



## IAPD Report

# TAJ ZACHARY ROHR

CRD# 5835877

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Please contact FINRA with any concerns.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### TAJ ZACHARY ROHR (CRD# 5835877)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **07/18/2024**.

### CURRENT EMPLOYERS

Firm	CRD#	Registered Since
<b>IA</b> ROHR CAPITAL MANAGEMENT	CRD# 299876	12/26/2018

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration. Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>IA</b> LAZARI CAPITAL MANAGEMENT, INC.	172932	PARKERSBURG, WV	10/12/2018 - 04/12/2019
<b>IA</b> CHALICE WEALTH ADVISORS	288792	Parkersburg, WV	08/16/2017 - 09/28/2018
<b>B</b> NIAGARA INTERNATIONAL CAPITAL LIMITED	135327	NEW YORK, NY	08/15/2017 - 08/21/2018

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	3
Termination	1





## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **ROHR CAPITAL MANAGEMENT**  
Main Address: 2801 DUDLEY AVENUE  
SUITE B  
PARKERSBURG, WV 26101  
Firm ID#: 299876

	Regulator	Registration	Status	Date
	Ohio	Investment Adviser Representative	Approved	12/26/2018
	West Virginia	Investment Adviser Representative	Approved	01/17/2019

### Branch Office Locations

**ROHR CAPITAL MANAGEMENT**  
2801 DUDLEY AVENUE  
SUITE B  
PARKERSBURG, WV 26101

**ROHR CAPITAL MANAGEMENT**  
105 North Court Street  
Ripley, WV 25271



## Qualifications

### PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	08/21/2018
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<b>B</b> General Securities Representative Examination (S7)	Series 7	05/15/2013
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#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	09/12/2013
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### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	10/12/2018 - 04/12/2019	LAZARI CAPITAL MANAGEMENT, INC.	CRD# 172932	PARKERSBURG, WV
IA	08/16/2017 - 09/28/2018	CHALICE WEALTH ADVISORS	CRD# 288792	Parkersburg, WV
B	08/15/2017 - 08/21/2018	NIAGARA INTERNATIONAL CAPITAL LIMITED	CRD# 135327	NEW YORK, NY
IA	03/06/2014 - 07/26/2017	BB&T INVESTMENT SERVICES, INC.	CRD# 33856	PARKERSBURG, WV
B	03/05/2014 - 07/26/2017	BB&T INVESTMENT SERVICES, INC.	CRD# 33856	PARKERSBURG, WV
IA	09/13/2013 - 02/18/2014	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MARIETTA, OH
B	05/16/2013 - 02/18/2014	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MARIETTA, OH

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2020 - Present	Rohr Accounting Services LLC	Owner	N	Parkersburg, WV, United States
08/2017 - Present	Rohr Capital Management	President & CEO	Y	Parkersburg, WV, United States
09/2018 - 03/2019	Lazari Capital Management, Inc.	Investment Adviser Representative	Y	Parkersburg, WV, United States
06/2012 - 09/2018	Daywind	Marketing Director	N	Hendersonville, TN, United States
08/2017 - 08/2018	Niagara International Capital Limited	Registered Rep	Y	San Diego, CA, United States
03/2014 - 06/2017	BB&T Investments	Financial Advisor	Y	Parkersburg, WV, United States



## Registration & Employment History

### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

1) TAJ ROHR MINISTRIES INC.

POSITION: PRESIDENT NATURE: OWNER/SOLE PROPRIETOR INVESTMENT RELATED: NO NUMBER OF HOURS: 20

INVESTMENT RELATED HOURS: 0 START DATE: 02/27/2014

ADDRESS: PO BOX 2113, PARKERSBURG WV 26102

DESCRIPTION: NON-PROFIT MUSIC MINISTRY THAT TRAVELS TO CHURCHES ON THE WEEKENDS PROMOTING GOSPEL MUSIC.

2) Licensed Insurance Agent; investment related: Yes; 2801 Dudley Ave. Suite B, Parkersburg, WV, USA 26101; Insurance products (e.g. life insurance, index annuities); Licensed Insurance Agent; Sales; 2019-01-01; Hours devoted to business during trading hours: 20; Hours devoted to business outside trading hours: 0; Percentage of total yearly compensation expected to be derived from the business: 1.

3) Rohr Accounting Services LLC, investment related: no; 2801 Dudley Ave. Suite B, Parkersburg, WV 26101; Owner; Tax Preparation Services during the months of January through April, each year; Mr. Rohr will spend approximately 25% of his time on activities related to this business.

4) JIREH 4 U, LLC; investment related; 2801 Dudley Ave., Suite B, Parkersburg, WV 26101; Mr. Rohr is the Sole Member/President/Owner of this LLC; the LLC purchases, sells and leases real estate. Mr. Rohr spends approximately 2 to 3 hour per week on activities related to this entity.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	3
Termination	1

### Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

#### Disclosure 1 of 3

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	BB&T investment Services, Inc.
<b>Allegations:</b>	Client alleges that broker's advice to sell variable annuity did not adequately consider tax consequences.
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	The Firm determined the alleged damage amount to be over \$5,000.
<b>Is this an oral complaint?</b>	Yes
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	01/23/2019
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	01/28/2019



**Settlement Amount:** \$17,000.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** Without admitting any liability, in order to fully resolve the matter, the Firm settled with the client.

**Disclosure 2 of 3**

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** BB&T Investment Services, Inc.

**Allegations:** Client alleges the representative failed to explain the tax consequences of making partial withdrawals from variable annuity contracts.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$12,767.00

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

**Customer Complaint Information**

**Date Complaint Received:** 04/08/2018

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 06/11/2018

**Settlement Amount:** \$12,624.00

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** BB&T Investment Services

**Allegations:** "Client alleges the representative failed to explain the tax consequences of making partial withdrawals from variable annuity contracts."

**Product Type:** Annuity-Charitable

**Alleged Damages:** \$12,767.00

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

**Customer Complaint Information**



**Date Complaint Received:** 04/08/2018

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 06/11/2018

**Settlement Amount:** \$12,624.00

**Individual Contribution Amount:** \$0.00

**Broker Statement**

I vehemently deny any wrongdoing. In my opinion, these "complaints" came as an attempt to slow down the growth of my own firm. First, as evidenced by the date of this claim, it was made nearly 10 months after I left the company. Second, at that point - although I had a degree in accounting - I was not actively practicing or giving tax guidance to customers. Additionally, BB&T Investment Services not once contacted me regarding this matter. In fact, efforts were made to contact the customer directly to see how we could help him in the matter. Finally, I have asked multiple times to see a copy of this written complaint, and as of February 16, 2021, BB&T has yet to produce this. BB&T Investment Services ended up having to settle this matter OUT OF THEIR OWN POCKET with the client (even though the client has since passed away). In my opinion, this was BB&T Investment Services' sad and shameful attempt to try to compete in unfair business practices by attempting to harm my reputation and slow me down as clients continued to follow me to my new firm. I am also very happy to say that we worked with FINRA to fully examine this matter and have officially received a written document from them stating the matter has been closed. If any client or perspective client would like to see the official document from FINRA I would be happy to share that with you. As always, I have decided to take the high road and not take legal action against their firm for these actions. Fortunately, our firm has continued to persevere, prosper, and grow. I am honored to continue to serve my home community through our locally owned and operated wealth management firm.

**Disclosure 3 of 3**

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** BB&T Investment Services, Inc.

**Allegations:** Estate beneficiaries allege that broker opened account with forged signatures and through gross negligence failed to have them named as beneficiaries during IRA account transfer, resulting in account going to estate.

**Product Type:** No Product

**Alleged Damages:** \$135,943.00

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

**Customer Complaint Information**

**Date Complaint Received:** 09/19/2017

**Complaint Pending?** No

**Status:** Denied



**Status Date:** 10/23/2017

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** BB&T Investment Services, Inc

**Allegations:** Estate beneficiaries allege that broker opened account with forged signatures and through gross negligence failed to have them named as beneficiaries during IRA account transfer, resulting in account going to estate

**Product Type:** No Product

**Alleged Damages:** \$135,943.00

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

**Customer Complaint Information**

**Date Complaint Received:** 09/19/2017

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 10/23/2017

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** As you can see from the outcome of this matter, the allegations held no merit and were DENIED by myself, BB&T Investment Services, and FINRA. This was a matter of a dispute between three children that were beneficiaries of their parents' investment account where one child alleged that another child forged their signature. There were absolutely no forged signatures on any documents. As one child was the acting Power of Attorney, it was understood by multiple company employees that you could not be the acting Power of Attorney and list yourself as the beneficiary for the obvious conflict of interest. The parents had a will that divided the proceeds evenly between the three children. It was advised to the acting Power of Attorney (one of the children) to list the "Estate" as the beneficiary and then the will would properly divide the assets through the probate process in accordance with the parents' wishes. This issue arose between the beneficiaries and the bank far after my time with the company. I was advised that the bank was not releasing the funds to the beneficiaries. After some communication our office has had with one of the children, it is my understanding that the bank has finally distributed the funds to the beneficiaries / estate, thus the beneficiaries have dropped any pending claims against the company. My team and I were happy to be able to assist in resolving this matter and look forward to a continued professional relationship with the beneficiaries.



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### Disclosure 1 of 1

**Reporting Source:** Firm  
**Firm Name:** BB&T Investment Services, Inc.  
**Termination Type:** Discharged  
**Termination Date:** 06/29/2017  
**Allegations:** Representative provided inaccurate client source of funds information to the Firm for several annuity transactions.  
**Product Type:** Annuity-Fixed  
Annuity-Variable

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**Reporting Source:** Individual  
**Firm Name:** BB&T  
**Termination Type:** Discharged  
**Termination Date:** 06/29/2017  
**Allegations:** Representative provided inaccurate client source of funds information to the Firm for several annuity transactions.  
**Product Type:** Annuity-Fixed  
Annuity-Variable

**Broker Statement**

Mr. Rohr was honored and fortunate to return to and serve the wonderful community of the Mid-Ohio Valley through his passion of investment services. After over three years of working together, BB&T Investment Services and Mr. Rohr had a difference of opinion on how to conduct business in the best interests of customers. It is a very common and accepted practice for representatives to perform indirect rollovers for investment accounts. In fact, some of the managers at the firm even encouraged this practice while others did not. As a result, the relationship between Mr. Rohr and BB&T Investment Services was severed. Mr. Rohr then started his own locally owned and operated wealth management firm to best serve the needs of his customers. Mr. Rohr is proud to say that he has done just that and is thankful for the many wonderful clients that have followed him to Rohr Capital Management and allowed him to be their financial advisor of choice.



## End of Report

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