

A photograph of the Chicago skyline featuring the Willis Tower and other skyscrapers, with a bridge in the foreground and a river at the bottom.

ANNUAL REPORT 2017

# ChicagoFIRST

Nationally Connected. Regionally Focused.  
Uniquely Resilient.

Fostering  
Industry  
Resilience and  
Security through  
Teamwork





## 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 provides 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 membership, govern its operations, fund its activities, and manage its staff. ChicagoFIRST's staff address 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,

ChicagoFIRST will celebrate its 15th anniversary in 2018. The original goal of the fourteen financial firms that created ChicagoFIRST has endured; to foster collaboration among the area's critical infrastructure and public sector agencies on business continuity, cyber security, physical security and life safety planning and response. Including critical firms other than financial services as members has served to expand our knowledge base, while better preparing the entire community to be resilient in the face of natural and man-made disasters.



Many of our recent threats persist, including terrorist acts at public gatherings, cybercrime that affects financial interests and critical infrastructure, severe weather, and protests that disrupt business operations. ChicagoFIRST will continue to focus on how a convergence of events may require the simultaneous activation of business continuity, cyber security and physical security plans and methods for improving data protection and recovery as threats evolve.

ChicagoFIRST's relationships with local police, fire and emergency management, as well as the regional offices of Federal agencies, remains strong through our continuing collaboration on risk assessments, emergency planning and response. Recent federal emergency management guidance emphasizes the importance of working through public private partnerships like ChicagoFIRST to ensure an effective whole-community response to disasters. In 2018, we'll participate in additional classified briefings and working sessions with our partners at the FBI and Chicago Police Information Center to keep pace with changing risks that impact our members.

Our regional leadership will include co-chairmanship of the Chicago Public Private Task Force, Vice Chair of RPCfirst, Steering Committee of the Secret Service Electronic Crimes Task Force and participation in the Regional Consortium Coordinating Council.

On the National level, I'll continue to serve on the Executive Committee of 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 monitor regulatory changes, including the effects rescinding Net Neutrality has on private sector internet bandwidth allocation during emergency response.

Thank you to all our members and strategic partners who work cooperatively towards our common goal of a resilient community.

Sincerely,

Michael Carano  
*Executive Director*

A handwritten signature in blue ink, appearing to be 'MC', written over a light blue background.

## HIGHLIGHTS OF PUBLIC SECTOR ENGAGEMENTS

Leaders from **Cook, Will, Lake, and DuPage Emergency Management** agencies discussed the unique threats and hazards of their jurisdictions and presented their operational resources and capabilities to manage those risks.

The **Director of the FEMA V National Preparedness Division** discussed the agency's planning, response, and recovery activities for addressing regional risks relevant to ChicagoFIRST members.

ChicagoFIRST participated at an event hosted by the **University of Chicago** Graduate Program in Threat and Response Management with the **Illinois Emergency Management Agency Executive Director** and the **Acting Director of FEMA V** on the importance of public private partnerships to whole community resilience.

The **Executive Director of the Financial Services Coordinating Council** outlined plans for a national partnership to coordinate cyber security, disaster planning, and response with the energy and telecommunication sectors.

The **Special Agent-in-Charge of the U.S. Diplomatic Security Service** in Chicago discussed available resources, capabilities, and best practices for national and international travelers.

**Region V Director of the Office of Infrastructure Protection, U.S. Department of Homeland Security**, presented the strategy for the newly created office emphasizing their national security mission, core capabilities, and resources to protect the nation's critical infrastructure from terrorism and other hazards.

A Director from the **National Initiative for Cybersecurity Education (NICE)**, **National Institute of Standards and Technology (NIST)**, **United States Department of Commerce** led a roundtable discussion on federal initiatives for cybersecurity workforce development and available resources for finding qualified staff.

**The 1st District Chief of the Chicago Fire Department** informed members about preparations for a major commercial property fire, the fire department's response posture, and the likely impact to business operations for follow-up investigations and inspections.





## SITUATIONAL AWARENESS

This year, ChicagoFIRST monitored and reported significant Central Business District protest activities related to the presidential election, state budget, May Day, and other issues. 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 eyewitness communications received from the membership.



## 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. The EOC was activated for the Chicago Marathon and Fourth of July, which DHS designated as National Special Security Events.



## 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 2017 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 severe flooding, complex coordinated attacks, and power outages.





## CHICAGO METROPOLITAN STATISTICAL AREA POWER OUTAGE WORKSHOP

ChicagoFIRST participated in the Chicago Metropolitan Statistical Area Power Outage Workshop hosted by FEMA V, OEMC, Cook County DHSEM and IEMA. The purpose was to discuss regional coordination procedures between local, county, state, and federal governments; and the energy, transportation, water, and communications sectors. Elements included providing and de-conflicting resources for impacted areas and assessing mutual reliance, resource needs, and mechanisms for information-sharing during a long-term power outage.

## 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 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 the CP3 portal.



## WORKGROUPS AND ROUNDTABLES

ChicagoFIRST continually explores ways to increase the value of the organization to its members. In addition to industry experts, our workgroups encourage member presentations on emerging topics and regulatory compliance programs that reflect the changing business continuity, physical security, and cyber security landscapes. Business Continuity topics featured this year included business impact analyses practices, incident response and event management, employee awareness programs and alternate workplace solutions. The Physical Security Workgroup explored employee travel risk management programs and security system capabilities and management. Cyber Workgroup themes included Department of Homeland Security cyber resources and capabilities; regulatory proposals for recovery time objectives; threat intelligence management and workforce development. Members receive meeting deliverables that include a summary of the discussion and actionable recommendations to improve their resilience programs. ChicagoFIRST also surveys members on specific topics based on member requests and shares the results within our trusted circle.



## COMPLEX COORDINATED TERRORIST ATTACK WORKSHOP & TABLETOP EXERCISE

ChicagoFIRST facilitated a tabletop exercise on public and private sector emergency response to a complex coordinated terrorist attack impacting the Central Business District. Over sixty members and representatives from the Office of Emergency Management and Communications, Police and Fire Departments, Metra, Chicago Transit Authority, Department of Homeland Security, Federal Bureau of Investigation, Chicago Public Health Department, and the American Red Cross 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. 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. Member firms received an After-Action Report noting observations, discussion outcomes, and recommendations for improvement.

## EIGHTH ANNUAL TELECOMMUTING EXERCISE

Robust telecommuting plans are critical to a firm's business recovery efforts 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 in the process.

The 2017 exercise featured a partnership with the Financial Services Information Sharing & Analysis Center (FS-ISAC) and included 1,982 participants from over 636 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.





## OPERATION POWER PLAY 2017

ChicagoFIRST worked on the design team for the Operations Power Play 2017 Statewide Exercise and participated at the Illinois Business Emergency Operations Center. The exercise was designed to test low probability, high impact catastrophic events throughout the State of Illinois. Representatives from over 30 government and private sector entities tested responder safety, EOC management, critical resource management, interoperable communications, and restoration of power to critical infrastructure.

## CHICAGOFIRST HOMELAND SECURITY INFORMATION NETWORK PORTAL

ChicagoFIRST was awarded a grant through the Department of Homeland Security and National Institute for Hometown Security to develop a secure portal and workspace for shared communication among critical infrastructure firms and public sector agencies. The portal is hosted on the Homeland Security Information Network, which allows vetted and secure access to Law Enforcement Sensitive and For Official Use Only intelligence, emergency operations procedure, a messaging system and work group areas for physical security, cyber security, business continuity, and regulatory compliance teams. ChicagoFIRST staff vets incoming intelligence products from federal, state, and local government sources and posts information that is relevant for our members' mitigation and response planning.



## NEW MEMBERS

ChicagoFIRST welcomes new members **Kirkland & Ellis, LLP** and **TransUnion**. We look forward to their participation in meetings and events.

# Leadership on the Local, Regional, and National Levels



ChicagoFIRST holds several leadership positions at the local, regional, 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 beneficial to the membership.

## **CHICAGO PUBLIC/PRIVATE TASK FORCE**

Since 2010, the Executive Directors of ChicagoFIRST and Chicago's Office of Emergency Management and Communications have co-chaired the Chicago Public Private Task Force. Private sector member representatives are from higher education institutions, hotel and entertainment venues, cultural institutions, hospitals, north Michigan Avenue retail operations, the Central Business District community, and 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**

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. ChicagoFIRST coordinated the first quarterly meeting on account takeover trends and mitigation hosted by CBOE and featuring Bill Barouski, DCISO, Northern Trust.



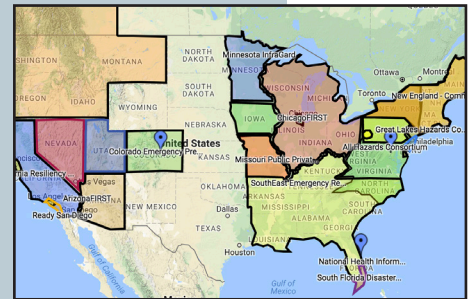
## REGIONAL PARTNERSHIP COUNCIL

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 regional intelligence, website development, crisis communications, playbook resources, and consulting services to the coalitions. More information is available at [www.rpcfirst.org](http://www.rpcfirst.org).



## REGIONAL CONSORTIUM COORDINATING COUNCIL

ChicagoFIRST serves on the RC3 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 committee since 2011, after serving as its inaugural chair from 2008 to 2011. More information is available at [rtriplec.wordpress.com](http://rtriplec.wordpress.com).



## FINANCIAL SERVICES SECTOR COORDINATING COUNCIL

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 developing a playbook to escalate, coordinate, and communicate information across the financial services, energy, and communication sectors; and prioritizing after-action items from the national financial services cyber exercises using the NIST framework as a categorization tool. More information is available at [www.fsscc.org](http://www.fsscc.org).



## ChicagoFIRST 2017 MEMBERSHIP

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





### City of Chicago

- Chicago Office of Emergency Management & Communications
- Chicago Office of the Mayor
- Chicago Police Department
- Chicago Police Intelligence Center
- Chicago Fire Department
- Chicago Department of Public Health
- Chicago Transit Authority
- METRA

### Regional Government

- Illinois Department of Financial & Professional Regulation
- Illinois Emergency Management Agency
- Illinois State Police
- Statewide Terrorism & Intelligence Center
- Cook County Department of Homeland Security and Emergency Management
- DuPage County Office of Homeland Security and Emergency Management
- Lake County Emergency Management Agency
- Will County Emergency Management Agency

### Federal Government

- Commodity Futures Trading Commission
- Department of Homeland Security, Region V
- Department of the Treasury
- Federal Bureau of Investigation
- Federal Deposit Insurance Corporation

- Federal Reserve Bank
- 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. Secret Service
- U.S. Postal Inspection Service

### National Partnerships

- Financial & Banking Information Infrastructure Committee
- Financial Services Sector Coordinating Council
- Regional Consortium Coordinating Council
- Regional Partnership Council

### Private Sector Organizations

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





## 2017 ChicagoFIRST BOARD OF DIRECTORS AND OFFICERS

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Options Clearing Corporation  
Vice President, Chief Security Technology Officer









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# ChicagoFIRST

A Crisis is No Time to Exchange  
Business Cards

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