

**SUPPORTING STATEMENT FOR  
Application and Permit for Permanent Exportation of Firearms  
ATF Form 9 (5320.9)**

**JUSTIFICATION**

**1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the collection of information.**

The registration of National Firearms Act (NFA) firearms is required by 26 U.S.C. § 5841 and 27 CFR § 479.101. An NFA firearm may not be transferred, including exportation, without the approval of ATF and, with certain exceptions, the payment of transfer tax (26 U.S.C. § 5812 and Part 479, Subpart F). An NFA firearm may be exported without payment of the transfer tax (26 U.S.C. § 5854 and 27 CFR §§ 479.114 - 118). The use of the Application and Permit for Permanent Exportation of Firearms (National Firearms Act) - ATF Form 9 (5320.9) is required of any person desiring to export a NFA firearm (27 CFR § 479.114), and to establish such exportation to relieve the exporter from payment of the transfer tax (27 CFR § 479.118). The Arms Export Control Act, 22 U.S.C. § 2778 requires that a license be obtained from the Department of State by any person wishing to export munitions. The State Department license number must be included on the completed ATF Form 9 (5320.9).

ATF requests approval to make the following changes to OMB 1140-0008 (Application and Permit for Permanent Exportation of Firearms (National Firearms Act) - ATF Form 9 (5320.9)):

- Change Instructions 1a. (Last Sentence) Delete “to that effect” and add “certifying compliance with 26 U.S. Code § 5854 and 27 CFR § 479.33.

**2. Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection.**

ATF Form 9 (5320.9) is typically used by a Federal firearms licensee who has paid the special (occupational) tax to deal, manufacture, or import NFA firearms. The form must be filed in quadruplicate for approval to permanently export NFA firearms registered in the National Firearms Registration and Transfer Record. Once authorization has been granted, one copy is retained by ATF and the remaining copies returned to the exporter to establish that the exportation took place and claim relief from liability for the transfer tax.

The information submitted on the form is verified by ATF personnel who will ensure that a properly registered firearm is being exported, that the foreign consignee has been approved by

the State Department, and that there is no liability for transfer tax. This information is also used by ATF to determine the lawful registration of an NFA firearm and/or to pursue the criminal investigation into an unregistered NFA firearm.

**3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g., permitting electronic submission of responses, and the basis for the decision for adopting this means of collection. Also, describe any consideration of using information technology to reduce burden.**

The fillable form with electronic signature capability is available on the ATF website ([www.atf.gov](http://www.atf.gov)). The form may also be completed, signed, and filed electronically via ATF's eForms system ([www.atfonline.gov](http://www.atfonline.gov)).

**4. Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purposes described in Item A.2 above.**

ATF uses a uniform subject classification system to identify duplication and to ensure that any similar information already available cannot be used or modified for use for the purpose of this information collection.

**5. If the collection of information impacts small businesses or other small entities, describe any methods used to minimize burden.**

This information collection has no impact on small business. The record-keeping/reporting requirement is necessary to ensure compliance with existing regulations.

**6. Describe the consequence to federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden.**

Without this collection, there would be an increase in unlawful exportation of firearms. The collected information provided is used to verify the exportation of a firearm(s) and justify removal of the firearm(s) from the National Firearms Registration and Transfer Record.

**7. Explain any special circumstances that would cause an information collection to be conducted in a manner:**

- **requiring respondents to report information to the agency more often than quarterly;**

- **requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;**
- **requiring respondents to submit more than an original and two copies of any document;**
- **requiring respondents to retain records, other than health, medical, government contract, grant-in-aid, or tax records for more than three years;**
- **in connection with a statistical survey, that is not designed to produce valid and reliable results that can be generalized to the universe of study;**
- **requiring the use of statistical data classification that has not been reviewed and approved by OMB;**
- **that includes a pledge of confidentiality that is not supported by authority established in statute or regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use; or**
- **requiring respondents to submit proprietary trade secret, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.**

This collection is consistent with the provisions of 5 CFR § 1320.6. There are no special circumstances.

- 8. If applicable, provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice, required by 5 CFR 1320.8(d), soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and describe actions taken by the agency in response to these comments. Specifically address comments received on cost and hour burden.**

**Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.**

**Consultation with representatives of those from whom information is to be obtained or those who must compile records should occur at least once every 3 years -- even if the collection-of-information activity is the same as in prior periods. There may be**

**circumstances that may preclude consultation in a specific situation. These circumstances should be explained.**

No comments have been received during the 60-day Federal Register notice period. However, a 30-day notice will be published in the Federal Register to solicit public comments.

**9. Explain any decision to provide any payments or gifts to respondents, other than remuneration of contractors or grantees.**

No government funds will be used as payment or for gifts to respondents.

**10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.**

In addition to the requirements for confidentiality contained in the Privacy Act, this information is classified as "tax information" or "tax return information" and any release is severely restricted by the Tax Reform Act (26 U.S.C. § 6103).

**11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private. This justification should include the reasons why the agency considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.**

No questions of a sensitive nature are asked.

**12. Provide estimates of the hour burden of the collection of information. The statement should:**

- **Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. Unless directed to do so, agencies should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a sample (fewer than 10) of potential respondents is desirable. If the hour burden on respondents is expected to vary widely because of differences in activity, size, or complexity, show the range of estimated hour burden, and explain the reasons for the variance. General, estimates should not include burden hours for customary and usual business practices.**
- **If this request for approval covers more than one form, provide separate hour burden estimates for each form.**

- **Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories. The cost of contracting out or paying outside parties for information collection activities should not be included here. Instead, this cost should be included in Item 14.**

**Estimated Annualized Respondent Cost and Hour Burden**

Activity	Number of Respondents	Frequency	Total Annual Responses	Time Per Response	Total Annual Burden (Hours)	Hourly Rate*	Monetized Value of Respondent Time
ATF Form 9 (5320.9)	1,831	1	1,831	18min	549hrs		
<b>Unduplicated Totals</b>							

*Hourly rate source citation or you may enter a footnote:*

Each filing is a new request for a different firearm(s) to the same country of export or to another country. The number of respondents is 1,831. Each respondent responds once annually for a total 1,831 responses. It is estimated that each respondent takes 18 minutes to complete their responses. Therefore, the total annual burden for this IC is 549 hours.

**13. Provide an estimate of the total annual cost burden to respondents or recordkeepers resulting from the collection of information. (Do not include the cost of any hour burden shown in Items 12 and 14).**

- **The cost estimate should be split into two components: (a) a total capital and startup cost component (annualized over its expected useful life); and (b) a total operation and maintenance and purchase of service component. The estimates should take into account costs associated with generating, maintaining, and disclosing or providing the information. Include descriptions of methods used to estimate major cost factors including system and technology acquisition, expected useful life of capital equipment, the discount rate(s), and the time period over which costs will be incurred. Capital and start-up costs include, among other items, preparations for collecting information such as purchasing computers and software; monitoring, sampling, drilling and testing equipment; and record storage facilities.**

- **If cost estimates are expected to vary widely, agencies should present ranges of cost burdens and explain the reasons for the variance. The cost of purchasing or contracting out information collection services should be a part of this cost burden estimate. In developing cost burden estimates, agencies may consult with a sample of respondents (fewer than 10), utilize the 60-day pre-OMB submission public comment process and use existing economic or regulatory impact analysis associated with the rulemaking containing the information collection, as appropriate.**
- **Generally, estimates should not include purchases of equipment or services, or portions thereof, made: (1) prior to October 1, 1995, (2) to achieve regulatory compliance with requirements not associated with the information collection, (3) for reasons other than to provide information or keep records for the government, or (4) as part of customary and usual business or private practices.**

There is no startup cost or annual cost to the respondent.

**14. Provide estimates of the annualized cost to the Federal Government. Also, provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), any other expense that would not have been incurred without this collection of information. Agencies also may aggregate cost estimates from Items 12, 13, and 14 into a single table.**

Estimates of annual costs to the Federal Government are for printing which is equal to \$320.28 (Volume 1,831 X \$ 0.17 = \$320.28)

**15. Explain the reasons for any program changes or adjustments.**

The decrease in both total respondents and burden hours by 542 and 163 hours respectively, is due to a general decrease in the volume of industry submissions for this information collection.

**16. For collections of information whose results will be published, outline plans for tabulations, and publication. Address any complex analytical techniques that will be used. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates, and other actions.**

The results of this collection will not be published.

**17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons that display would be inappropriate.**

ATF does not request approval to not display the expiration date of OMB approval for this

collection.

**18. Explain each exception to the certification statement.**

There are no exceptions to the certification statement.

**B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS.**

This collection does/does not contain statistical data.