Division of
New York State Police

NYS NICS New Application Process for Dealers
User Guide

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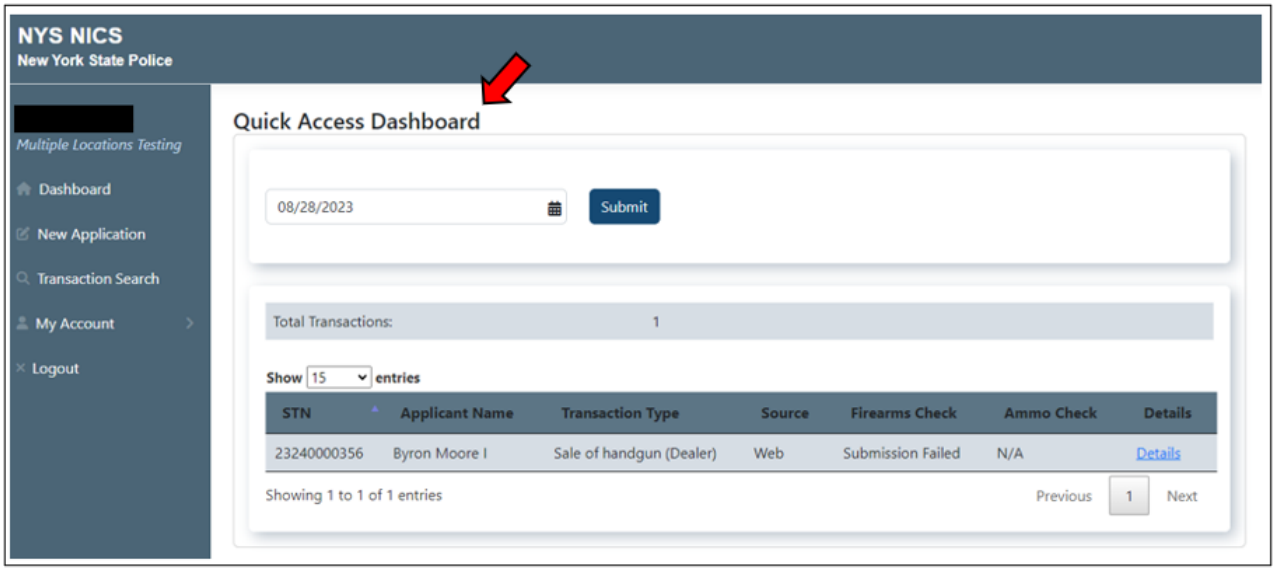
I. Quick Access Dashboard



Pursuant to Executive Law § 228, New York has been designated a Point of Contact state for the purpose of processing National Instant Background Check ("NICS") transactions. This means that starting on September 13, 2023, all background check requests for firearm, rifle, shotgun, and ammunition purchases will be submitted to the New York State Police, and dealers will no longer submit requests directly to FBI NICS.

Upon initial log in, you will be directed to your business account "Quick Access Dashboard". Within the dashboard you will have the ability to view all applications that have been submitted on behalf of your business account by current date, up to a week back. Selecting the 'Calendar' icon allows you to view daily applications as far back as a week.

"Transaction Search" from the left-hand navigation gives you the ability to view all applications that have been processed by the business. You can locate an application based on the "Submission Date Range", "State Transaction Number (STN)" or the "Applicant Information".

Once an application has been submitted, you can monitor the application's status on the dashboard or through the transactional search function. Statuses are updated as background checks are processed, be sure to check back periodically to see the updated status.

Common statuses you will see are:

- **Proceed** – These are automatic approvals. You may proceed with the sale.
- **Delayed** – An application will be delayed if a possible match is returned on the background check. NYS has 30 days, by law, to review an application before making a determination.
- **Expired** – Applications in a delayed status for more than a 30-day timeframe will be set to expired. A background check transaction is only valid for 30 days and will need to be resubmitted if this timeframe has elapsed.

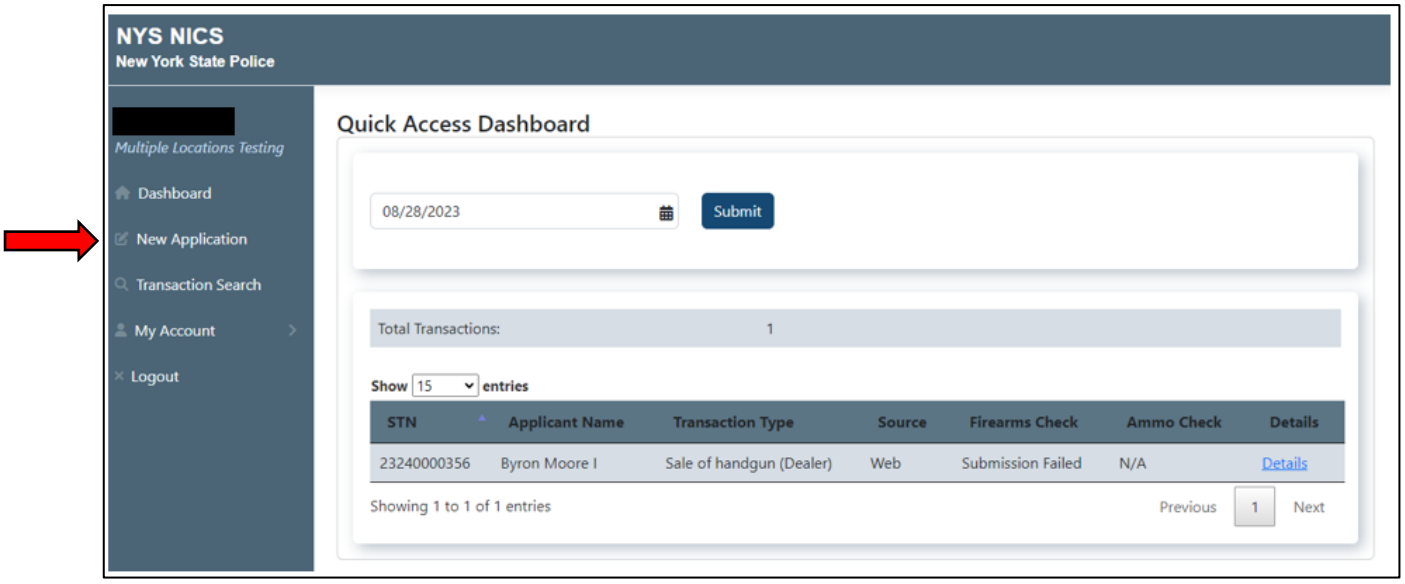
- **For Firearms** –
  Expired applications will require a new application to be submitted if the applicant wishes to proceed with the sale. After 3 days of the second application being submitted and not receiving a response, it is up to the dealer's discretion to proceed with the sale or wait for NYS NICS unit to review the application.
- **For Ammunition** –
  Expired applications will require a new application be submitted until the status is set to proceed. A dealer cannot move forward with the sale of ammunition until they receive a "Proceed" response.

- **Denied** – The applicant is prohibited from purchasing a firearm and/or ammunition. The applicant may choose to Appeal the transaction if they believe they are being wrongly denied.
- **Pending** – The application is being sent out to complete the background check for a response. Applications that remain in a 'Pending' status will be automatically retried for up to 30 days. If you have an application which shows as 'Pending' for over 24 hours, please contact the NYS NICS unit at 1-877-NYS-NICS. Applications will show as 'Pending' during maintenance windows and outages as well.
- **Submission Failed** – The 'Submission Failed' response occurs when there is invalid data in a field during submission. Please contact the NYS NICS Unit at 1-877-NYS-NICS if you receive this error message before attempting to resubmit.

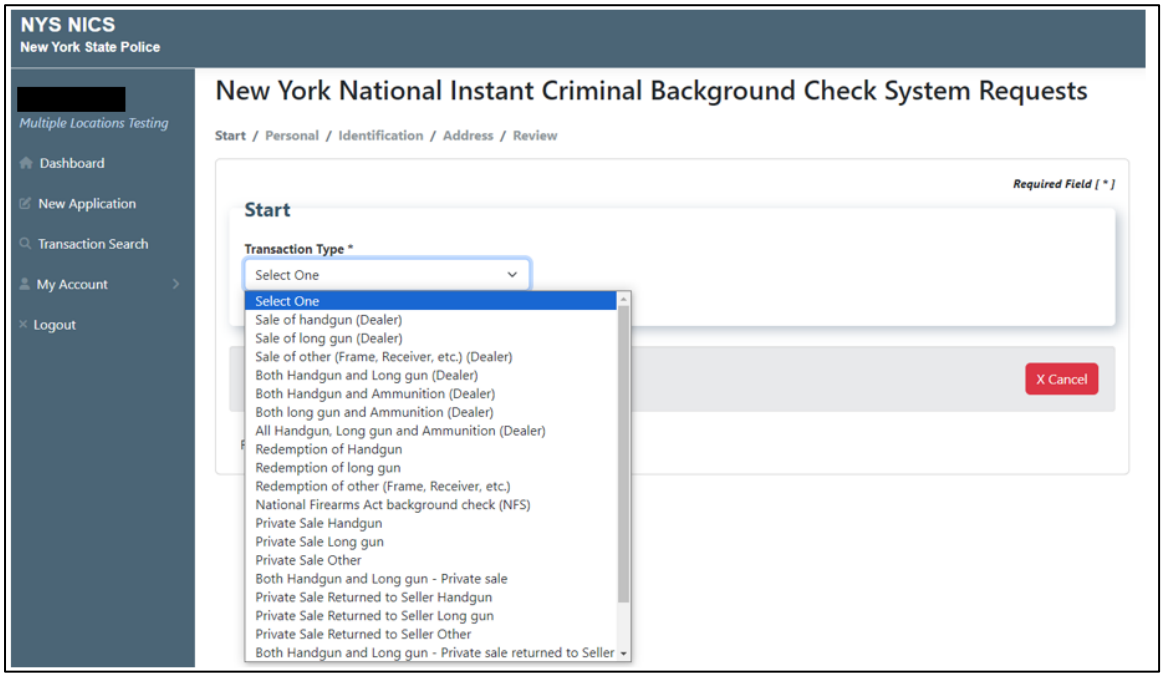
II. New Application

1. New Application

a. From the left-hand navigation select 'New Application'



b. From the drop-down, select the 'Transaction Type' you wish to process (For the purpose of this guide, All Handgun, Long gun and Ammunition transaction types will be shown)

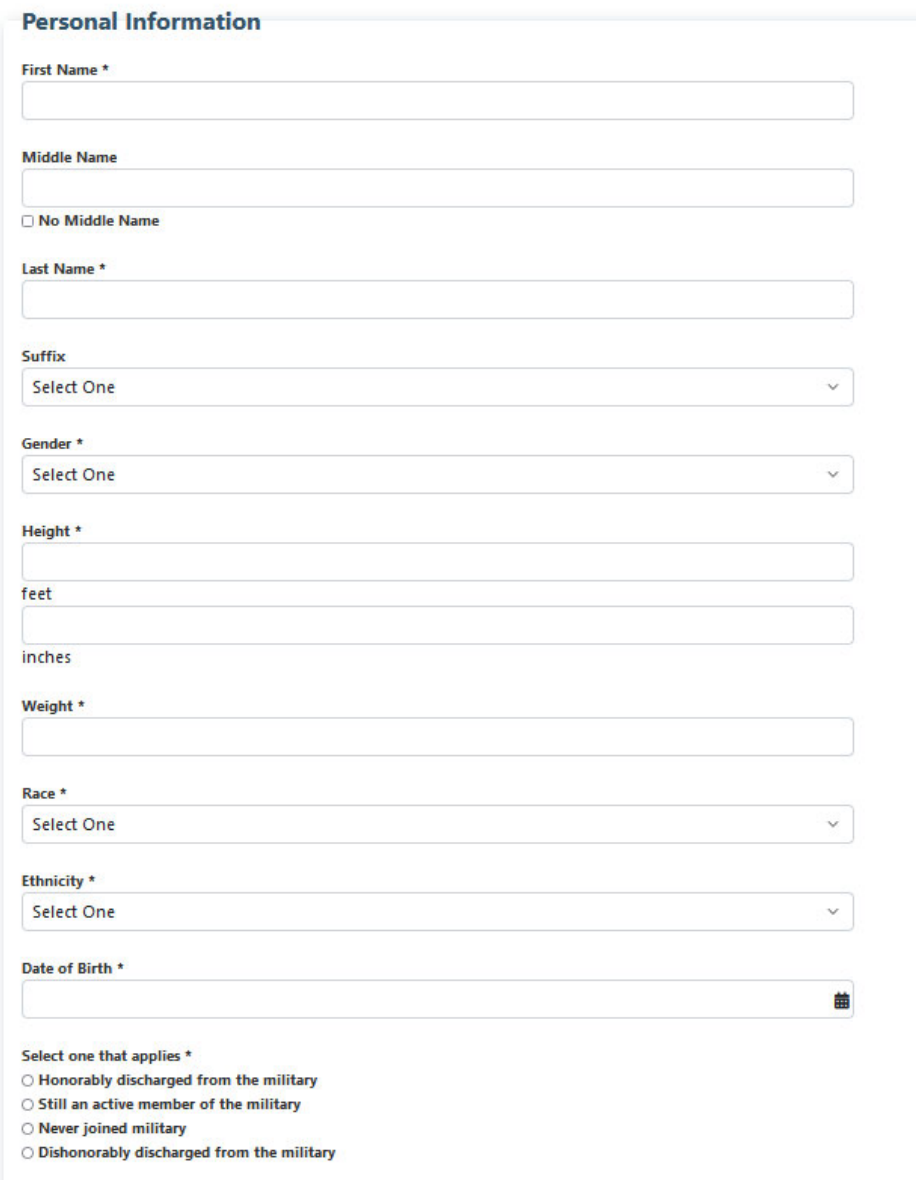


c. When complete, select the 'Continue' button

2. Personal Information

a. The following fields are required and must be answered:

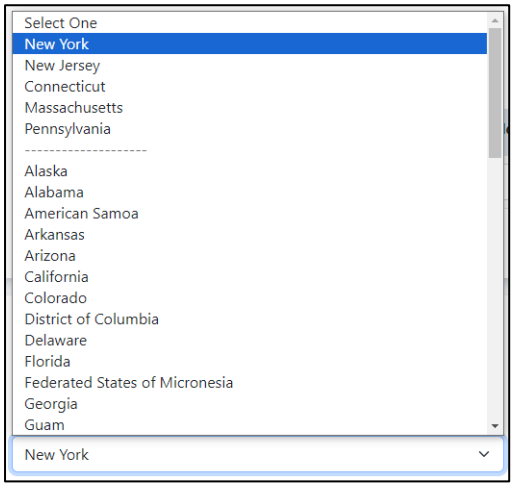
- First Name
- Middle Name/No Middle Name check box
- Last Name
- Gender
- Height
- Weight
- Race
- Ethnicity
- Date of Birth
- Prior Military Status



b. Within the "Additional Name/Aliases" section, complete the following fields:
   - Have you been known by any name or names other than the above?
   - If Yes:
     - First Name (Required)
     - Last Name (Required)

* You may add up to 5 additional names/aliases

c. Within the "Place of Birth" section, complete the following fields:
   - Country
   - State
     - Displays dynamically based on selection of "United States of America"
     - Drop down displays the most frequent states on top – NY, NJ, CT, MA, PA



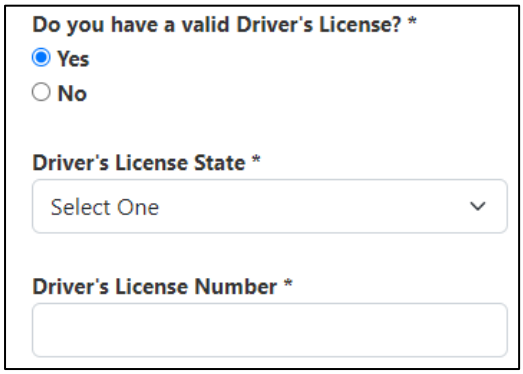
   - City
     - This is a free text field

d. After every field has been answered from the "Personal Information" page, select the 'Continue' button

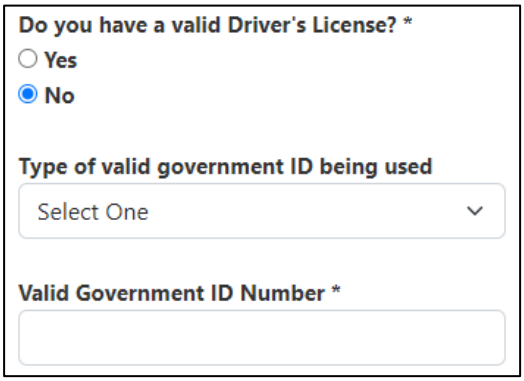
3. Identification Information

a. The following fields are required and must be answered:
   - Occupation
     - This is a free form text field with a 100-character limit

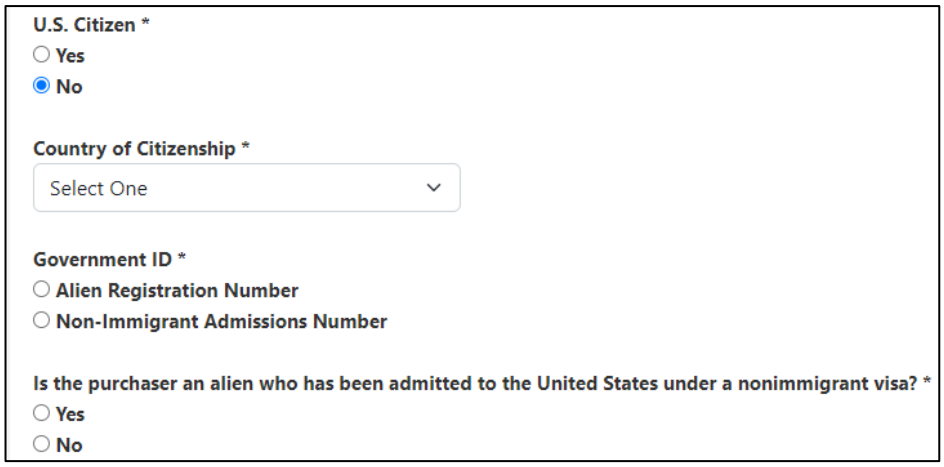
- Do you have a valid Driver's License?
  - If Yes, you will be asked for:
    - Driver's License State
      - Displays dynamically based on the selection of 'Yes' to the question above
    - Driver's License Number
      - Displays dynamically based on the selection of 'Yes' to the question above



  - If No, you will be asked for:
    - Type of valid government ID being used
      - Displays dynamically based on the selection of 'No' to the question above
    - Valid Government ID Number
      - Displays dynamically based on the selection of 'No' to the question above

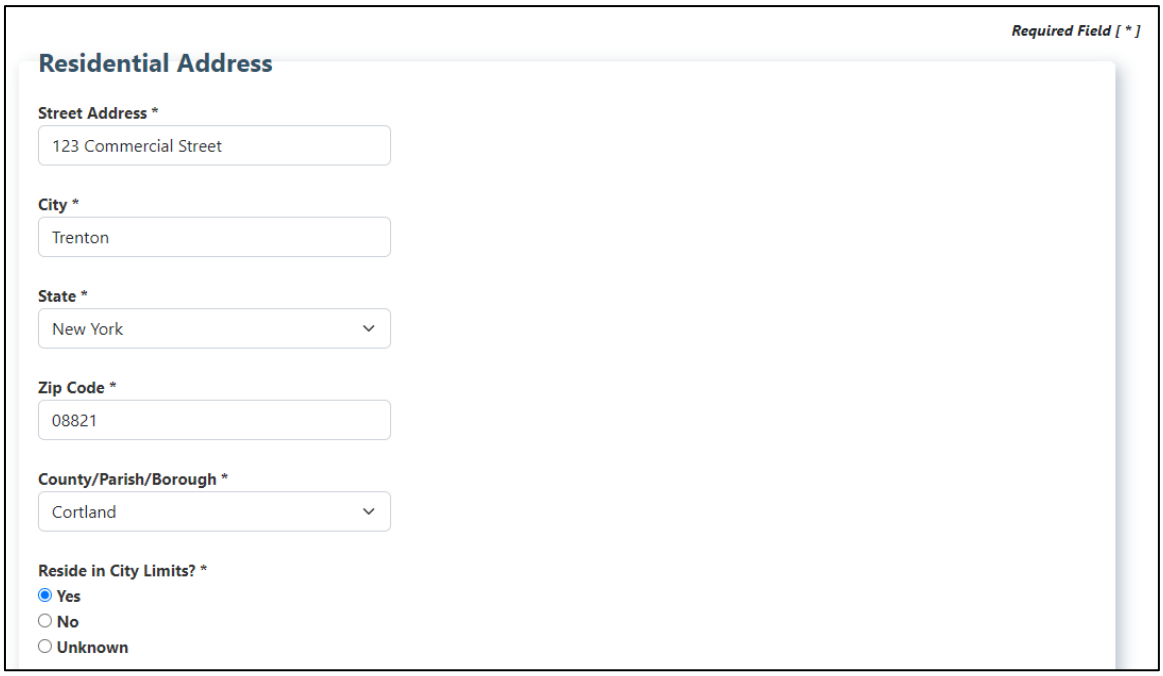


- U.S. Citizen
  - Country of Citizenship
  - Government ID
    - Is the purchaser an alien who has been admitted to the United States under a nonimmigrant visa?
    - These additional 3 questions dynamically display based on the selection of 'No' to U.S. Citizen question



- Social Security Number (SSN/SOC)
- Unique Personal Identification Number (UPIN)
  - If applicable

4. **Residential Address**
   a. Within the "Residential Address" section, the following fields are required and must be answered:

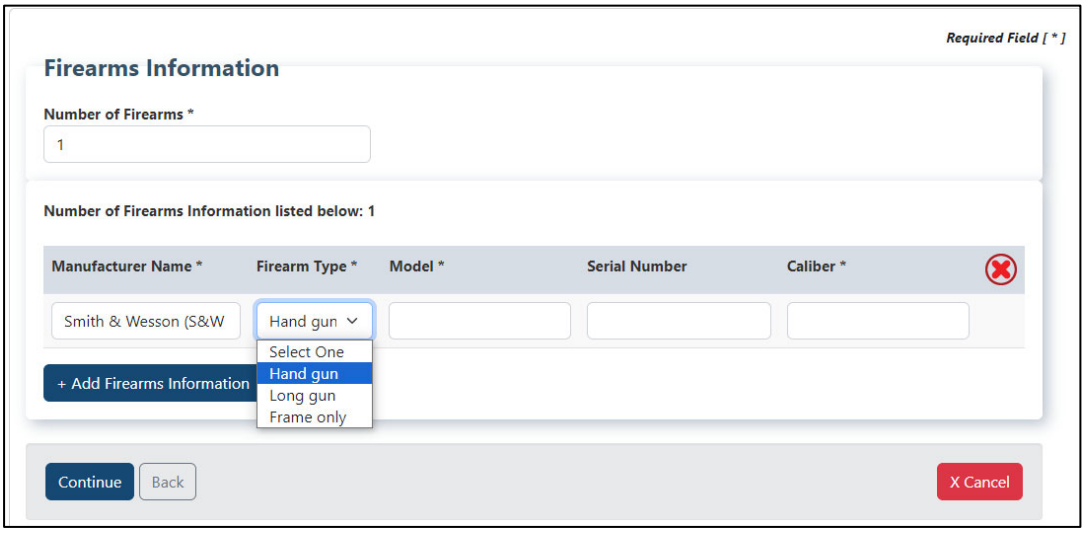


- Street Address
- City
- State
- Zip Code
- County/Parish/Borough
- Reside in City Limits

   b. Within the "Contact Information" section, the following fields are required and must be answered:
      - Email
      - Confirm Email
      - Primary Phone

c. When complete, select the 'Continue' button

5. **Firearms Information (This section will only appear for firearm transactions)**
   a. The following fields are required and must be answered:
      - Number of Firearms – Multiple Firearms can be submitted on a single application
      - Manufacturer Name
      - Firearm Type
        - Hand gun
        - Long gun
        - Frame only
      - Model
      - Serial Number – Required for Firearm Type of Hand gun
      - Caliber – optional for Firearm Type of Frame only

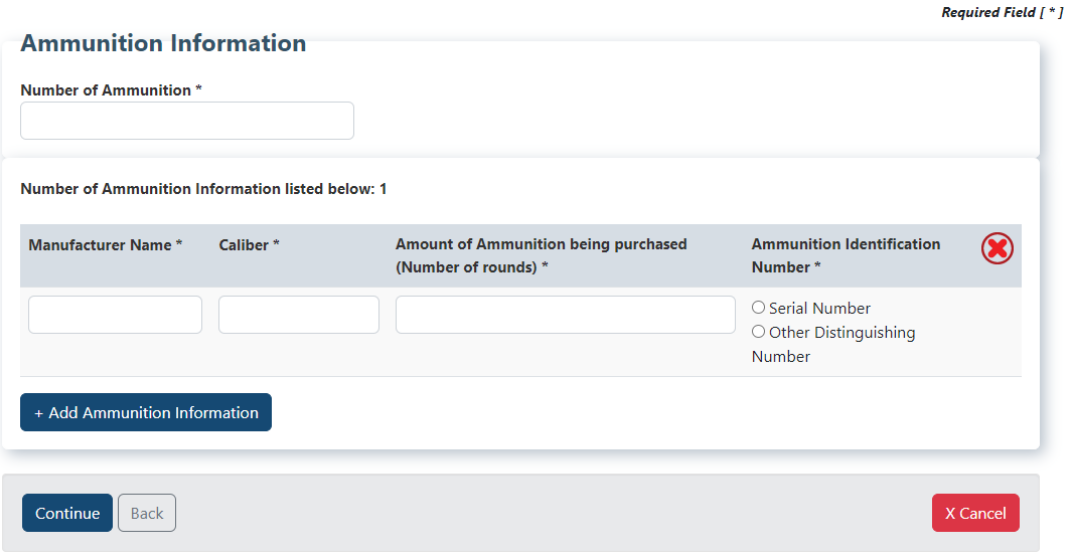


   b. When complete select the 'Continue' button

6. **Ammunition Information (This section will only appear for ammunition transactions)**

   a. The following fields are required and must be answered:
      - Number of Ammunition – Multiple Ammunition transactions can be submitted on a single application
      - Manufacturer Name
      - Caliber
      - Amount of Ammunition being purchased (number of rounds)
      - Ammunition Identification Number
        - Serial Number

- Other Distinguishing Number



b. When complete, select the 'Continue' button

7. Review

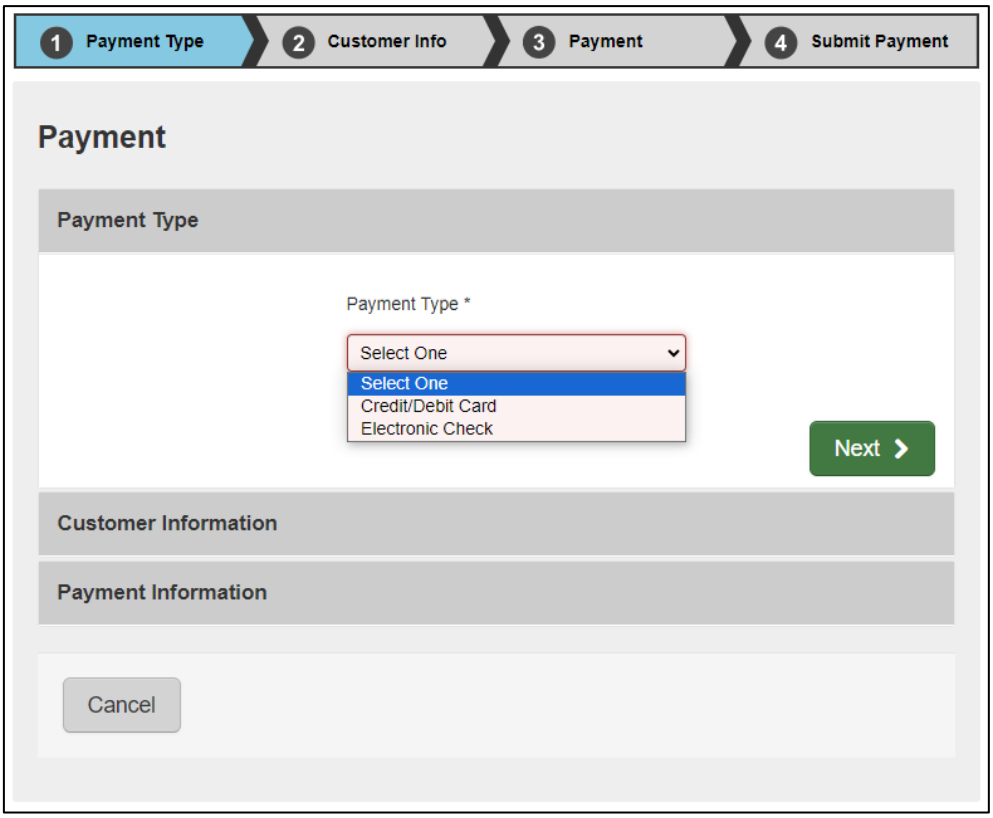
a. You will now be directed to the "Review" page. From here you will be able to edit any information previously entered on the previous pages:
   - Start – Transaction Type
   - Personal Information
   - Identification Information
   - Residential Address
   - Firearm Information
   - Ammunition Information

b. Once you have reviewed all the information and are ready to proceed, select the 'Submit' button

8. Payment

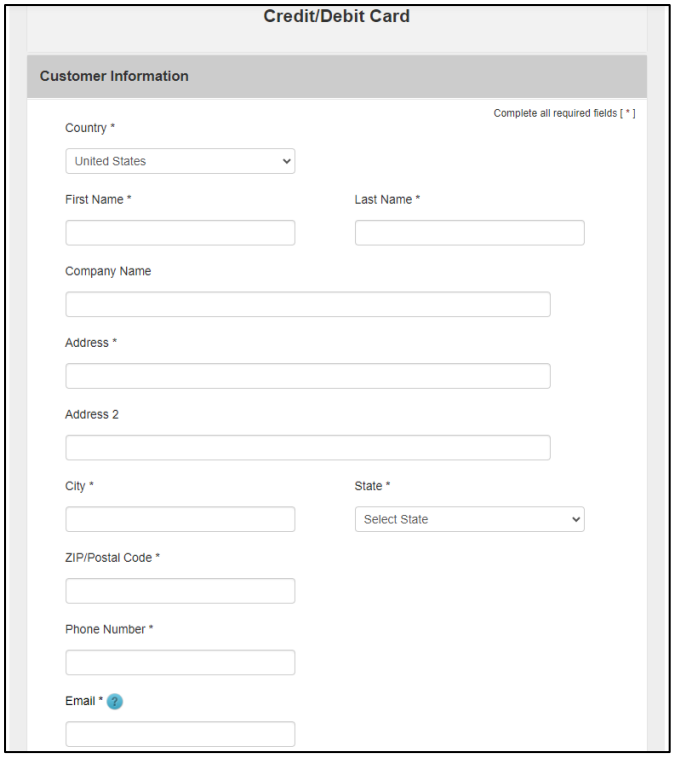
a. You will now be directed to the "Payment" page within the application
b. Select how you wish to pay from the Payment Type drop-down
   - Credit/Debit Card

- Electronic Check

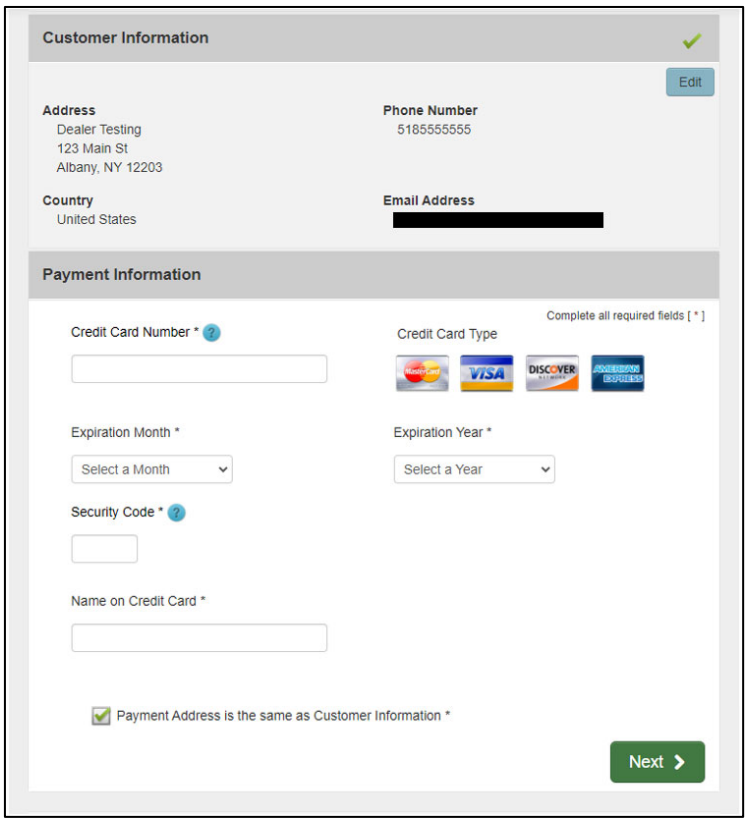


c. Select the 'Next' button when complete

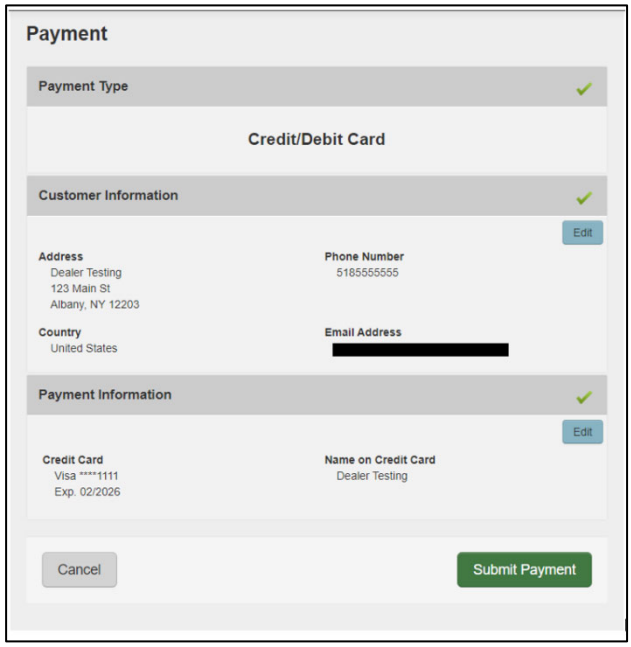
9. Dependent on selecting Credit/Debit Card from the drop-down, you will be prompted to the **Credit/Debit Card page**
   a. The following fields are required and must be answered:
      - First Name
      - Last Name
      - Address
      - City
      - State
      - Zip/Postal Code
      - Phone Number
      - Email



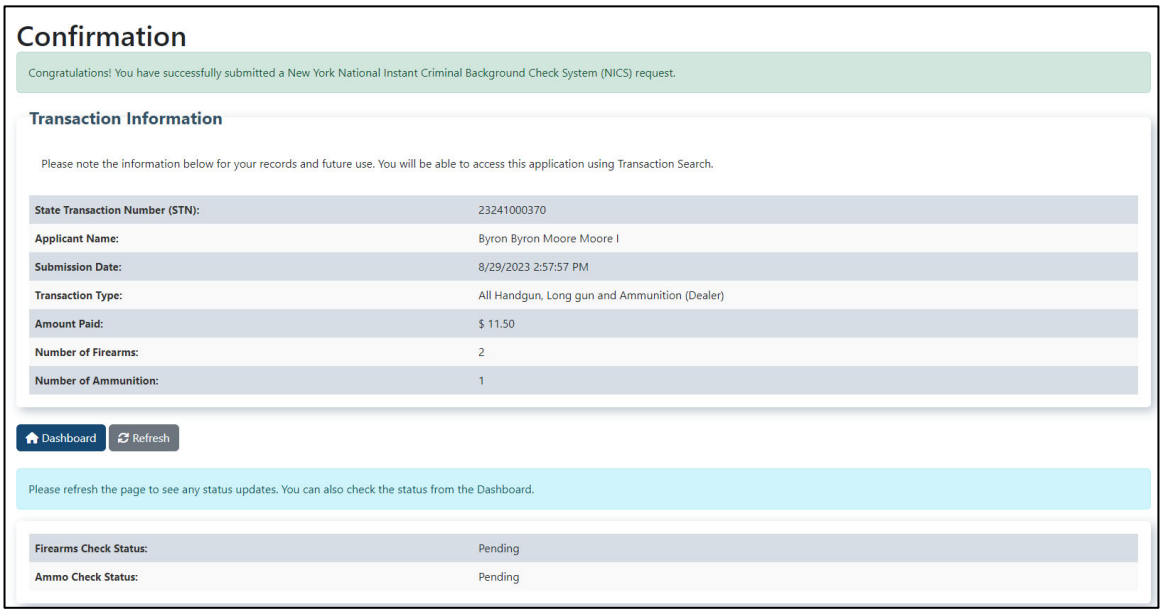
b. When complete, select the 'Next' button
c. Enter in your Payment Information. The following fields are required and must be answered:
    - Credit Card Number
    - Expiration Month
    - Expiration Year
    - Security Code
    - Name on Credit Card



d. When complete, select the 'Next' button
e. You will be brought to a payment review page. From here you may edit your payment information as needed. Once all information is accurate, select the 'Submit Payment' button



f. Once the payment has successfully been submitted, you will receive the "Confirmation" Information page



Confirmation

Congratulations! You have successfully submitted a New York National Instant Criminal Background Check System (NICS) request.

Transaction Information

Please note the information below for your records and future use. You will be able to access this application using Transaction Search.

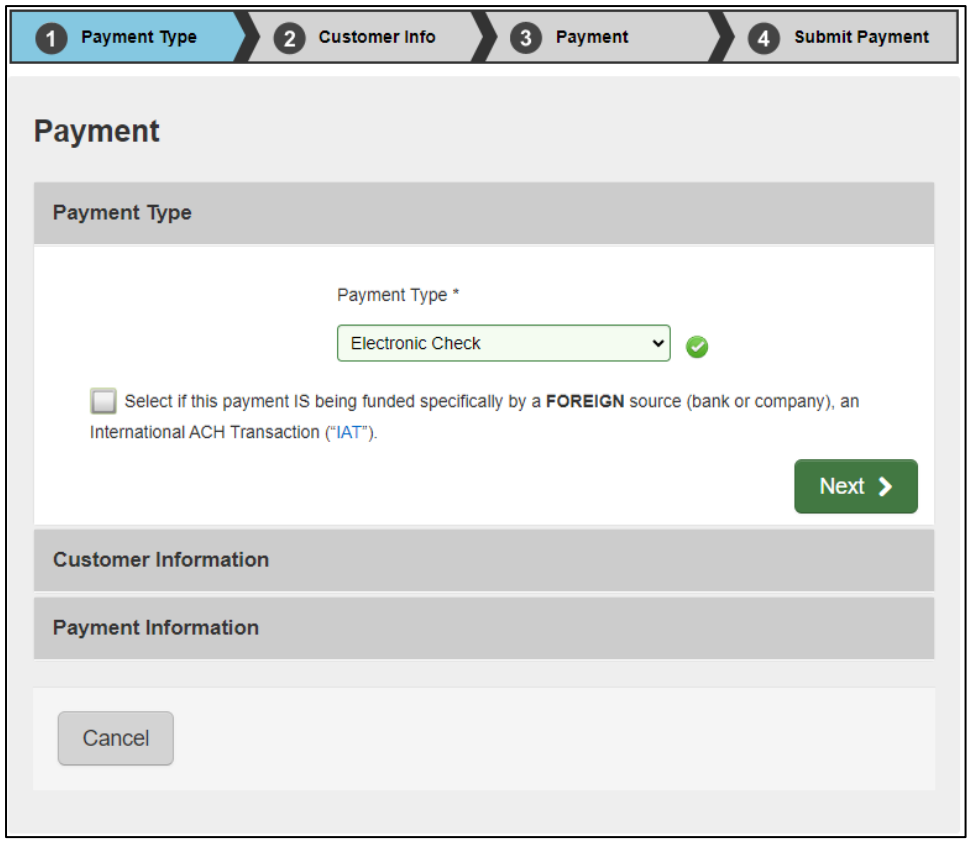
State Transaction Number (STN):	23241000370
Applicant Name:	Byron Byron Moore Moore I
Submission Date:	8/29/2023 2:57:57 PM
Transaction Type:	All Handgun, Long gun and Ammunition (Dealer)
Amount Paid:	$ 11.50
Number of Firearms:	2
Number of Ammunition:	1

Dashboard Refresh

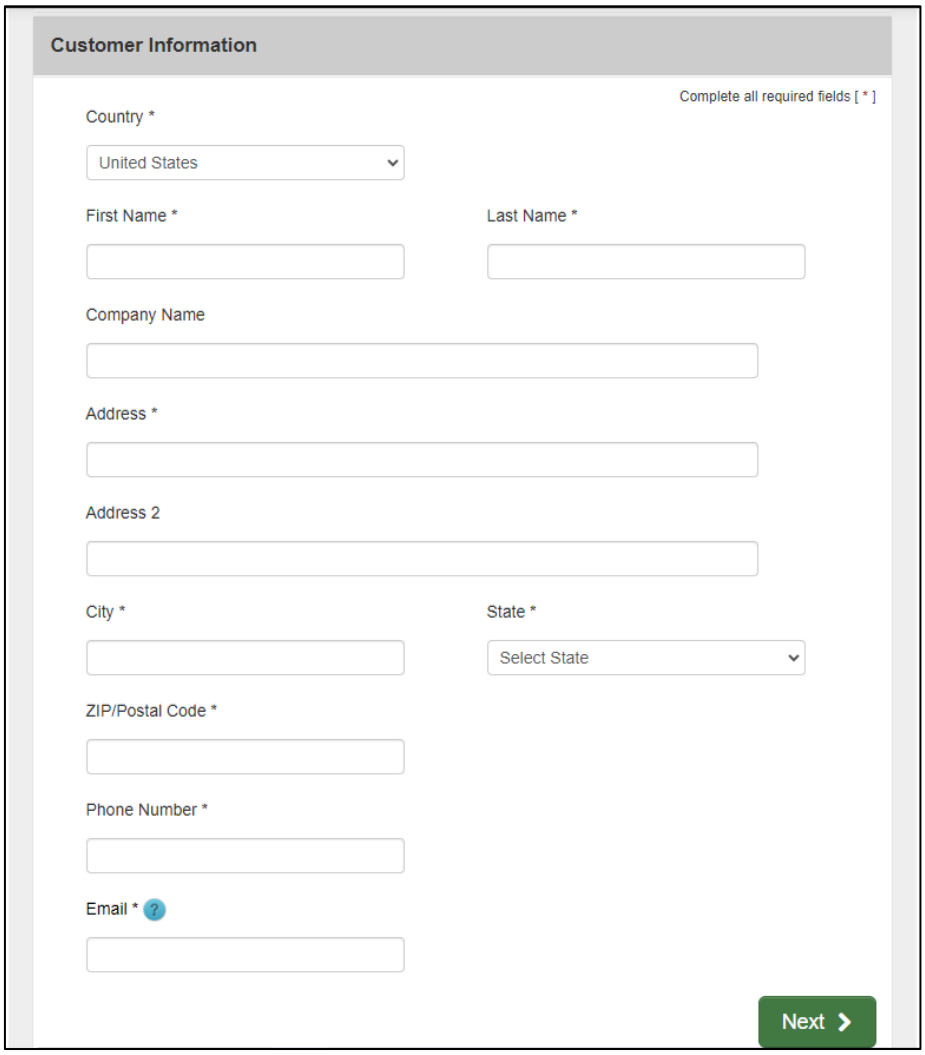
Please refresh the page to see any status updates. You can also check the status from the Dashboard.

Firearms Check Status:	Pending
Ammo Check Status:	Pending

10. If selecting Electronic Check from the drop-down, you will receive the **Electronic Check page**
    a. Check the box **only** if the payment is being funded by a foreign bank/company
    b. When complete, select the 'Next' button

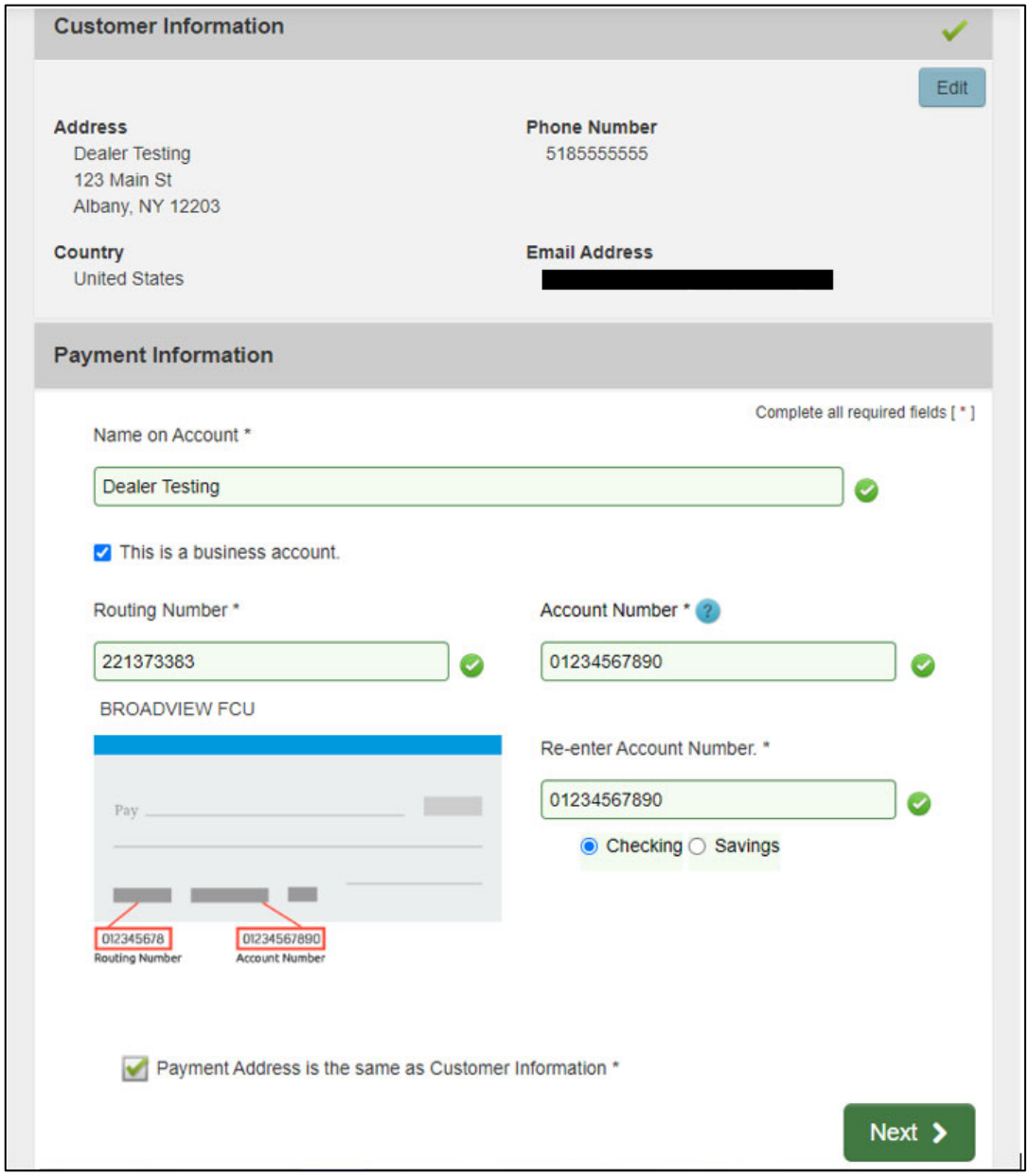


    c. Next you will be prompted to enter the Customer Information. The following fields are required and must be answered:
        - First Name
        - Last Name
        - Address
        - City
        - State
        - Zip/Postal Code
        - Phone Number
        - Email



d. When complete, select the 'Next' button

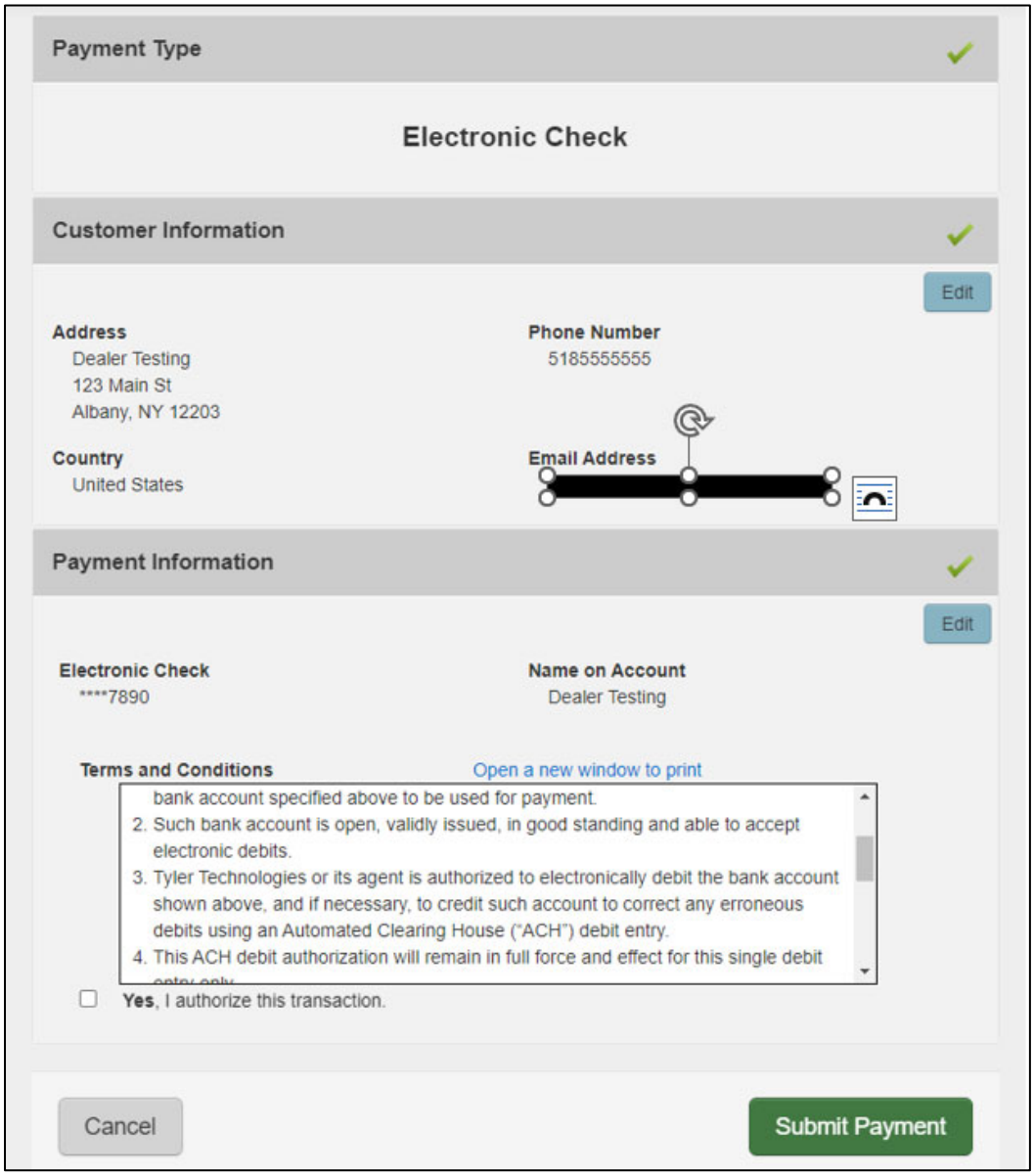
e. You will now be prompted to enter the Payment Information. The following fields are required and must be answered:
   - Name on Account
   - Is this a business account – Check box (if applicable)
   - Routing Number
   - Account Number
   - Re-enter Account Number
   - Checking/Savings – radio button
   - Payment Address is the same as Customer Information – Check box

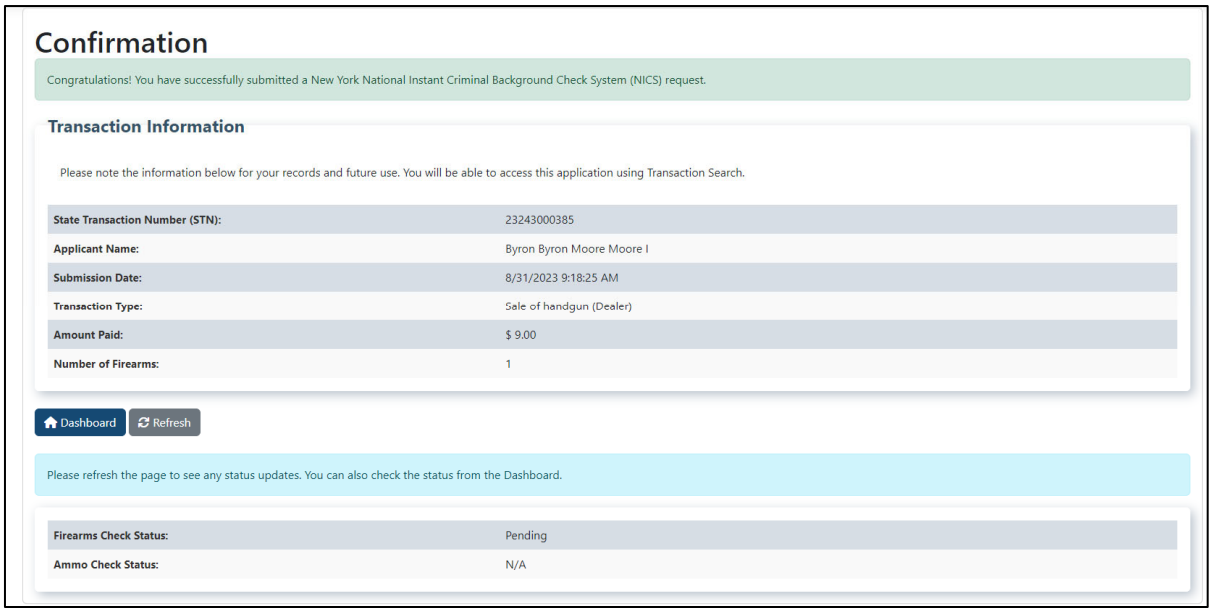


f. Once information has been entered, select the 'Next' button

g. You will be presented with the payment review page, you may edit any information as necessary by using the "Edit" box in each section.

h. Once you have read the "Terms and Conditions", select the "**Yes**, I authorize this transaction" check box.



i. Once complete, select the 'Submit Payment' button

j. Once the payment has successfully been submitted, you will receive the "Confirmation" Information page.