



Software
Modification
Whitepaper

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Alcohol, Tobacco & Firearms Processing

Any retailer that sells firearms and certain ammunition is required by federal law to retain a detailed accounting of the acquisition and dispensation of these products. Retailers traditionally have used a bound book to retain this information as this was the original federal requirement. The retailer would have to make manual entries in this journal daily in order to keep the book current. Obviously this is labor-intensive and redundant in the worst way – manually writing information that has already been entered into CounterPoint. CounterPoint does a good job of gathering most of the required information, but does not retain all of it correctly and cannot report this information in the format required by the federal guidelines.

Our ATF enhancement provides this data acquisition and reporting capability so the retailer can dispense with the bound journal completely.

This enhancement employs CounterPoint’s Serial Number module to track the individual products throughout its life within CounterPoint. It uses Inventory’s four user-defined item attribute fields to carry ATF-related product information. The client enters serialized receivings (as opposed to Quick Receivings) for each item to be tracked. As the items are received (in normal CounterPoint fashion) the mod copies the information associated with the receiving to a separate ATF file. When these serialized items are sold in POS and End-of-day is run, the information for the serialized items are posted in the normal fashion in CounterPoint as well as the ATF file. Thus the impact to CounterPoint program files is limited to only 3 programs; the Receivings-posting program, the POS ticket-posting program and the Inventory file utilities (to support the new ATF file).

Below is a list of the most important ATF information and where in CounterPoint the information is retained.

| | | |
|---------------------------|-----------------------|--|
| Description | Manufacturer/Importer | Item’s user defined field 1 |
| | Model | Item’s user defined field 2 |
| | Type | Item’s user defined field 3 |
| | Caliber/Gauge | Item’s user defined field 4 |
| | Serial number | Inventory’s serial number |
| Receipt (Vendor) | Date | ATF record |
| | Name | ATF record |
| | Address | ATF record |
| | Phone-# | ATF record |
| | License-# | Vendor’s first comment line |
| Disposition (Customer) | Date | ATF record |
| | Name | ATF record |
| | Address | ATF record |
| | Phone-# | Customer phone-# 1 |
| | License-# | Customer comment |
| | Form 4473 serial-# | Ticket history record (Ticket profile field) |

The enhancement employs a report that allows the ATF information to be reported in date or manufacturer sequence. It filters on a date-range, an item-# range, a serial-# range and allows one or "All" values for the four user-defined fields. These parameters allow the ATF information to be reported in a very flexible manner. The last parameter allows the information to be exported into a comma-separated value (CSV) file ready to be imported into Microsoft Excel or any other utility that can handle CSV files. This allows the information to be further manipulated or reported. The ability to create the CSV file is only allowed if the report is run in user-1 order (which should be defined as the manufacturer).

The report parameters resemble:

```

ATF history report                                     [-----company-name-----]

      1. In order by      X
      2. Date range       99/99/99xx to 99/99/99
      3. Item # range     XXXXXXXXXXXXXXXX to XXXXXXXXXXXXXXXX
      4. Serial # range   XXXXXXXXXXXXXXXX to XXXXXXXXXXXXXXXX
      5. user1/user2      XXXXX/XXXXX
      6. user3/user4      XXXXX/XXXXX
      7. CSV filename     XXXXXXXXX

Field number to change __
  
```

- | | |
|-----------------------|---|
| 1. In order by | Allow "Date" or <i>user1-tag</i> value |
| 2. Date range | Allow "Earliest" to "Latest" No defaults |
| 3. Item # | Allow "First" to "Last" Allow F9-key for lookups No defaults |
| 4. Serial # | Allow "Earliest" to "Latest" No defaults |
| 5. <i>user1/user2</i> | Allow "All"/"All" (manufacturer / model) No defaults |
| 6. <i>user3/user4</i> | Allow "All"/"All" (type / caliber) No defaults |
| 7. CSV filename | Up to 8 non-special characters (no embedded spaces). Name entered is appended with ".CSV" to create extract filename and file is placed in directory ATF. If field left blank no file is created. Only available if <i>user-1-tag</i> is selected for parameter #1. |

See the samples at the end of this document.

Although the enhancement automatically tracks the acquisition and sales of items once installed the client may need the ability to enter initial information for prior sales, sales made outside of CounterPoint or correct errors. For this reason we've created a maintenance program that allows viewing or editing the information in the ATF file.

The ATF info maintenance screen resembles:

```

ATF Info maintenance                                     [-----company-name-----]
          **** Viewing changed transactions****
1. Date           99/99/99
2. Time           99:99 (xM)           -----Item master info-----
   Serial-#       XXXXXXXXXXXXXXXXX   Manuf: XXXXX XXXXXXXXXXXXXXXXXXXXX
   Trx-date       99/99/99           Model: XXXXX XXXXXXXXXXXXXXXXXXXXX
   Trx-type       XXXXXXXXXXXXX       Type: XXXXX XXXXXXXXXXXXXXXXXXXXX
   Customer-#     XXXXXXXXXXXXXXXXX   Calib: XXXXX XXXXXXXXXXXXXXXXXXXXX
   Item-#         XXXXXXXXXXXXXXXXX
                   XXXXXXXXXXXXXXXXXXXXX

3. Name           XXXXXXXXXXXXXXXXXXXX
[3. First name    XXXXXXXXXXXXX      Last name XXXXXXXXXXXXXXXXXXXX]
4. Address line-1 XXXXXXXXXXXXXXXXXXXX
5. Address line-2 XXXXXXXXXXXXXXXXXXXX
6. City           XXXXXXXXXXXXXXXXX
7. State          XXXX
8. Zipcode        XXXXXXXXXXXXX
9. Country        XXXXXXXXXXXXXXXXX

10. Phone-#       XXXXXXXXXXXXXXXXXXXX
11. License-#     XXXXXXXXXXXXXXXXXXXX
F1=Next, Ctrl+F1=Prev, F3=Delete
Field number to change ?  _

```

The first five fields comprise the ATF record's primary and alternate keys. To pull up a specific record for editing the operator has to enter all five fields. To simplify the locating of records we allow the operator to press the F1 key at any of the first five fields. The program will find the first record that has matching values for the fields already entered.

The program allows reading sequentially through the file by transaction date or by serial-#. To toggle between the two modes the operator leaves the current field blank and presses the ENTER key. The cursor automatically jumps to the other field. To simplify locating records the program allows the operator to press the F1 key at the fields "1. Serial-#" and "2. Trx-date". If the operator presses the F1 key at field "1. Serial-#" the program retrieves and displays records in serial-# sequence. Thus the records for a single serial-# will be sorted secondly by transaction-date, then transaction-type and so on through field "5. Item-#".

The remaining fields (6 through 12) are editable in the normal manner. At each field the operator can press the F1 key to load the value from the customer/vendor record.

On the right side of the screen the program displays the user-defined fields that classify the item. These fields are for informational purposes only – they are not maintainable from this screen. To change the values of these fields the operator need to make the changes in the item maintenance program.

To identify records that have been added or edited manually we added a flag to the ATF record layout. If the record is changed by this process the record is flagged.

ATF Transaction Change Log Functionality

In order to maintain a complete audit trail when editing ATF transaction records we wrote the ATF transaction maintenance program to create a copy of the original ATF transaction record whenever a change is made.

Those records are stored in the new transaction change log file (IMTCLF). When an ATF record is changed the program writes a copy of the original ATF record to the TCL file for prosperity. The TCL record layout is basically an image of the ATF file with the addition of the changed date and time fields which are part of the file's indices. The date and time field are created in a manner that sorts the changed records in descending date and time sequence. These new records are maintainable using the same ATF transaction maintenance program (described below).

The ATF maintenance program actually has two major modes of operation. The first is the primary mode that maintains ATF records. The program also looks to see if there are TCL records for the transaction as well. If the ATF record's edited flag is "Y" and the program finds at least one TCL record for it, the program displays "*****Changed records on file*****". If the record-changed flag is "Y" and there is no TCL records for the transaction the program displays "(Edited but no changed records on file!)". The different messages allow the operator to easily discern the status of the current ATF record and the existence of at least one TCL record.

The program offers the F8 key at the FNTC prompt for "Changed records". Pressing the F8 key shifts the program into its second mode for maintaining TCL records for the displayed ATF record. This key is available whether the ATF record has TCL records on file or not. When the operator presses the F8 key at FNTC the program displays a screen that is similar to the ATF maintenance screen. However the fields that comprise the ATF record's primary key are dimmed since they cannot be changed. The first two fields are the record's changed date and time fields. So all of the fields are renumbered when compared to the ATF screen. Since the screen is quite similar to the ATF screen an obvious (practically obnoxious) literal displays across the top of the screen as a reminder of the mode the operator is in. This screen looks and drives like the ATF screen.

Customers>Customers

Inventory>Vendors>Vendors

Oftentimes, a customer or vendor will have a license number that should be included in their ATF transactions. We relabeled the existing comments fields on both screens to reflect the new purpose of the fields.

The customer maintenance screen now resembles:

```

Customers                                     [-----company-name-----]

 1. Customer #      XXXXXXXXXXXXX                *** Cust has ship-to's ***
 2. First name     XXXXXXXXXXXX  Last name XXXXXXXXXXXXXXXX  *** Cust has notes ***
 3. Address-1      XXXXXXXXXXXXXXXXXXXXXXXXXXXX  Address-2 XXXXXXXXXXXXXXXXXXXXXXXXXXXX
 4. {City|Zip code}XXXXXXXXXXXXXXXXXX  State XX  Zip/Ctry XXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX
 5. Contact-1      XXXXXXXXXXXXXXXXXXXXXXXXXXXX  Phone-1 XXXXXXXXXXXXXXXXXXXXXXXXXXXX
 6. Contact-2      XXXXXXXXXXXXXXXXXXXXXXXXXXXX  Phone-2 XXXXXXXXXXXXXXXXXXXXXXXXXXXX
 7. Email          XXXXXXXXXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
 8. Sales rep      XXXXXXXXXXXX  XXXXXXXXXXXXXXXXXXXXXXXXXXXX
 9. Parent cust    XXXXXXXXXXXX  XXXXXXXXXXXXXXXXXXXXXXXXXXXX

10. Cust type      XXXXXXXXXXXXXXXXXXXX          20. Ecommerce ?    X
11. Category       XXXXX  XXXXXXXXXXXXXXXXXXXXXT  21. Unposted bal  999,999,999.99-
12. Tax code       XXXXX  XXXXXXXXXXXXXXXXXXXXXT  22. Credit limit  999,999,999
13. Tax exempt #   XXXXXXXXXXXXXXXXXXXXXXXXXXXX  23. Credit rating XXXXX
14. Ship-via       XXX  XXXXXXXXXXXXXXXXXXXXXT    24. Credit hold   XXXXXXXXXXXXX
15. Ship zone      XXX  XXXXXXXXXXXXXXXXXXXXXT    25. Allow checks ? X
16. Commis pct    99.999  Method  XXXXXXXXXXXX  26. First sale on 99/99/99
17. Discount pct  99.999                          27. Last sale on  99/99/99
18. Card-#/Exp    XXXXXXXXXXXXXXXXXXXXXXXX/XXXX  28. Last sale amt 999,999,999.99-
19. FFL-#         XXXXXXXXXXXXXXXXXXXXXXXX      29. Loyalty pts   999,999,999-
Fl=Nxt/Prv F3=Delete F4=Profile F5=Notes F6=Ship-to F7=Cards F8=History F9=Image
Field number to change ? ____

```

The vendor maintenance screen now resembles:

```
Vendors [-----company-name-----]

1. Vendor #          XXXXXXXXXXXXX          *** Vendor has notes ***
[2. First name      XXXXXXXXXXXX Last name XXXXXXXXXXXXXXXXX]
3. Address-1        XXXXXXXXXXXXXXXXXXXXXXXXXXXXX
4. Address-2        XXXXXXXXXXXXXXXXXXXXXXXXXXXXX
5. City             XXXXXXXXXXXXXXXX State XX Zip/Ctry XXXXXXXXXXXX XXXXXXXXXXXXXXXXX
6. Contact-1        XXXXXXXXXXXXXXXXXXXXXXXXXXXXX Phone-1 XXXXXXXXXXXXXXXXXXXXXXXXX
7. Contact-2        XXXXXXXXXXXXXXXXXXXXXXXXXXXXX Phone-2 XXXXXXXXXXXXXXXXXXXXXXXXX
8. Email            XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
9. Category         XXXXX XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
10. Terms code     XXX XXXXXXXXXXXXXXXXXXXXXXXXXXXXX

11. A/P sync ?     Y
12. A/P vend #     XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX

13. Tax ID #       XXXXXXXXXXXXXXXXXXXXXXXXXXXXX
14. Currency       MONU XXXXXXXXXXXXX

15. FFL-#          XXXXXXXXXXXXXXXXXXXXXXXXXXXXX
    Comments       XXXXXXXXXXXXXXXXXXXXXXXXXXXXX
                  XXXXXXXXXXXXXXXXXXXXXXXXXXXXX

F1=Next, F3=Delete, F5=Notes, F8=History
Field number to change ? ____
```

Please note

Users of this enhancement should be aware that the ATF does not endorse ANY software packages for retaining the acquisition / disposition journal. Although this enhancement has been approved and is operational in several clients' sites each site must be inspected and approved individually before the bound book can be retired. This is because the requirements for "alternate record keeping" entail more than just the software used. Before "going-live" with this enhancement the retailer will need their local FBI office to review things such as the software, the client's hardware and their backup techniques.

A T F H I S T O R Y R E P O R T

Date range: 99/99/99 to 99/99/99 BY DATE
Item-# range: XXXXXXXXXXXXXXXX to XXXXXXXXXXXXXXXX
Serial-#: XXXXXXXXXXXXXXXX to XXXXXXXXXXXXXXXX
user1/user2/user3/user4: XXXXX/XXXXX/XXXXX/XXXXX

Table with columns: Date, Trx-type, Vendor-# or Customer-#, Name Address, Item-#, Description, Serial-#. Contains three rows of transaction data (Recv, Sale, Recv) with detailed item specifications like Manufacturer, Model, Type, and Caliber.

Number of firearms received: ZZZ,ZZZ,ZZ9-
Number of firearms sold: ZZZ,ZZZ,ZZ9-
Adjustments and transfers: ZZZ,ZZZ,ZZ9-

-- End of report --

A T F H I S T O R Y R E P O R T

Date range: 99/99/99 to 99/99/99

B Y U S E R 1

Item-# range: XXXXXXXXXXXXXXXX to XXXXXXXXXXXXXXXX

Serial-#: XXXXXXXXXXXXXXXX to XXXXXXXXXXXXXXXX

user1/user2/user3/user4: XXXXX/XXXXX/XXXXX/XXXXX

| Serial-# | Firearm-type | Caliber | Date | Trx-typ | Vendor/Customer-name | Vendor/Customer-address |
|----------|--------------|---------|------|---------|----------------------|-------------------------|
|----------|--------------|---------|------|---------|----------------------|-------------------------|

Manufacturer: XXXXXXXXXXXXXXXXXXXXXXXX

Model: XXXXXXXXXXXXXXXXXXXXXXXX

| | | | | | | |
|--------------------|-----------------------|-------|----------|------|-----------------------|--|
| XXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXX | XXXXX | Z9/99/99 | Recv | XXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXX XX XXXXXXXXXXXXX License: XXXXXXXXXXXXXXXXXXXXXXXX |
| XXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXX | XXXXX | Z9/99/99 | Recv | XXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXX XX XXXXXXXXXXXXX License: XXXXXXXXXXXXXXXXXXXXXXXX |
| | | | | Sale | XXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXX XX XXXXXXXXXXXXX License: XXXXXXXXXXXXXXXXXXXXXXXX |
| XXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXX | XXXXX | Z9/99/99 | Recv | XXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXX XX XXXXXXXXXXXXX License: XXXXXXXXXXXXXXXXXXXXXXXX |
| | | | | Sale | XXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXX XX XXXXXXXXXXXXX License: XXXXXXXXXXXXXXXXXXXXXXXX |

Number of firearms received: ZZZ,ZZZ,ZZ9-
 Number of firearms sold: ZZZ,ZZZ,ZZ9-
 Adjustments and transfers: ZZZ,ZZZ,ZZ9-