

innovative



HALCYON
Financial Technology

reliable

responsive

distinctive

trustworthy

holistic

specialized

Industry

Private equity

Areas of Focus

SEC compliance

Cost reduction

Cost-effectiveness

System reliability

Network performance

Technology

Used

VMware

Intermedia

LiveVault

Compliance 11

Salesforce

Box

Okta

Slack

Azure AD

The Challenge

A private equity fund investing in healthcare was registering with the SEC as a Registered Investment Advisor (RIA). The firm faced IT and compliance challenges, and the incumbent IT service provider had proven to be unable to present satisfactory and cost-effective solutions.

- Complex SEC compliance requirements demanded thorough review and analysis.
- Poor system performance and low reliability were hindering core business processes.
- High operational costs were threatening the firm's financial viability.

The Solution

Various solutions proposed by the incumbent IT services provider had failed to live up to expectations, often requiring replacement at a significant cost to the firm. After calculating the significant time and funds wasted on repeated and ineffective efforts, the firm turned to HalcyonFT to gain a fresh perspective on its IT needs.



HalcyonFT helped us analyze various ways to cut costs so that we were able to emerge from our crisis in a very healthy way. It was really a testament to the way their team thinks about their clients.

– Chief Financial Officer



The HalcyonFT team conducted a technology needs assessment and evaluated the firm's compliance requirements, drawing on years of experience helping similar firms meet the regulatory and compliance IT requirements for becoming an RIA. HalcyonFT also developed a clear plan for improving system performance and reliability, presenting the total lifetime cost of each alternative in clear terms that management could easily understand and approve.

Business Outcomes

Over the next 6 months, HalcyonFT delivered a suite of cost-effective IT solutions focused on delivering measurable business outcomes for the firm:

- **Compliance** – HalcyonFT implemented customized solutions for data backup, disaster recovery, record retention, and personal trading. These solutions brought the firm into full compliance with all SEC requirements for RIAs.
- **Reliability and Performance** – Adoption of a new, hybrid-cloud infrastructure improved system reliability and streamlined business processes for greater efficiency and cost-effectiveness. The new system reduced disaster recovery time from days to minutes, and reduced the potential data loss in the event of a disaster from one week to two hours.
- **Reallocated Resources** – Confident in their new partnership with a reliable and trustworthy IT services provider, firm executives were able to refocus on core business processes rather than IT emergencies.



HalcyonFT was strategic in our success. I don't think we could have managed without them. Going with HalcyonFT was the best decision I have ever made as a CFO.

– Chief Financial Officer

