigation or from the state in the investigation. Rather, it documents regional variation in interstate “movement” of trafficked firearms.

¹⁸ For purposes of a regional comparison, five regions were identified:

Northeast region: Boston, New York, Philadelphia, Baltimore, and Washington, DC field divisions;
Southeast region: Charlotte, Miami, Tampa, Atlanta, Nashville, and New Orleans field divisions;
Central region: Chicago, Columbus, Detroit, Kansas City, Louisville, and St. Paul field divisions;
Southwest region: Phoenix, Dallas, and Houston field divisions;
West region: Los Angeles, San Francisco, and Seattle field divisions.

¹⁹ See Appendix, table 12.

²⁰ Ibid.

²¹ Ibid.

²² See Appendix, table 2.

Additional Information on the Illegal Youth Firearms Market

One of the goals of YCGII is to collect, assess, and improve information on the illegal gun market. Toward that end, ATF has provided the National Institute of Justice \$300,000 to support research on the illegal gun market in selected YCGII cities. That research is ongoing at this time. This section summarizes key information from currently available published reports indicating that diversion of firearms from the legal to the illegal market is a source of crime guns to minors, and therefore an important focus for ATF investigative resources.

Crime gun trace analysis. Crime gun trace analyses use a measure called "time-to-crime" — the time it takes for a gun to move from retail purchase to recovery by law enforcement — to indicate whether illegal diversion may have occurred. Time-to-crime of three years or less is considered a trafficking indicator. Trace analysis can also show if law enforcement officials are recovering concentrations of certain makes of guns, and whether there are patterns associated with the obliteration of serial numbers.

Trace analysis indicates but does not precisely describe a trafficking problem. Fast time-to-crime does not by itself establish that a particular firearm was trafficked. The tracing process cannot show directly what happened in between the first retail sale of a firearm and its recovery by law enforcement — whether a firearm was legally purchased and later stolen; sold illegally by an FFL; bought by a straw purchaser, or any other of many possibilities.

*Boston trace study.*²³ A study of more than 1,500 firearms recovered from youth age 21 and under in Boston showed that 26 percent of all traceable firearms, and more than 40 percent of traceable semiautomatic pistols, had a time-to-crime of less than two years. Half of all the firearms with a time-to-crime of under two years were recovered by police within eight months of their retail sale by an FFL.²⁴ There was one make of firearm frequently recovered by police for which 90 percent of the traces showed a time-to-crime of less than three years.²⁵ Twenty percent of all guns recovered from youth had obliterated serial numbers.²⁶ The authors concluded that these findings "revealed the central role of an illicit gun market featuring a flow of relatively new, semiautomatic weapons."²⁷

YCGII 1997 Trace Reports. ATF's 1997 YCGII *Trace Reports*, a study of crime gun traces in 17 communities, concluded that there was a significant trafficking problem because "many recovered firearms are rapidly diverted from first retail sales at Federally licensed gun dealers to an illegal market that supplies juveniles and youth."²⁸ Up to 43 percent of crime guns recovered from minors and 54 percent of crime guns recovered from possessors aged 18 to 24 showed a time-to-

²³ David Kennedy, Anne Piehl, and Anthony Braga, "Youth Violence in Boston: Gun Markets, Serious Youth Offenders, and A Use-Reduction Strategy," *Law and Contemporary Problems*, Vol. 59, No.1, Winter 1996. P. 172.

²⁴ *Ibid.*

²⁵ *Ibid.* p. 173.

²⁶ *Ibid.* p. 174.

²⁷ *Ibid.* p. 149.

²⁸ "Crime Gun Trace Analysis Reports: The Illegal Youth Firearms Market in 17 Communities," Department of the Treasury, Bureau of Alcohol, Tobacco and Firearms, July 1997. P. 8.

crime of three years or less.²⁹ Firearms recovered from juvenile and youth possessors showed a greater concentration by make and model relative to those recovered from older possessors.³⁰ The 1999 YCGII *Trace Reports* contain trace analysis from 27 communities.

Surveys. ATF also reviews published surveys of high school students and incarcerated juveniles that use self-reporting to find out how minors obtain firearms. The authors of the most important available survey of juvenile gun possessors, published in 1993, stated that only 12 percent of the juvenile inmates and 2 percent of the high school students reported stealing their most recent handguns.³¹ The authors reported that 7 percent of inmates and 11 percent of high school students personally bought their most recent gun from a gun store or a pawnshop.³² The authors also reported that a total of 32 percent of the inmates and 18 percent of the students had asked someone to purchase a gun for them in a gun shop, pawnshop, or other retail outlet, and that 12 percent of the inmates and 28 percent of the students indicated that if they needed a firearm they would either buy it from a store or ask someone to do so for them.³³ This survey is consistent with ATF's trace analysis and investigative information³⁴ in showing that diversion from retail sources is a significant source of crime guns for minors.

²⁹ Ibid.

³⁰ Ibid.

³¹ "Gun Acquisition and Possession in Selected Juvenile Samples," Sheley, Joseph F. And Wright, James D., U.S. Department of Justice, Office of Justice Programs, December 1993. P. 6.

³² Ibid.

³³ Ibid. pp. 6-7.

³⁴ See e.g. Appendix, table 11.

APPENDIX

Survey of ATF Trafficking Investigations Involving Juveniles and Youth

To conduct the survey, on December 31, 1998, the Assistant Director (Firearms, Explosives, and Arson) Jimmy Wooten requested all Division Directors to provide any information on all firearms trafficking investigations in their respective areas initiated after the Youth Crime Gun Interdiction Initiative commenced. ATF's budget dedicates special agents to YCGII cities beginning in Fiscal Year 1999; therefore, the investigative review covering prior years was not limited to YCGII cities. As part of this request, the Assistant Director provided a survey instrument to structure the investigation information. The survey instrument is reproduced at the end of this Appendix. All twenty-three field divisions responded by January 28, 1999.

The following tables provide an analysis of information received in response to the survey. The survey responses reported 1,604 illegal trafficking investigations. The tables below present information concerning those 648 investigations involving youth (ages 18 to 24) and/or juveniles (ages 17 and under), approximately 40 percent of the reported investigations.

Table 1: The Role of Youth and Juveniles in Trafficking Investigations

40.4% (648 of 1604) of the investigations involved YOUTH or JUVENILES or both.

Youth

38.9% (625 of 1604) of the investigations involved YOUTH (ages 18 – 24).

N = 625

Note: Since an investigation could involve youth in several roles, an investigation can be included in more than one category.

Role	Number	Percent
Possessor	337	53.9%
Trafficker	236	37.8%
Straw purchaser	149	23.8%
Thief/robber of firearms	122	19.5%

Juvenile

13.0% (209 of 1604) of the investigations involved JUVENILES (ages 17 and under).

N = 209

Note: Since an investigation could involve juveniles in several roles, an investigation can be included in more than one category.

Role	Number	Percent
Possessor	155	74.2%
Thief/robber of firearms	53	25.3%
Trafficker	40	19.1%
Straw purchaser	4	1.9%

Of the total of 1,604 investigations reported, 648 (40.4 percent) of these firearms trafficking investigations involved juveniles or youth or both. Juveniles and youth were most frequently involved in these investigations as possessors of trafficked firearms, with juveniles figuring more prominently as possessors. Youth were nearly twice as likely as juveniles to be involved as traffickers and, due to age restrictions on the purchase of firearms, about ten times as likely to be involved as straw purchasers. Juveniles were slightly more likely to be involved in these investigations as thieves and/or robbers of firearms than youths.

Table 2: Initiation of Investigation Involving Youth and Juveniles

Note: Since an investigation may be initiated in more than one way, an investigation can be included in more than one category.

Reason	Number	Percent
Referral from another state, local or federal agency	164	25.3%
Trace analysis after firearms recovery	159	24.5%
Confidential informant	126	19.4%
Review of multiple sales forms	83	12.8%
FFL reports burglary/theft/robbery to ATF	75	11.6%
FFL reported suspicious activity	62	9.6%
Developed from another ATF investigation	53	8.2%
ATF initiated investigation of suspicious activity (e.g. gun show task force, interstate theft task force, etc.)	28	4.3%
ATF Regulatory inspection of FFL records	13	2.0%
Tip by concerned citizen or anonymous source	10	1.5%
Other	1	0.2%

Overall, most of the trafficking investigations involving youth and juveniles were the result of referrals from other law enforcement agencies, firearms trace data analysis, and ATF-initiated investigations. Nearly 20 percent of the investigations (19.4 percent) were initiated through information obtained from a confidential informant or tip. In 9.6 percent of the investigations, FFLs reported suspicious activity to ATF. About 12 percent of the investigations were initiated by FFLs reporting burglaries, thefts, and robberies to ATF.

Table 3: Violations in the Main Investigations Involving Youth and Juveniles

Note: Since an investigation may involve multiple violations, an investigation may be included in more than one category.

Violation	Number	Percent
Straw purchasing	310	47.8%
Dealing without a license	188	29.0%
Possessing/receiving/trafficking stolen firearms	149	23.0%
Burglary/theft/robbery of		
FFL/common carrier/manufacturer	134	20.7%
Purchase/possession/sales by felon	133	20.6%
Non-licensee engaging in interstate firearms trafficking	86	13.3%
Providing false information to acquire firearms	76	11.8%
Possession/manufacture/trafficking of NFA weapons	72	11.1%
Trafficking	63	9.7%
Obliterating or altering serial numbers	58	9.0%
Sales to prohibited persons	51	7.9%
Receipt/possession/sales by prohibited persons	31	4.8%
Use of gun during violent crime or drug trafficking	29	4.5%
International firearms trafficking	23	3.5%
FFL failure to keep required records	20	3.1%
Trading guns for drugs	17	2.6%
FFL transfer to prohibited persons	15	2.3%
Providing firearms to juveniles	12	1.9%
Providing gun to be used in violent/ drug crime	10	1.5%
FFL making false entries in records	9	1.4%
Non-licensee trafficking to felons	9	1.5%
Trafficking/possession by illegal alien	6	1.0%
FFL conducts illegal out-of-state transfer	4	0.6%
Other FFL violations (selling away from premises, failure to report multiple sales, failure to conduct Brady check)	4	0.6%
Transfer/receive firearms through interstate commerce with intent to commit felony	3	0.5%
Possession/manufacture/transfer of illegal assault weapon	3	0.5%
Armed career criminal	2	0.3%
Failure to notify common carrier of firearms shipment	2	0.3%
Unspecified violation(s)	3	0.5%

A wide variety of apparent violations were uncovered during the investigations. Most of the violations involved "selling" violations (for example, dealing without a license) and "buying" violations (for example, straw purchasing). Violations involving the theft of firearms also figured prominently. Slightly less than 20 percent of the violations specified in the investigations involved convicted felons buying, selling, or possessing firearms. Only 3.5 percent of the investigations involved international trafficking violations and 11 percent of the investigations involved NFA violations.

Table 4: Sources of Firearms Trafficking Identified in Investigations Involving Youth and Juveniles

Note: Since firearms may be trafficked along multiple channels, an investigation may be included in more than one category.

Source	Number	%
Firearms trafficked by straw purchaser or straw purchasing ring	330	50.9%
Trafficking in firearms stolen from FFL	134	20.7%
Trafficking in firearms by unregulated private sellers*	92	14.2%
Trafficking in firearms stolen from residence	88	13.6%
Trafficking in firearms at gun shows, flea markets, auctions, or in want ads and gun magazines	64	9.9%
Firearms trafficked by licensed dealer, including pawnbroker	41	6.3%
Street criminals buying and selling guns from unknown sources	26	4.0%
Trafficking in firearms stolen from common carrier	16	2.5%
Other sources (e.g. selling guns over internet, illegal pawning)	9	1.4%

Half of the investigations involved firearms being trafficked by straw purchasers. Slightly more than 14 percent of the trafficking investigations involved firearms sold by unregulated private dealers and about 10 percent involved firearms diverted at gun shows or other secondary market sources. Trafficking by licensed dealers was involved in only 6.3 percent of the investigations.

*as distinct from straw purchasers and other traffickers

Table 5: Interstate, Intrastate, and International Trafficking in Investigations Involving Youth and Juveniles

Destination of trafficked firearms	Number	Percent
Intrastate	478	73.8%
Interstate	302	46.6%
International	40	6.2%
Unknown	10	1.5%
Mutually exclusive categories:		
Intrastate only	319	49.2%
Interstate only	142	21.9%
Interstate and intrastate	137	21.1%
Interstate, intrastate, and international	21	3.2%
International only	16	2.5%
Interstate and international	2	0.3%
Intrastate and international	1	0.1%
Unknown	10	1.5%

More than 70 percent of the investigations involved intrastate firearms trafficking while slightly less than half of the investigations involved interstate firearms trafficking. Only 21 percent of the investigations involved firearms being trafficked both interstate and intrastate. Firearms were trafficked internationally in about six percent of the investigations.

Table 6: Number of Firearms Involved in Trafficking Investigations Involving Youth and Juveniles

N=648

<u>Range</u>	<u>Number</u>	<u>Percent</u>
Less than 5	130	20.1%
5 – 10	147	22.7%
11 – 20	123	19.0%
21 – 50	142	21.9%
51 – 100	54	8.3%
101 – 250	26	4.0%
251 or greater	17	2.6%
Unknown	9	1.4%

A total of 26,928 firearms were reported to be involved in these 648 investigations. Slightly less than 43 percent of the investigations involved 10 firearms or less; nearly 37 percent involved 21 or more firearms; and nearly 15 percent involved 51 or more firearms. The two largest numbers of firearms reported in connection with a single investigation were 1,359 and 1,600, respectively.

Table 7: New, Used, and Stolen Guns in Trafficking Investigations Involving Youth and Juveniles

Note: Since more than one type of firearm can be recovered in an investigation, an investigation can be included in more than one category.

Type of firearm	Number	Percent
New guns	507	78.2%
Used guns	357	55.1%
Stolen guns	227	35.0%
Unknown	8	1.2%
Stolen firearms:		
New guns	136	61.2%
Used guns	182	80.2%
Mutually exclusive categories for new and used firearms:		
New guns only	283	43.6%
New and used guns	224	34.5%
Used guns only	133	20.5%
Unknown	8	1.2%

The investigations involved the trafficking of new, used, and stolen firearms, with new firearms figuring more prominently. Both new and used firearms were also trafficked in investigations involving stolen firearms, with used firearms figuring more prominently. New and used guns were trafficked together in almost thirty-five percent of the investigations.

Table 8: Trafficked Firearms Known to Have Been Involved in Subsequent Crimes

67.3% of the investigations (436 of 648) had at least one firearm known to have been recovered in subsequent crime.

N = 436

Note: Since firearms recovered in an investigation may be used in many different types of crime, an investigation can be included in more than one category.

Crime	Number of cases with at least one	Percent
Criminal possession (not felon in possession)	237	54.3%
Felon in possession	199	45.6%
Drug offense	134	30.7%
Assault	124	28.4%
Juvenile possession	101	23.1%
Robbery	78	17.9%
Homicide	78	17.9%
Property crime	71	16.2%
Sexual assault/ rape	9	2.1%
Other crime	14	3.2%

In more than two-thirds of the investigations, improperly transferred firearms were known to have been subsequently involved in additional crimes. More than half of these investigations involved firearms associated with illegal possession; more than 45 percent involved firearms associated with felons in possession; more than 23 percent of the investigations were associated with juvenile possession. Twenty-eight percent of the investigations were associated with assaults; and nearly 18 percent were associated with homicides and robberies, respectively.

Table 9: Weapons Associated with NFA Violations in Investigations Involving Youth and Juveniles

N = 72

Note: Since investigations may involve different types of NFA weapons, an investigation can be included in more than one category. However, "converted guns" have not been included in the "machine gun" count.

NFA weapon	Number of cases with at least one	Percent
Sawed-off shotguns/short-barrel rifles & shotguns	43	59.7%
Machine guns	19	26.4%
Silencers	14	19.4%
Other explosives (e.g. blasting caps)	5	6.9%
Converted guns	4	5.6%
Grenades/Grenade launchers	3	4.2%
Conversion kits/parts	1	1.4%

About 11 percent (72 of 648) of the investigations involved NFA weapons violations. Nearly 60 percent involved sawed-off shotguns and/or short-barrel firearms and nearly 20 percent involved silencers. More than a quarter of these investigations involved machine guns and slightly more less 20 percent involved firearms converted to fully automatic.

Table 10: Firearms Traffickers Identified in Investigations Involving Youth and Juveniles

In the 648 investigations, ATF agents identified...

Role	Number of	Investigations		Number of		Felony conviction	
	participants	identifying at least one		participants		N	Percent
	N	N	Percent	Mean	Max		
Straw purchaser working for trafficker	330	201	31.0%	1.6	25	17	5.2%
Firearms thief/robber	484	173	26.7%	2.8	25	145	30.0%
Trafficker is the straw purchaser	141	127	19.6%	1.1	3	34	24.1%
FFL Trafficker	47	31	4.7%	1.5	10	3	6.4%
Former FFL	4	4	0.6%	1	1	0	0.0%
Other trafficker	463	302	46.6%	1.5	23	170	36.7%

Table 11: Straw Purchaser Relationships

There were 201 investigations where ATF agents identified at least one straw purchaser working for the trafficker(s). In these investigations, the relationships between the straw purchaser and the trafficker(s) were described as:

Relationship	N of cases	Percent
Friend	95	47.3%
Business (paid with money or drugs to buy guns)	60	29.9%
Relative	45	22.4%
Intimate (spouse or girlfriend)	37	18.4%
Member of same gang	15	7.5%

Note: Since the straw purchasers in an investigation may have different relationships with the trafficker(s), an investigation can be included in more than one category.

Table 12: Highlights of Regional Differences in Investigations Involving Youth and Juveniles

Note: Categories are not mutually exclusive.

	Northeast	Southeast	Central	Southwest	West
Firearms trafficked by straw purchaser or straw purchasing ring	65.1%	44.1%	55.1%	27.8%	31.3%
Trafficking in firearms stolen from FFL	10.1%	31.6%	14.0%	40.0%	25.0%
Trafficking in firearms stolen from residence	10.5%	8.1%	16.9%	24.4%	14.5%
Trafficking in firearms stolen from common carrier	2.1%	4.4%	1.5%	1.1%	4.2%
Trafficking in firearms at gun shows, flea markets, auctions, or through want ads and gun magazines	5.9%	9.5%	11.8%	11.1%	22.9%
Trafficking in firearms by unregulated private sellers*	12.6%	10.3%	16.1%	14.4%	27.0%
Firearms trafficked by licensed dealer, including pawnbrokers	3.4%	5.8%	11.0%	5.5%	10.4%
Possession/manufacture/trafficking of NFA weapons	9.2%	6.6%	11.8%	14.4%	25.0%
Firearms trafficked interstate	55.4%	45.6%	41.9%	30.0%	50.0%
Firearms trafficked intrastate	59.7%	68.4%	88.9%	90.0%	85.4%
New firearms	79.8%	88.2%	76.4%	61.1%	79.2%
Used firearms	42.4%	52.2%	57.4%	80.0%	72.9%

* as distinct from straw purchasers and other traffickers

Northeast region: Boston, New York, Philadelphia, Baltimore, and Washington, DC field divisions
 Southeast region: Charlotte, Miami, Tampa, Atlanta, Nashville, and New Orleans field divisions
 Central region: Chicago, Columbus, Detroit, Kansas City, Louisville, and St. Paul field divisions
 Southwest region: Phoenix, Dallas, and Houston field divisions
 West region: Los Angeles, San Francisco, and Seattle field divisions

Methodology

The preceding analyses are based on a survey of ATF special agents reporting information about recent trafficking investigations. The investigations reflect what ATF has encountered and investigated; they do not necessarily reflect typical criminal diversions of firearms or the typical acquisition of firearms by youth and juveniles. Nevertheless, they suggest that the criminal diversion of firearms is an important crime and public safety problem.

The analyses use data from investigations referred for prosecution and adjudicated (41.4 percent of the investigations), and investigations that have not yet been referred for prosecution. Thus, not all violations described will necessarily be charged as crimes or result in convictions. As a consequence, the exact number of offenders in the investigation, the number and types of firearms involved, and the types of crimes associated with recovered firearms may not have been fully known to the case agents at the time of the survey, and some information may be underreported. For example, it is likely that the number of firearms involved in the investigations could increase, as could as the number and types of violations, as more information is uncovered by the agents working the investigations.

Information generated as part of a criminal investigation also does not necessarily capture all data about trafficking and trafficking patterns. For example, investigative information necessary to build a strong case worthy of prosecution may provide very detailed descriptions of firearms used as evidence in the case but may not even estimate, much less describe in detail, all the firearms involved in the trafficking enterprise.

Information was not provided with enough consistency and specificity to determine the number of handguns, rifles, and shotguns trafficked in a particular investigation. Likewise, special agents may not have information on trafficked firearms subsequently used in crime since such information is not always available. Comprehensive tracing of crime guns does not exist nationwide and, until the very recent Youth Crime Gun Interdiction Initiative, most major cities did not trace all recovered crime guns. The figures on new, used, and stolen firearms reflect the number of investigations in which the traffickers were known to deal in these kinds of weapons. The figures on stolen firearms are subject to the usual problems associated with determining whether a firearm has been stolen. Many stolen firearms are not reported to the police. Such limitations apply to much of the data collected in this research.

Except where noted, the unit of analysis in the review of investigations is the investigation itself. The data show, for example, the proportion of investigations that were known by agents to involve new, used, and stolen firearms, but these figures do not represent a proportion or count of the number of new, used, or stolen firearms being trafficked. The data show what proportion of investigations were known to involve a firearm subsequently used in a homicide, but not how many homicides were committed by firearms trafficked. It was not possible to gather more specific information within the short timeframe of the study.

Finally, this is the first time ATF has attempted to gather this information from its field divisions. The analysis in this report is based on the best information currently available. The *Performance Report* study framework did not permit a detailed review and verification of all the submitted information. With the continued development of the Youth Crime Gun Interdiction Initiative, ATF intends to pursue more routine, detailed, and verified reporting from its field divisions to facilitate analysis of the effectiveness of enforcement and the development of enforcement policies.

Survey Instrument

ATF Field Division:

ATF Investigation Number:

Investigation Title:

How was the investigation initiated?

- 1= confidential informant
- 2= referral from another state, local, or federal agency
- 3= FFL reported suspicious activity
- 4= developed from another investigation
- 5= review of multiple sales forms
- 6= Project LEAD or other local tracing project
- 7= gun recovered and traced to origins
- 8= ATF initiated investigation of suspicious activity (e.g. ATF Gun Show Task Force)
- 9= ATF Regulatory inspection of FFL records
- 10= anonymous tip
- 11= other Please specify: _____

What were the violations in the investigation?

Please use the space below to write all violations associated with the traffickers in the investigation (e.g., trafficking, straw purchasing, dealing by non-licensed individuals, "off paper" sales, sales to prohibited persons, obliterating firearms, etc.)

Were there any Title II violations in this investigation?

0= NO

1= YES

Please use the space below to described the Title II violations (e.g., machine guns, converted guns, conversion kits, silencers, grenades, short barreled firearms, etc.).

Please describe the number and types of firearms involved in the investigation.

Please provide as much detail as possible; if the number of handguns and long guns are not known, only fill in the number of firearms.

Total number of firearms: _____

Total number of handguns: _____

Total number of long guns: _____

Total number of rifles: _____

Total number of shot guns: _____

Beyond the number of firearms known to be involved in the investigation, please estimate the number of firearms that may have been trafficked by the individual(s) under investigation.

Estimated firearms: _____

Did this investigation involve YOUTH (person ages 18-24)?

0= NO

1= YES

If yes, how were youth involved? Circle all that apply

1= straw purchaser(s)

2= trafficker(s)

3= possessor(s) of trafficked firearms

4= thief/robber(s)

5= other.

Please specify: _____

Did this investigation involve JUVENILES (person ages 17 and under)?

0= NO

1= YES

If yes, how were juveniles involved? Circle all that apply

1= straw purchaser(s)

2= trafficker(s)

3= possessor(s) of trafficked firearms

4= thief/robber(s)

5= other.

Please specify: _____

Were the trafficked firearms known to be recovered in subsequent crimes?

0= NO

1= YES

If yes, please enter the number for each crime below. If exact numbers are unknown, please simply put a check in the space provided.

Homicide:	_____
Assault:	_____
Robbery:	_____
Sexual assault/ rape:	_____
Property crime:	_____
Felon in possession:	_____
Juvenile in possession:	_____
Illegal possession:	_____
Drug offense:	_____
Other (please specify):	_____

15. Please provide information on the defendant(s) in the investigation. Please use the space below to describe their role in the case (e.g. straw purchaser, FFL, trafficker, etc.), age, sex, race, and whether the person had a felony record.

16. If there were straw purchasers involved in this investigation, please provide any information you may have on the relationship between the straw purchaser and the actual trafficker. Please circle all that apply.

1= Friend

2= Intimate

3= Relative

4= Business relationship (paid with money or drugs to buy guns for the trafficker)

5= Straw purchaser is the trafficker.

6= Other

Please specify: _____

17. Has this case been adjudicated?

0= NO

1= YES

18. Please use this page to summarize any other pertinent information on this investigation.

This report is also accessible via the Internet on the ATF website:
<http://www.atf.treas>

For further information or additional copies of this report, contact ATF's
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