

# Goldsmith Agio Helms & Email Archiving



## About Intradyn™

Founded in 2001, Intradyn™ is a recognized leader in the eDiscovery and archiving markets, producing leading edge products for small and mid-sized businesses, organizations, and governments.

Intradyn™ is headquartered in Mendota Heights, Minnesota, with partners throughout North America, Europe and Asia.

A photograph of two men in dark suits and ties sitting in black leather chairs in an office. They are looking down at a document held by the man on the left. The background is a wall with vertical wood paneling. A green horizontal bar is overlaid on the image, containing the company name.

## Goldsmith Agio Helms

Goldsmith Agio Helms, a preeminent private investment banking firm is based in the U.S. Through offices in Minneapolis, New York, Chicago, Los Angeles, and London, it operates internationally providing sophisticated financial advisory services to mid-market businesses. It is recognized as one of the country's most accomplished sell-side mergers and acquisitions firms.

The company has earned a national reputation for successfully initiating, negotiating, structuring, and closing middle-market mergers, acquisitions, and divestitures at purchase price premiums well in excess of industry norms. It has negotiated and structured a wide variety of domestic and cross-border transactions including sales, mergers, partnerships, and joint ventures.

Goldsmith Agio Helms and their 100 employees are focused on achieving results. The firm has serviced and completed over 500 financial transactions ranging in size from a few million to several billion dollars with the majority of transactions were between the \$25 million to \$500 million range



## *Understanding the Need*

Christopher T. Ferski joined the firm more than two-years ago as its IT director. He soon realized several regulatory concerns needed to be addressed, including email archiving. The firm has a Microsoft Exchange Email System. Ferski decided to research email compliance issues further, including learning more about the SEC and NASD rules. “I essentially broke down each rule into what its effect was on us and took a look at our organization from an architecture and compliance perspective to figure out where we were compliant, where we weren’t, and what we needed to do,” Ferski says. As Ferski researched, he became concerned with several issues:

- The hefty fines that were being levied by the SEC for noncompliance
- That the law stated that all email correspondence between customers and the securities industry must be kept for a minimum of seven years.
- The need for an archiving solution that could handle volumes of data for the long-term.

***“backing-up and restoring” are done to ensure data recovery from threatening system failures...archiving and retrieval are different matters altogether”***

What many people may not realize; however, is that compliance regulations governing the financial industry don’t only require companies to retain all their data for seven-years but must be quickly retrievable when requested or face penalties for request delays. In fact, request for individual and specific emails must be retrievable in a manner that is immediate.

However, retrieving individual emails from regular system back-ups is near impossible, especially in a timely manner. To locate individual or specific emails involves time-consuming searches of back-up tapes. The research process for locating such emails through tradi-

tional back-up systems can take days, weeks, and often months.

The process of traditional back-up systems and the related “restore” process, was never intended to be used for quick retrieval of individual or specific email records. Rather, “backing-up and restoring” are done to ensure data recovery from business threatening system failures such as natural disasters, terrorism, or political unrest. Archiving and retrieval are a different matter altogether.

## Solution Seeking

Ferski spent valuable time looking at available software and email systems to meet the firm's SEC Email Retention Requirements. His original choice was a product that had been on the market for about a year and aimed at larger firms: Enterprise Vault from Symantec. Goldsmith Agio Helms purchased the system to meet two needs: SEC Email Archiving and long-term Email Storage Management.

Ferski knew the solution would be complicated and that the installation timeline was longer than he wished; but, there were currently no other suitable alternatives. Additionally, the Symantec solution required several modifications of Goldsmith's IT infrastructure. Moreover, Symantec required that their engineers perform the installation for a significant fee.

About this time Ferski learned about Intradyn's product: The Email Archiving Solution™. Ferski stated, "I was very excited, and anxious to get one in here. It turned out that Intradyn™ really created a light at the end of the tunnel for me, because I had found out there were virtually no solutions for email compliance specifically designed with small to mid-sized companies in mind – like us. Large enterprise solutions are readily available and impressive, but the cost of those systems is a major deterrent, and the minimum storage capacities are simply overkill."

***Intradyn™  
believes in listening  
to their clients -  
we are here to  
serve them.***

## A Happy IT Director



Ferski volunteered to beta test the Email Archiving Solution™ early in June 2004; he was quickly able to get the appliance up-and-running on his network. "The setup could not have been any easier," he notes. "It's amazing, but we actually accomplished full email compliance with this single device in less than 10 minutes."

Later, in the course of evaluating the initial Email Archiving Solution™ appliance, Ferski suggested that Intradyn™ create a mountable version, which was more aligned with the Goldsmith's equipment. Intradyn™ adopted his suggestion and rolled out a mountable version in October 2004.

"This product from Intradyn™ provides compliance for the key email regulatory requirements in a single platform, with a very easy 10-minute setup, and minimal ongoing maintenance... The other available options to be fully compliant would have cost us much more, requiring several pieces of equipment, and taken much longer to implement. Intradyn™ has taken a complex requirement with serious consequences and made the solution very simple and easy to deploy", says Ferski.

A close-up photograph of a man and a woman looking at a tablet together. The man is on the left, smiling and pointing at the screen. The woman is on the right, looking down at the tablet with a slight smile. They are both dressed in professional attire. The background is bright and out of focus.

## *Fastforward 2013*

Goldsmith Agio Helm is now known as Lazard Middle Market LLC. Debbie Ryan is the new IT Director. She continued using the Intradyn solution after Christopher Ferski. She decided to upgrade to the new RazorSafe model in early 2012.

Goldsmith Agio Helm (Lazard MM LLC) has been using Intradyn solutions for over 9 years and have find it a very releable, and efficient solution.

# About the Email Archiving Solution™

The Email Archiving Solution™ is an affordable, all-in-one solution designed for small and mid-sized firms to comply with email archiving regulations. It's an integrated solution that captures all of a company's emails on a continuous basis from a virtually unlimited number of mailboxes.

## BENEFITS:

- Recovery of Disasters
- Accumulation of Big Data
- Organized Mail Store
- Efficiency of Mail Server(s)
- eDiscovery Support
- Facilitating Human Resources
- Supporting Legal Holds
- Permanence and Security of Data
- Ease the Audit Process

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## AVAILABLE IN:

### *RazorSafe Appliance*

The first set-it-and-forget-it email archiving appliance on the market, Intradyn's RazorSafe has foreseen the future and its requirements for daily communication and its regulations. With robust storage, 99.999% uptime, and a bulletproof security kernel, RazorSafe appliance solutions will handle your email for seven years and beyond.

### *Orca Virtual Machine*

Orca is a virtual appliance that runs on VMware®, Citrix®, and Hyper-V®. Capitalize upon your powerful network infrastructure and hardware stack to collect your email. Messages are pulled through the archive to the mailserver in a process called "fetching." Built with the same aforementioned RazorSafe features, Orca gets it done.