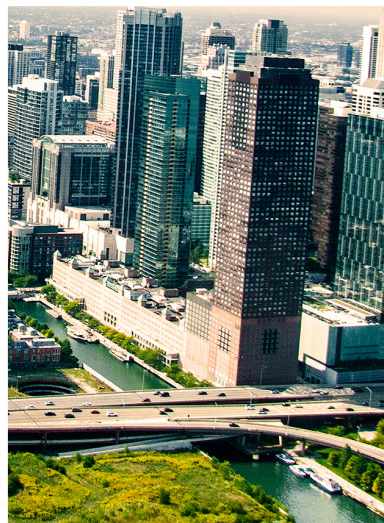


# ChicagoFIRST

Nationally Connected. Regionally Focused.  
Uniquely Resilient.



2016 ANNUAL REPORT



## FOSTERING INDUSTRY RESILIENCE AND SECURITY THROUGH TEAMWORK

ChicagoFIRST is a nonprofit association that provides critical firms a collaborative forum to address private sector resilience and emergency management planning and response with relevant local, regional, and national public sector agencies.

Full time staff provide situational awareness, working groups, exercises, and roundtable discussions for members to explore best practices; test their cyber, business continuity and physical security emergency response plans; and effectively align and integrate their preparedness and crisis response with the public sector. In these trusted venues, members identify challenges and engage in collaborative solution-based discussions addressing risk management, emergency preparedness, response, and resilience.

Through longstanding relationships with the public sector, ChicagoFIRST takes a leadership role at the local, state and federal levels, representing resiliency issues of importance to members.

Formed in 2003, private firms constitute ChicagoFIRST's membership, govern its operations, fund its activities, and manage its staff. ChicagoFIRST's staff addresses risk management issues affecting each firm by acting as an extension of each member's team.

*A Crisis is No Time to Exchange Business Cards*

## LETTER FROM THE EXECUTIVE DIRECTOR

TO OUR STAKEHOLDERS,

As ChicagoFIRST completes its 13th year and we prepare for 2017, I envision both fine tuning and rethinking of our ongoing resilience activities. Our threat landscape continues to evolve in terms of lone actors inspired by foreign terrorist organizations, rapidly changing cybercrime that affects financial interests and infrastructure, and civil disorder that disrupts business operations. These problems are further complicated by the potential for a convergence of events requiring activation of business continuity, cyber security and physical security plans simultaneously. A focus for ChicagoFIRST in 2017 is how the integration of response plans and teams amongst organizational entities is best accomplished based on the best practices of our member firms and across industries.



Our regional efforts will continue to include co-chairmanship of the Chicago Public Private Task Force and participation in the Executive Committee of the Secret Service Electronic Crimes Task Force. ChicagoFIRST's relationships with local police, fire and emergency management and the regional offices of Federal agencies remain strong through our continuing collaboration on city-wide emergency planning and response. Furthermore, we'll work to deepen our relationships with county emergency management agencies in Cook, Lake, DuPage and Will counties because many firms have key resources in the communities surrounding Chicago where their employees also live.

On the National level, I'll continue to serve on the Financial Service Sector Coordinating Council and participate in the FS-ISAC Business Resiliency Committee with a focus on task groups related to cross-sector coordination of response plans, regional playbooks, and exercise programs. We'll also keep a close eye on regulatory changes that affect resiliency efforts across our spectrum of interests.

It is an honor to serve as Executive Director of ChicagoFIRST and I thank all of our members and strategic partners who continue to work cooperatively towards our common goal of a resilient community.

Sincerely,

A handwritten signature in black ink, appearing to be 'MC' with a stylized flourish extending to the right.

*Michael Carano, Executive Director*



## HIGHLIGHTS OF PUBLIC SECTOR ENGAGEMENTS



Leaders from regional and federal public sector emergency response agencies participated in a ChicagoFIRST forum to discuss their role, responsibilities and commitment to private sector partnerships. Agencies represented included the **Office of Emergency Management and Communications, Chicago Police and Fire Departments, Cook County, FEMA, FBI, United States Secret Service, Illinois Emergency Management Agency** and the **State of Illinois, Public Safety Division**.

**The Chief of CSA Field Operations and Supervisory Cyber Security Advisor from the Office of Cybersecurity & Communications National Protection and Programs Directorate** joined members on a Cyber Resilience Resources and Frameworks panel discussion that highlighted DHS cyber resources and explained how firms are advancing their cyber programs using the NIST Cybersecurity Framework and FFIEC CAT Tool.

**The Department of Homeland Security** and a workplace violence expert presented *Developing a Comprehensive Active Shooter and Work Place Violence Prevention Program*. Active shooter training and response plans as well as violent behavior indicators and intervention techniques associated with employees experiencing domestic violence or significant life challenges were explored in-depth.

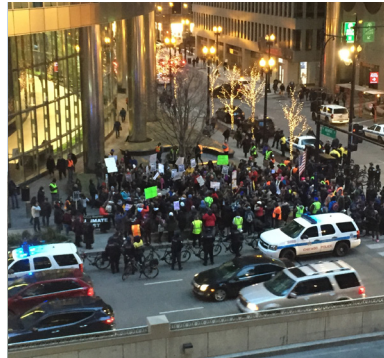
Panelists from the **Securities Exchange Commission, Federal Reserve Bank of Chicago, Federal Deposit Insurance Corporation,** and **Office of the Comptroller of the Currency** engaged members in discussion of regulatory expectations for cyber threat risk management, critical infrastructure dependence and cloud computing resilience.

The **Chicago Police Department Crime Prevention Intelligence Center** participated in a roundtable discussion on protest activities, the impact of state program funding cuts on business continuity and threats to business operations.

The **Chicago Fire Department** updated members on the department's resources and response capabilities, severe weather and hazardous chemical life safety measures, and shelter in place directives. Members shared information on their firm's emergency preparedness education and notification procedures.

**The Midwest Region of the National Counter Terrorism Center** briefed members on the current threat landscape and terrorism tactics of the threat actors relevant to our region.

## 2016 YEAR IN REVIEW



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### SITUATIONAL AWARENESS

This year, ChicagoFIRST engaged in significant monitoring and reporting of Central Business District protest activities related to the Chicago Teachers Union Strike, the Illinois Budget Crisis, police related shootings and economic grievances. ChicagoFIRST provided members with real-time advisories of activities with potential impact to their business by synthesizing public sector intelligence, social media feeds, as well as communications received from the membership.

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### EMERGENCY OPERATIONS CENTER ACTIVATIONS

ChicagoFIRST coordinates private sector representation in Chicago's Emergency Operations Center (EOC) for critical incidents and special events. Private sector EOC liaisons facilitate two-way communication with public sector agencies and private sector entities, while monitoring events in real time at the EOC. ChicagoFIRST staffed the EOC this year for mass-gatherings, including, the Chicago Teacher's Union rally in the Central Business District, July 4th events, and the World Series home games, parade, and rally.

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### CITY EMERGENCY OPERATIONS PLAN

ChicagoFIRST participated in the Central Business District Evacuation Workgroup and tabletop exercises with government agencies to evaluate the City Emergency Operations Plan. ChicagoFIRST drafted four different disaster scenarios for exercises to validate evacuation routes, special-needs accommodations, and mass care and sheltering locations.

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## **THREAT AND HAZARD IDENTIFICATION AND RISK ASSESSMENT**

ChicagoFIRST collaborated with the Office of Emergency Management and Communications and Cook County's Department of Homeland Security and Emergency Management to prepare Chicago's Urban Area 2016 Threat and Hazard Identification and Risk Assessment (THIRA). THIRA, a capability-based planning tool, identifies specific capability targets and required resources to support strategic and operational planning; mitigation activities; and investment decisions in response to a specified hazard. The hazards assessed included scenarios involving terrorism, destructive weather, chemical hazard, and power outage.

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## **THE CITY OF CHICAGO BUSINESS RECOVERY ACCESS PROGRAM**

Based on the recommendation of the Chicago Public Private Task Force, the City of Chicago adopted the Business Recovery Access Program (BRAP), a private sector credentialing system. ChicagoFIRST, as co-chair of the Task Force, facilitated the effort. BRAP is a low-cost, mobile, database-driven perimeter access control solution that facilitates business resumption during the recovery stage of a disaster.

The City adopted a general order for BRAP and collaborated with the private sector on procedures and testing. ChicagoFIRST worked with city agencies to produce a training video for City First Responders and the private sector. Planning is underway for a public education rollout on the city-wide evacuation plan and the shelter in place guidance along with BRAP and its ties to the Facility Information Management System within CP3.

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## **CYBER SECURITY NATIONAL ACTION PLAN**

Chairman Will Hurd (R-TX) and Ranking Member Robin Kelly (D-IL) invited ChicagoFIRST to provide testimony to the US House Government Reform Information Technology Subcommittee on the Cyber Security National Action Plan and Cyber Security Act of 2015. ChicagoFIRST members provided insight into the current cyber landscape regarding professional education, data sharing, cross sector coordination, cyber security frameworks and information privacy.

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## WORKGROUPS AND ROUNDTABLES

ChicagoFIRST continually explores ways to increase the value of the organization to its members. Besides industry experts, the workgroups encourage member presentations on their topics of interest and regulatory compliance programs that reflect the changing business continuity, physical security, and cyber security landscapes. Topics featured this year included cyber liability insurance; cyber security exercises; board and management reporting; data center resiliency; interdependency risk; FFIEC Business Continuity Handbook



changes for vendor and cyber risk management; emerging health issues; facilitating employee terminations; and protest intelligence and management. Members receive a meeting deliverable that includes a summary of the discussion and actionable recommendations to improve their programs. ChicagoFIRST also surveys members on specific topics based on member requests and share the results within our trusted circle.

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## DHS 2016 NIPP SECURITY AND RESILIENCE CHALLENGE AWARD

ChicagoFIRST was awarded a grant through the Department of Homeland Security 2016 National Infrastructure Protection Plan (NIPP) Security and Resilience Challenge to develop an Internet portal and workspace for shared communication amongst critical financial and infrastructure sector firms and public sector agencies on local emergencies that have a potential impact on the regional and national economy. The system, in the development stage, will allow for secure access to emergency operations procedures, a messaging system and work group areas for physical security, cyber security, business continuity and regulatory compliance teams. Furthermore, the system will allow for a depository of reports, as well as planning and intelligence information that are unclassified, but not for public distribution. The website will be developed such that ChicagoFIRST staff or other regional coalitions could update the content on-demand without the need for on-going programming support.



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## REGIONAL CYBERSECURITY EXERCISE

US Treasury and Financial Services Sector Coordinating Council invited ChicagoFIRST members to participate in a cross-sector tabletop exercise featuring a cyber-attack targeting Chicago's financial community. The exercise facilitated an evaluation of the coordinated public private sector response protocols, capabilities and information sharing for cyber incidents. The Chicagoland perspective and exercise outcomes were incorporated into national and sector-wide cyber incident response processes.

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## SEVERE WEATHER WORKSHOP & TABLETOP EXERCISE

ChicagoFIRST facilitated a tabletop exercise on public and private sector emergency response to a tornado impacting the Central Business District and surrounding areas. Over sixty members and representatives from the Office of Emergency Management and Communications (OEMC), Police and Fire Departments, Metra, Department of Homeland Security, Federal Bureau of Investigation, and Chicago Public Health Department participated. The workshop focused on the fundamental objectives of crisis management, including communications, information-sharing, on-site incident management, business continuity plan validation, and physical security. Preceding the exercise, the OEMC introduced the Business Recovery Access Program video and the City-wide Evacuation and Shelter-in-Place Flyer.

Participants had the opportunity to collaborate on response to an escalating event consisting of three separate segments; each presenting an increasingly challenging scenario accompanied by a series of discussion questions. Because participants were diversified in background and experience, this exercise presented an opportunity to share strategies, solutions, and experience with each other and gain an understanding of the public-sector response to the various elements of the event. An After-Action Report noting general observations, discussion outcomes and recommendations was shared with member firms.

## NEW MEMBERS

ChicagoFIRST welcomes new members Guggenheim Partners and United. We look forward to their participation in meetings and events.





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## SEVENTH ANNUAL TELECOMMUTING EXERCISE

Robust telecommuting plans are critical to a firm's business recovery effort in the wake of a natural or man-made disaster. At ChicagoFIRST's request, the Government Accountability Office conducted a study of internet congestion impact on telecommuting during a widespread disaster. The objective of the ChicagoFIRST sponsored telecommuting exercise is to ensure technical resilience and the ability to continue vital business processes from alternate sites. Members test their plans and remote technical capabilities and share lessons learned on the process.

The 2016 exercise featured a partnership with the Financial Services Information Sharing & Analysis Center (FS-ISAC) and the American Bankers Association; and included 1227 participants from over 500 zip codes. Participating firms received their employees' post-exercise survey responses with comments and lessons learned specific to their firm's protocols and technology. The results confirm the overall trend towards an increase in telecommuting, with respondents continuing to report no perceptible Internet speed degradation on the day of the exercise compared to other telecommuting days.

While broadband connectivity issues appear to be waning, the telecommuting exercise continues to provide insight into the contingency capabilities of a firm and employees' ability to work off site. Conducting this type of exercise collectively among members provides a benchmark on telecommuting practices nation-wide.



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## AGORA ROSE FULL SCALE EXERCISE

ChicagoFIRST staff served as a coordinator in the Agora Rose Full Scale Exercise sponsored by the Cook County of Emergency Management Agency in the Village of Rosemont. The objective of the exercise, which involved over 700 responders, was to validate the immediate and sustained response to a multi-assault active threat event at several soft target locations. The exercise challenged participants in their coordination of plans, policies, training, and practices across multiple jurisdictions and organizations in the neutralization of a multi-assault active threat; the rendering of medical aid to victims; manhunt apprehension; ground search and rescue (GSAR); and the management of command and control in a complex incident.

## ChicagoFIRST'S LEADERSHIP ON THE LOCAL, REGIONAL & NATIONAL LEVELS

ChicagoFIRST holds several leadership positions at the local, state and national levels. By taking on these responsibilities with various public and private sector councils and committees, the organization positions itself to initiate projects and affect plans and policies relevant to its membership.

### CHICAGO PUBLIC/PRIVATE TASK FORCE (CPPTF)

Since 2010, the Executive Directors of ChicagoFIRST and the City of Chicago Office of Emergency Management and Communications have co-chaired the Public Private Task Force. Private sector member representatives are from higher educational institutions; hotel and entertainment venues; cultural institutions; hospitals; Magnificent Mile retail operations; and Central Business District community and commercial property management associations. Public safety and law enforcement agencies constitute the public sector representatives. ChicagoFIRST continues to foster collaboration across all critical infrastructure and key resource sectors, and initiates projects for effective emergency planning, response and recovery.

### CHICAGO ELECTRONIC CRIMES TASK FORCE (CECTF)

The Chicago Office of the United States Secret Service selected ChicagoFIRST to represent the financial sector on the Electronic Crimes Task Force Steering Committee, which develops programs related to cyber security and financial crimes.

### REGIONAL PARTNERSHIP COUNCIL (RPC*first*)

ChicagoFIRST founded RPC*first* in 2005 and continues to participate in fostering collaboration among regional coalitions modeled after ChicagoFIRST. This year the partnership with the FS-ISAC and RPC*first* provided website development, crisis communications, playbook resources and consulting services to the coalitions.



### **REGIONAL CONSORTIUM COORDINATING COUNCIL (RC3)**

ChicagoFIRST serves on the RC3 Executive Committee, which provides a collaborative forum for regional coalitions and public private partnerships nationwide and a single point of contact for the Department of Homeland Security to interact with these entities. The map illustrates the geographic coverage of the RC3 membership. ChicagoFIRST has been on the executive committee since 2011, after serving as its inaugural chair from 2008 to 2011.



### **FINANCIAL SERVICES SECTOR COORDINATING COUNCIL (FSSCC)**

ChicagoFIRST has been a member of FSSCC since 2004 and has served on its executive committee since 2009. The FSSCC is the financial sector component of the national public private partnership and ChicagoFIRST provides input to its policy advocacy and national sector response initiatives. This year's highlights included publishing a letter to the Presidential Commission on Enhancing National Cybersecurity and sponsoring sector cyber exercises, that included four regional exercises and workshops and three All Hazards Crisis Response Playbook drills. A Financial Sector Cyber Security Video illustrating how the sector responds to an industry wide cyber event is in production. More information is available at [www.fsscc.org](http://www.fsscc.org).

## ChicagoFIRST 2016 MEMBERSHIP

- Aon
- Ariel Investments
- Bank of America
- BMO Harris Bank
- BP
- Chicago Board Options Exchange
- Chicago Federal Home Loan Bank
- Chicago Trading Company
- CME Group
- CNA
- Commonwealth Edison
- Enova Financial
- Federal Reserve Bank of Chicago
- Fiserv
- Goldman Sachs
- Guggenheim Partners
- Harbor Funds
- Lockton
- MB Financial Bank
- Mesirow Financial
- Mizuho Securities USA
- Northern Trust
- Options Clearing Corporation
- PPM America
- The PrivateBank
- Synchrony Financial
- William Blair & Company
- United





## ChicagoFIRST STRATEGIC PARTNERS

### CITY OF CHICAGO

- Chicago Office of Emergency Management & Communications
- Chicago Office of the Mayor
- Chicago Police Department
- Chicago Fire Department
- Chicago Department of Public Health

### STATE OF ILLINOIS

- Illinois Department of Financial & Professional Regulation
- Illinois Emergency Management Agency
- Illinois State Police
- Statewide Terrorism & Intelligence Center (STIC)

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### FEDERAL GOVERNMENT

- Commodity Futures Trading Commission
- FBI/InfraGard–Chicago Chapter
- Federal Deposit Insurance Corporation
- Federal Reserve Board
- Federal Emergency Management Agency, Region V
- Office of the Comptroller of the Currency
- Securities & Exchange Commission
- U.S. Attorney’s Office–Northern District of Illinois
- U.S. Department of Homeland Security
- U.S. Department of the Treasury
- U.S. Secret Service, Chicago Electronic Task Force
- U.S. Postal Inspection Service

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### NATIONAL PARTNERSHIPS

- Financial & Banking Information Infrastructure Committee
- Financial Services Sector Coordinating Council
- Regional Consortium Coordinating Council
- Regional Partnership Council (RPC<sub>first</sub>)

### PRIVATE SECTOR ORGANIZATIONS

- Building Owners and Managers Association
- Financial Services Information Sharing & Analysis Center
- Financial Services Roundtable/BITS
- Futures Industry Association
- National Futures Association
- Securities Industry & Financial Markets Association
- Argonne National Laboratory
- American Red Cross of Greater Chicago

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2016

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