



**Cody Jochim**  
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**This Brochure Supplement provides information about Cody Jochim that supplements the Integrity Alliance, LLC Brochure. You should have received a copy of that Brochure. Please contact Advisor Services at 877-886-1939 if you did not receive Integrity Alliance, LLC Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Cody Jochim is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2: Educational Background and Business Experience

Born: 1990

### Formal Education after High School

University of North Dakota -Bachelor of Business Administration

### Business Experience

From	To	Name	City	State	Position
12/2015	Present	Thrivent Investment Management Inc	Fargo	ND	Registered Representative
11/2025	Present	Integrity Alliance	Urbandale	IA	Registered/Investment Representative
05/2018	11/2025	Lion Street Financial	Austin	TX	Registered Representative
05/2018	11/2025	Lion Street Financial	Austin	TX	Investment Advisor Representative
12/2015	Present	Thrivent Investment Management Inc	Fargo	ND	Registered Representative
05/2016	05/2018	Thrivent Financial	Appleton	WI	Financial Associate
12/2015	05/2016	Thrivent Financial	Appleton	WI	Associate Representative
09/2014	12/2015	Conifer Health Solutions	Fargo	ND	A/R Supervisor
06/2014	09/2014	Gate City Bank	Fargo	ND	Loan Service Rep
11/2013	06/2014	Gate City Bank	Grand Forks	ND	Customer Service Rep
08/2009	05/2014	University of North Dakota	Grand Forks	ND	Full Time Student
05/2013	11/2013	CanadInn	Grand Forks	ND	Tavern United Supervisor

### Professional Licenses/Designations

#### Series 7 - General Securities Representative Exam (Stockbroker)

To obtain the Series 7 an initial qualifying exam administered by the Financial Industry Regulatory Authority ("FINRA") must be passed. Continuing Education requirements include attending an Annual Compliance Meeting and Firm Element Training. FINRA also requires annual computer-based continuing education.

#### Series 63 -Uniform Securities Agent State Law Exam

To obtain the Series 63 an initial qualifying exam administered by the Financial Industry Regulatory Authority ("FINRA") must be passed. Continuing Education requirements include attending an Annual Compliance Meeting and Firm Element Training. FINRA also requires annual computer-based continuing education.

#### Series 65 – Uniform Registered Investment Adviser Law Exam

To obtain the Series 65 an initial qualifying exam administered by the Financial Industry Regulatory Authority ("FINRA") must be passed. Continuing Education requirements include

attending an Annual Compliance Meeting and Firm Element Training. NASAA has implemented annual computer-based continuing education. Required in the following states: AR, CO, KY, MD, MI, MS, OK, OR, SC, TN, VT, DC, WI.

### **Item 3: Disciplinary Information**

Cody Jochim does not have disciplinary history, Client and prospective clients are encouraged to view the registration records for REGISTERED REP through the SEC's Investment Advisor Public Disclosure (IAPD) website at [www.advisorinfo.sec.gov](http://www.advisorinfo.sec.gov) or FINRA's Broker Check database at [www.finra.org/brokercheck](http://www.finra.org/brokercheck).

### **Item 4: Other Business Activities**

The IAR is engaged in the following investment-related business activities:

Cody Jochim is also licensed as an insurance agent and may offer fixed and variable life insurance products for typical commissions as a result of such transactions. IAR may also receive other compensation such as fixed or variable life renewals from insurance carriers. Therefore, the IAR has a financial incentive to recommend insurance based on the compensation to be received rather than on the client's needs. The client is under no obligation to purchase insurance through IAR. To the extent client does elect to purchase insurance through IAR, disclosure is made as to the nature of the relationship, services and any compensation to be received by the registered representative at the time of the transaction.

### **Item 5: Additional Compensation**

Cody Jochim may receive cash and non-cash compensation from certain third-party product sponsors as permitted by industry rules. For example, product sponsors and other companies may reimburse IAR up to 100% of the cost of due diligence, training, and education/joint marketing meetings. In addition, sales by IARs may qualify them for additional compensation, including support for their business activities, attendance at seminars, and entertainment.

Cody Jochim will also receive compensation from third-party investment advisors for referring client accounts to the third party for account management. The third-party will pay the IAR a solicitation fee for the referral. The IAR may also serve as the registered representative of record on the assets managed by the third-party investment advisor. When this is the case, the IAR will receive normal and customary compensation (e.g., commissions, 12b-1 fees, trails) for the purchase of the investments. This compensation is in addition to the referral fee paid by the third-party advisor.

Cody Jochim has a financial industry affiliated business as an insurance agent. These practices represent conflicts of interest because it gives the IAR an incentive to recommend products based on the commission amount received. This conflict is mitigated by disclosures, procedures, and the firm's Fiduciary obligation to place the client's interest first and clients are not required to purchase any products. Clients have the option to purchase these products through another insurance agent of their choosing.

## **Item 6: Supervision**

We have adopted a system of compliance and supervision we believe is reasonably designed to oversee the activities of our Advisors in accordance with applicable law. We assign supervisors to oversee the activities of our Advisors conducted through our company. The designated supervisor of an Advisor may vary from time to time. If you have any questions or concerns please contact our compliance department at 877-886-1939.