
NICS Denied Transaction File

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1 INTRODUCTION

1.1 BACKGROUND

The NICS Denied Transaction File (NDTF) in the NCIC System is designed to share information regarding individuals who, having been determined to be prohibited persons according to the Brady Handgun Violence Prevention Act of 1993 (Brady Act), have been denied as a result of a National Instant Criminal Background Check System (NICS) background check. The data in the NDTF will enhance officer and public safety and provide investigative assistance.

If the status of a NICS denied transaction is subsequently changed, such as the result of a successful appeal, then the corresponding NDTF record will be removed from the NCIC System. To ensure that NICS deny transactions which have subsequently incurred a status change are not stored in the NCIC System, in accordance with the purge requirements of the Brady Act as defined by the United States Congress and federal regulation, NDTF information will not be maintained on the NCIC System logs.

1.2 CRITERIA FOR ENTRY

The NDTF will contain all records for individuals who have been denied as a result of a NICS check. NDTF records are entered and canceled through an interface between the NCIC System and NICS.

1.3 MESSAGE KEY (MKE) CODES

Message	MKE	Translation
Entry	END	NICS DENIED TRANSACTION FILE
Cancel	XND	
Inquiry	QND	
	QW ZW QWA QWE QWF QWS QWB QWI	

1.4 RECORD RETENTION

All NDTF records are available in the NCIC System from the Date of NICS Denial. Canceled records will be removed from the NDTF on the day of the cancellation transaction.

1.5 VALIDATION

NDTF records are not subject to validation.

1.6 MESSAGE FIELD CODES (MFCs) AND EDITS

CODE	FIELD	EDITS
CTZ	Citizenship	Must be a valid NCIC-assigned country code as listed in State and Country Data Codes, <i>NCIC Code Manual</i> .

DND	Date of NICS Denial	Must be a valid Gregorian date (YYYYMMDD) less than or equal to the current date.
DOB	Date of Birth	Must be a valid Gregorian date (YYYYMMDD).
DOC	Date of Cancellation	Must be a valid Gregorian date (YYYYMMDD) equal to current date or current date minus one.
HGT	Height	The first character represents feet and the second and third characters represent inches. May be a minimum of 400 but not more than 711.
MKE	Message Key	Must be a valid message key
MNU	Miscellaneous Number	The first two characters must be a valid NCIC-assigned code as listed in Personal Descriptors Codes, <i>NCIC Code Manual</i> . The third character must be a hyphen. Entry of one zero only, or a run of zeros only is prohibited in positions 4 through 15. If the MNU exceeds 15 characters, the first 15 characters should be entered in the MNU Field.
NAM	Name	The name may include alphabetics, numerics, a comma, hyphens, and spaces; the comma must follow the last name; there can be no more than one space after the comma. The hyphen cannot be in the first position or directly precede the comma. The Personal Descriptors Codes, <i>NCIC Code Manual</i> , provides coding instructions.
NIC	NCIC Number	A self-checking number automatically assigned by the NCIC System to each accepted record and consists of an alphabetic character (E for the NDTF) followed by nine numeric characters. Must have valid check digits when used to identify the record in a subsequent transaction.
NTN	NICS Transaction Number	NICS-assigned number.
ORI	Originating Agency Identifier	Must be a valid NCIC-assigned ORI.
POB	Place of Birth	Must be a valid NCIC-assigned code as listed in the State and Country Data Codes, <i>NCIC Code Manual</i> . More information also in Personal Descriptors Codes, <i>NCIC Code Manual</i> .
RAC	Race	Must be a valid NCIC-assigned code as listed in Personal Descriptors Codes, <i>NCIC Code Manual</i> .
SEX	Sex	Must be a valid NCIC-assigned code as listed in Personal Descriptors Codes, <i>NCIC Code Manual</i> .

SOC	Social Security Number	Must not be less than 001010001. A run of zeros only is prohibited. The SOC cannot have a value of 9 in the first position or have a value of 00 in the fourth and fifth positions. The SOC cannot have a value of 666 in the first, second, and third positions or have a value of 0000 in the sixth, seventh, eighth, and ninth positions. Invalid and/or unissued numbers are accepted but cause a SOC attention message. More information in Personal Descriptors Codes, <i>NCIC Code Manual</i> .
SOP	State of Purchase	Must be a valid NCIC-assigned state code as listed in State and Country Data Codes, <i>NCIC Code Manual</i> .
SOR	State of Residence	Must be a valid NCIC-assigned state code as listed in State and Country Data Codes, <i>NCIC Code Manual</i> .
STN	State Transaction Number	State-assigned number
WGT	Weight	Minimum of 001 and maximum of 499. More information in Personal Descriptors Codes, <i>NCIC Code Manual</i> .

2 ENTRY

All records in the NDTF are entered through an interface between the NCIC System and NICS that is managed by the FBI.

3 MODIFICATION

There are no modification procedures for the NDTF.

4 CANCELLATION

All records in the NDTF are canceled through an interface between the NCIC System and NICS (which is managed by the FBI) and are immediately removed from the NDTF.

5 INQUIRY

5.1 NCIC INQUIRY PROCESSING

The NDTF Inquiry (QND) will only search records in the NDTF and is not restricted by the date of denial. NDTF records are searched by all NCIC Wanted Person File Inquiry MKEs during the entry/modification of other NCIC person files (except the Unidentified Person File). Other than the QND, the NCIC System will return all NDTF records where the date of NICS denial is less than 180 days.

5.2 EXAMPLE OF INQUIRY WITH NEGATIVE AND POSITIVE RESPONSES

```
1N01HEADER.QND.WA1230000.NAM/SMITH, JOHN J.SEX/M.DOB/19511012.SOC/123456789
```

Negative QND Response

```
1L01HEADER
WA1230000
```

```
NO NCIC NICS DENIED TRANSACTION FILE RECORD NAM/SMITH, JOHN J DOB/19511012 SEX/M
NO NCIC NICS DENIED TRANSACTION FILE RECORD SOC/123456789
```

Positive QND Response

1L01HEADER
WA1230000

***** NOTICE: DO NOT DETAIN OR ARREST BASED ON THIS HIT. THE DATE OF NATIONAL INSTANT CRIMINAL BACKGROUND CHECK SYSTEM (NICS) DENIAL (DND) PROVIDED IN THIS RECORD IS THE DATE THE SUBJECT WAS DENIED BY THE NICS FROM THE RECEIPT AND/OR THE POSSESSION OF A FIREARM OR THE ISSUANCE OF A FIREARM OR EXPLOSIVES PERMIT PURSUANT TO STATE AND/OR FEDERAL LAW. HOWEVER, IT IS POSSIBLE THIS SUBJECT MAY NO LONGER BE A PROHIBITED PERSON. DISSEMINATION OF SUPPLEMENTARY INFORMATION BY THE DENYING AGENCY MAY BE LIMITED UNDER STATE OR FEDERAL LAW.

MKE/NICS DENIED TRANSACTION FILE
ORI/WVNICS000 NAM/SMITH, JOHN J SEX/M RAC/W POB/RI
DOB/19511012 HGT/511 WGT/230 CTZ/US
SOC/123456789
SOP/NV SOR/NV DND/20120909
NTN/ABC1234567 STN/123ABC4567
NIC/E123456789 DTE/20120909 23150401 EDT DLU/20120909 23150404 EDT
*** THE INFORMATION DISPLAYED IN THIS RECORD IS A POSSIBLE MATCH TO THE INDIVIDUAL QUERIED. THIS MATCH IS BASED ON NAME AND DESCRIPTIVE DATA ONLY. NO LAW ENFORCEMENT ACTION SHOULD BE INITIATED BASED SOLELY ON THIS INFORMATION.

The message keys QW, QWA, QWE, QWF, QWS, ZW, QWB, and QWI are used for NICS Denied Person File inquiries in addition to Foreign Fugitive, Wanted Person, Gang, Threat Screening Center, Protection Order, Immigration Violator, Missing Person, Identity Theft, Supervised Release, Violent Person, Protective Interest, and Extreme Risk Protection Order Files and the National Sex Offender Registry and will cause these files to be searched automatically. If vehicle identifiers (LIC, LIS, and/or VIN and VMA) are included in the inquiry, the Vehicle, Boat, Vehicle/Boat Part, and License Plate Files will also be searched. If MNU, SOC, or OLN is included in the inquiry, the Article File personal identifier records will also be searched.

1N01HEADER.QW.WA1230000.NAM/SMITH, JOHN J.SEX/M.RAC/W.DOB/19511012.RSH/Y

Negative Response:

1L01HEADER
WA1230000

NO NCIC WANT DOB/19511012 NAM/SMITH, JOHN J SEX/M RAC/W
***MESSAGE KEY QW SEARCHES WANTED PERSON FILE FELONY RECORDS REGARDLESS OF EXTRADITION AND MISDEMEANOR RECORDS INDICATING POSSIBLE INTERSTATE EXTRADITION FROM THE INQUIRING AGENCY'S LOCATION. ALL OTHER NCIC PERSONS FILES ARE SEARCHED WITHOUT LIMITATIONS.

Positive Response:

1L01HEADER
WA1230000

***MESSAGE KEY QW SEARCHES WANTED PERSON FILE FELONY RECORDS REGARDLESS OF EXTRADITION AND MISDEMEANOR RECORDS INDICATING POSSIBLE INTERSTATE EXTRADITION FROM THE INQUIRING AGENCY'S LOCATION. ALL OTHER NCIC PERSONS FILES ARE SEARCHED WITHOUT LIMITATIONS.

***** NOTICE: DO NOT DETAIN OR ARREST BASED ON THIS HIT. THE DATE OF NATIONAL INSTANT CRIMINAL BACKGROUND CHECK SYSTEM (NICS) DENIAL (DND) PROVIDED IN THIS RECORD IS THE DATE THE SUBJECT WAS DENIED BY THE NICS FROM THE RECEIPT AND/OR THE POSSESSION OF A FIREARM OR THE ISSUANCE OF A FIREARM OR EXPLOSIVES PERMIT PURSUANT TO STATE AND/OR FEDERAL LAW. HOWEVER, IT IS POSSIBLE THIS SUBJECT MAY NO LONGER BE A PROHIBITED PERSON. DISSEMINATION OF SUPPLEMENTARY INFORMATION BY THE DENYING AGENCY MAY BE LIMITED UNDER STATE OR FEDERAL LAW.

MKE/NICS DENIED TRANSACTION FILE
 ORI/WVNICS000 NAM/SMITH, JOHN J SEX/M RAC/W POB/RI
 DOB/19511012 HGT/511 WGT/230 CTZ/US
 SOC/123456789
 SOP/NV SOR/NV DND/20120909
 NTN/ABC1234567 STN/123ABC4567
 NIC/E123456789 DTE/20120909 23150401 EDT DLU/20120909 23150404 EDT
 *** THE INFORMATION DISPLAYED IN THIS RECORD IS A POSSIBLE MATCH TO THE INDIVIDUAL QUERIED. THIS MATCH IS BASED ON NAME AND DESCRIPTIVE DATA ONLY. NO LAW ENFORCEMENT ACTION SHOULD BE INITIATED BASED SOLELY ON THIS INFORMATION.

5.3 MESSAGE FIELD CODES FOR INQUIRY

FIELD NAME	REQUIREMENTS	MESSAGE FIELD CODE	FIELD LENGTH	DATA TYPE
HEADER	MANDATORY	HDR	9-19	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
MESSAGE KEY	MANDATORY	MKE	3-3	ALPHABETIC
ORIGINATING AGENCY IDENTIFIER	MANDATORY	ORI	9-9	ALPHABETIC, NUMERIC
NAME	CONDITIONAL	NAM	3-30	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
DATE OF BIRTH	CONDITIONAL	DOB	8-8	NUMERIC
SEX	OPTIONAL	SEX	1-1	ALPHABETIC
RACE	OPTIONAL	RAC	1-1	ALPHABETIC
MISCELLANEOUS	CONDITIONAL	MNU	4-15	ALPHABETIC,

NUMBER				NUMERIC, SPECIAL CHARACTERS
SOCIAL SECURITY NUMBER	CONDITIONAL	SOC	9-9	NUMERIC
NICS TRANSACTION NUMBER	CONDITIONAL	NTN	7-10	ALPHABETIC, NUMERIC
NCIC NUMBER	CONDITIONAL	NIC	10-10	ALPHABETIC, NUMERIC
STATE TRANSACTION NUMBER	OPTIONAL	STN	1-12	ALPHABETIC, NUMERIC

5.4 REQUIREMENTS FOR INQUIRY

An inquiry of the NDTF may be made by name and one, more than one, or all of the following alphanumeric identifiers: DOB (including year, month, day), MNU, and SOC with each data element preceded by the proper MFC. Additionally, inquiries may be made using NAM and NTN only, in that order; NAM and STN only, in that order; or NIC only, with each data element preceded by the proper MFC and a slash (/).

NOTE: Exact spelling of the name as contained in the record is required when inquiring with only NAM and NTN or NAM and STN.

5.5 ADDITIONAL GUIDELINES FOR INQUIRY

- A QND transaction containing a DOB will search on the exact date of birth.
- The SEX and RAC Fields should be included in the QND to minimize hits by limiting the scope of the name search. The RAC Field codes and the race codes that the NCIC System will search in an inquiry follow:

Race Code In Inquiry		Race Codes Searched
A	(Asian or Pacific Islander)	All
I	(American Indian or Alaskan Native)	All
B	(Black)	All except W
W	(White)	All except B
U	(Unknown)	All

- When the inquiry contains a name and an alphanumeric identifier other than DOB (SOC or MNU) a name search is not generated. In this situation, only the alphanumeric identifier is searched. Including sex and race in this inquiry will not confine the search.
- QW, QWA, QWE, QWF, QWS, ZW, or QWI inquiries may contain the Image Indicator (IND), Related Search Hit (RSH), Expanded Name Search (ENS), and Expanded Date of Birth Search

(EBS) Fields. Additional information on the use of these fields can be found in the Wanted Person File chapter.

5.5.1 BATCH INQUIRY (QWB)

The batch inquiry allows users to create a file of multiple QWA inquiries in one message. Each inquiry is delimited by a sequence number (SEQ) at the beginning of the inquiry and an "&" as a separator. The SEQ is three numerics and is used to match the responses (hit or no hit) to the specific inquiries from which they were generated. Prior to each response SEQUENCE NUMBER: <SEQ> will be returned to identify those responses that follow as coming from the inquiry with that sequence number. Additional information on procedures for conducting QWB inquiries can be found in the Wanted Person File chapter.

5.6 PROCEDURES FOR HANDLING A HIT

The existence of an NDTF record does not require hit confirmation by the inquiring agency.

6 LOCATE

There are no locate procedures for the NDTF.

7 CLEAR

There are no clear procedures for the NDTF.

8 SUPPLEMENTAL RECORD

There is no supplemental data for the NDTF.