

*NCIC 2000*  
*NICS DENIED TRANSACTION FILE*

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**SECTION 1 -- INTRODUCTION**

**1.1 BACKGROUND**

The NICS Denied Transaction File (NDTF) in NCIC 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 NCIC. To ensure that NICS deny transactions which have subsequently incurred a status change are not stored in NCIC, 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 records for individuals who have been denied as a result of a NICS check during the last 180 days. NDTF records are entered and canceled through an interface between NCIC and NICS.

**1.3 MESSAGE KEY (MKE) CODES**

<b>Message</b>	<b>MKE</b>	<b>Translation</b>
Entry		NICS DENIED TRANSACTION FILE
Inquiry	QND	

**1.4 RECORD RETENTION**

NDTF records are available in NCIC for 180 days from the Date of NICS Denial at which time the NDTF records will be purged. Canceled records will be purged on the day of the cancellation transaction.

## 1.5 VALIDATION

NDTF records are not subject to validation.

## 1.6 MESSAGE FIELD CODES AND EDITS

<b>Code</b>	<b>Field</b>	<b>Edits</b>
CTZ	Citizenship	Must be a valid NCIC-assigned country code as listed in State and Country Codes, <i>NCIC 2000 Code Manual</i> .
DND	Date of NICS Denial	Must be a valid Gregorian date (YYYYMMDD).
DOB	Date of Birth	Must be a valid Gregorian date (YYYYMMDD).
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, <i>NCIC 2000 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 alphabetic, 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 <i>NCIC 2000 Code Manual</i> , Personal Descriptors, provides coding instructions.
NIC	NCIC Number	A self-checking number automatically assigned by NCIC 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.

<b>Code</b>	<b>Field</b>	<b>Edits</b>
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 Codes, <i>NCIC 2000 Code Manual</i> . More information also in Personal Descriptors, <i>NCIC 2000 Code Manual</i> .
RAC	Race	Must be a valid NCIC-assigned code as listed in Personal Descriptors, <i>NCIC 2000 Code Manual</i> .
SEX	Sex	Must be a valid NCIC-assigned code as listed in Personal Descriptors, <i>NCIC 2000 Code Manual</i> .
SOC	Social Security Number	Must not be less than 001010001. The SOC cannot have a value of 9 in the first position or have a value of 00 in the fourth and fifth positions. Invalid and/or unissued numbers are accepted but cause a SOC attention message. More information in Personal Descriptors, <i>NCIC 2000 Code Manual</i> .
SOP	State of Purchase	Must be a valid NCIC-assigned state code as listed in State and Country Codes, <i>NCIC 2000 Code Manual</i> .
SOR	State of Residence	Must be a valid NCIC-assigned state code as listed in State and Country Codes, <i>NCIC 2000 Code Manual</i> .
WGT	Weight	Minimum of 001 and maximum of 499. More information in Personal Descriptors, <i>NCIC 2000 Code Manual</i> .

## **SECTION 2 -- ENTRY**

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

## **SECTION 3 -- MODIFICATION**

There are no modification procedures for the NDTF.

## **SECTION 4 -- CANCELLATION**

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

## SECTION 5 -- INQUIRY

### 5.1 NCIC INQUIRY PROCESSING

The NDTF Inquiry (QND) will only search records in the NDTF. NDTF records are not retrievable through any other inquiry transaction but are searched during the entry/modification of other NCIC person files (except the Unidentified Person File).

### 5.2 EXAMPLE OF INQUIRY WITH NEGATIVE AND POSITIVE RESPONSES

1N01HEADER.QND.WA1230000.NAM/SMITH, JOHN J.SEX/M.DOB/19511012.SOC/987654321

#### 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/987654321  
ATTENTION: THE SOC USED IN YOUR TRANSACTION HAS NOT BEEN ASSIGNED BY THE  
SOCIAL SECURITY ADMINISTRATION. PLEASE CHECK FOR A DATA ENTRY ERROR.

#### 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 PURCHASE/POSSESSION OF A FIREARM PURSUANT TO STATE  
AND/OR FEDERAL LAW. HOWEVER, IT IS POSSIBLE THIS SUBJECT MAY NO  
LONGER BE PROHIBITED FROM PURCHASING/POSSESSING FIREARMS.

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  
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.  
NO NCIC NICS DENIED TRANSACTION FILE RECORD SOC/987654321  
ATTENTION: THE SOC USED IN YOUR TRANSACTION HAS NOT BEEN ASSIGNED BY THE  
SOCIAL SECURITY ADMINISTRATION. PLEASE CHECK FOR A DATA ENTRY ERROR.

### 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 NUMBER	CONDITIONAL	MNU	4-15	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
SOCIAL SECURITY NUMBER	CONDITIONAL	SOC	9-9	NUMERIC
NICS TRANSACTION NUMBER	CONDITIONAL	NTN	1-20	ALPHABETIC, NUMERIC
NCIC NUMBER	CONDITIONAL	NIC	10-10	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; or NIC only, with each data element preceded by the proper MFC.

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

### 5.5 ADDITIONAL GUIDELINES FOR INQUIRY

1. A QND transaction containing a DOB will search on the exact date of birth.
2. 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 NCIC 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

3. 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.

**5.6 PROCEDURES FOR HANDLING A HIT**

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

## **SECTION 6 -- LOCATE**

There are no locate procedures for the NDTF.

## **SECTION 7 -- CLEAR**

There are no clear procedures for the NDTF.

## **SECTION 8 -- SUPPLEMENTAL RECORD**

There is no supplemental data for the NDTF.