

A photograph of the Chicago skyline, featuring several prominent skyscrapers. The Willis Tower is on the left, and the Tribune Tower is on the right. In the foreground, there is a bridge over a river. A semi-transparent white box is overlaid on the right side of the image, containing text.

Annual Report 2020

# 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 our long-standing 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,

As we say goodbye to 2020, we all have a variety of emotions attached. This past year, we saw a lifetime of challenges play out. We realized a new normality as we faced a pandemic, civil unrest, weather challenges, remote working, and cyber concerns. Reflecting on those challenges, I cannot express how proud I am to be part of ChicagoFIRST. Together we worked to ensure that not a single challenge became overwhelming. We came together to work with each other to discuss, debate, and identify priority needs not only for each but assisting the public sector by coordinating with their problem-solving efforts.



Although we missed the warm touch of a handshake for most of the past year, it did not stop us from operating virtually and continuing to bring the workgroup meetings, exercises and discussions that are essential to our membership. In addition to the Cyber, Physical Security, and Business Continuity Workgroup meetings, we were able to deliver ad-hoc meetings surrounding pandemic concerns on topics such as transit, social distancing, childcare, temperature screening, and coordination with building management. Additionally, the newly formed Exercise Workgroup did an outstanding job collectively working on best practices while developing and delivering our very first virtual tabletop exercise.

We worked fiercely to represent members' interests to our strategic partners in the Public Sector at the Municipal, Regional, and National levels. Locally, we continue to Co-Chair Chicago's Public Private Task Force with the Office of Emergency Management and responded to a record number of Emergency Operation Center activations this year. Regionally we worked daily with the State's Business Emergency Operation Center (BEOC), the Illinois Emergency Management Agency (IEMA), and the Illinois Department of Public Health (IDPH). Nationally, we continue to partner with the Financial Services Sector Coordination Council (FSSCC), the Financial and Banking Information Infrastructure Committee (FBII), the Financial Services Information Sharing and Analysis Center (FS-ISAC), the US Treasury, the Federal Bureau of Investigation (FBI), the Cyber and Infrastructure Security Agency (CISA), as well as many other great partners.

Over the course of the year, we saw numerous incidents of Civil Unrest that varied from peaceful protests to acts of criminal looting and violence. That coupled with the need for real time COVID data led to numerous online Dashboards deployed this year providing our members direct access to timely information. These incidents additionally revealed concerns for enhanced credentialing policies at all governmental levels that we at ChicagoFIRST will continue to champion with public sector partners along with continuing to improve notification systems to provide you with threat and risk information in real time.

Whatever your views are on 2020, we all are glad to welcome the opportunities and hope for a healthy and prosperous 2021. I appreciate the opportunity to work with each of you, and as we start to develop vaccination plans and return to office strategies, I look forward to the opportunity to meet again in person. To quote one of my peers from NorthEast FIRST – "Stay Positive and Test Negative".

Sincerely,

A handwritten signature in cursive script that reads "Steven Caluris".

Steven Caluris  
*Executive Director*

## HIGHLIGHTS OF PUBLIC SECTOR ENGAGEMENTS

The unprecedented events of this past year tested the strength and validity of our public sector partnerships and enhanced relations with other private sector entities.

**City of Chicago CoVID Business Response Committee** was initiated to address the business and communities supply chain and priority needs. As co-chair, ChicagoFIRST spearheaded a series of surveys sent to over 100 Chicago residents and representatives from health, education, retail, hospitality, cultural institutions, and businesses.

**Chicago Transit Authority Security and Metra's Customer Experience and Communication** representatives reported on their agency response to CoVID-19 safety requirements and ridership accommodations as businesses return to the office. Members identified public transportation health concerns as one of the main reasons for delaying their return to office.

**State, Cook County, and Chicago Emergency Operations Managers and Public Health** representatives reported on their vaccination plans and responded to members questions. This forum provided an opportunity for members and the public sector to identify gaps in their plans and coordination efforts.

**Chicago Fire Department's Deputy Chief of Fire Education** offered firms guidance on CoVID accommodations to comply with the mandatory Category 1 and 2 high-rise building fire drills.



**FEMA, DHS/CISA and the National Business Emergency Operations Center** conference calls provided ChicagoFIRST the opportunity to learn about CoVID response, severe weather, and cyber threat incidents and advocate for members' needs.

**Chicago's Deputy Mayor of Public Safety** reported on the City's 5 Point Safety Plan in response to concerns over the rise of crime within the Central Business District and surrounding communities.

**The Mayor's Office, the Office of Emergency Management and Communications** and ChicagoFIRST collaborated on standing up an off-site Business Emergency Operations Center and dashboard to enhance information sharing between the City's EOC and Chicago area businesses and community groups.

**DHS/CISA Cyber Security Advisor** engaged Cyber Workgroup members in a discussion related to CISA's Cyber Essentials to improve resiliency.

**Treasury Department** "Return to Normal" Briefings were started early in June and continue into 2021. These briefings help coordinate CoVID conditions and business plans across the nation for the Financial Sector. ChicagoFIRST actively participates providing a briefing on conditions in Chicago and in return receives a national level brief along with briefings from the District of Columbia, New York, San Francisco, and Charlotte.



# 2020 Year in Review



## NEW MEMBER

ChicagoFIRST welcomed Byline Bank, Relativity, TTX, and Verizon as new members in 2020. We look forward to their continued participation in meetings and events.

## SITUATIONAL AWARENESS

This year, ChicagoFIRST monitored significant Central Business District protest activities related to a wide range of local and national issues, some targeting specific firms or industries. ChicagoFIRST provided members with real-time advisories of any activities that could impact their business by synthesizing public sector intelligence, social media feeds, as well as eyewitness reports received from the membership.

## CHICAGOFIRST DASHBOARDS

In response to CoVID-19, ChicagoFIRST introduced a secure HSIN website as a depository for the most up to date local, regional, and national resources and data on the pandemic and the vaccination distribution process. The site also features a chat box, providing the ability to privately converse with members on their plans. A separate dashboard was activated to facilitate information sharing on Central Business District's looting, and civil unrest associated with the Presidential Election.

## 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. This year a number of ChicagoFIRST members were trained as liaisons in the EOC for Memorial Day and expanded activations related to civil unrest and the Presidential Election.

## 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 2020 Threat, Hazard, Identification, and Risk Assessment (THIRA) and the Stakeholder Preparedness Review. 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. ChicagoFIRST, as a representative of the Chicago Public Private Task Force, was tasked with identifying and assessing the City's ability to meet the following DHS Core Capabilities: Access Control and Identify Verification; Physical Protective Measures; Supply Chain Integrity and Security; Risk Management for Protection Programs and Activities; Risk and Disaster Resilient Assessment; and Economic Recovery.

## CITY OF CHICAGO BUSINESS RECOVERY ACCESS PROGRAM

Chicago's Business Recovery Access Program (BRAP) is a perimeter access control solution, spearheaded by ChicagoFIRST as co-chair of the Chicago Public Private Task Force. The system is designed to facilitate business resumption during the recovery stage of a disaster. Critical private sector security, building engineers, and IT Infrastructure staff register for BRAP through the upgraded CP3 portal at [www.preparedchicago.com](http://www.preparedchicago.com). A review of 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, is expected to resume next year.





## 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. This year, the recently introduced **Exercise Development Workgroup** successfully designed and facilitated ChicagoFIRST's virtual Annual Strategic Partners Exercise. Members collaborated on the scenarios, while others from member firm Northern Trust, hosted and facilitated the meeting's virtual platform breakout rooms.

ChicagoFIRST held a number of joint meetings among the **Business Continuity, Physical Security, and Cyber Workgroups** reflective of the interconnectedness of CoVID-19 impacts on continuity of operations, resiliency, and staff needs. Members problem solved and shared best practices on pandemic plans through surveys and discussions. Topics included: work from home operational capabilities; identification of virtual collaboration platforms; employee morale; office openings and closing metrics; return to office considerations; office health safety accommodations; and building management coordination. In response to the unprecedented events of civil unrest and riots, joint meetings also featured public sector and law enforcement representatives reporting on crime statistics, and addressing safety concerns, asset protection, and Central Business District access coordination.

Besides focusing on support needs for remote workers' business operations, the **Cyber Workgroup and the Cloud Implementation Subcommittee** featured presentations on the Verizon 2020 Data Breach Investigations Report and a subject matter expert from GuidePoint Security on API Security and Identify Management. **The Regulatory Roundtable** featured a panel of regulators from the Federal Reserve Bank; Security Exchange Commission; Federal Deposit Insurance Corporation (FDIC); Office of the Comptroller of the Currency (OCC); Consumer Financial Protection Bureau; and the Illinois Department of Financial and Professional Regulation. Members submitted questions related to cloud providers, third-party vendor management, fraud cases, US and international privacy laws, and credit reporting agencies. **The Intelligence Workgroup** featured members' presentations on public/private exchange intelligence sharing protocols, open-source intelligence sites, and intelligence team composition.

Members receive deliverables that include a summary of the discussion and actionable recommendations and resources to improve their resilience programs. ChicagoFIRST also surveys members on specific topics based on member requests and shares the results within our trusted circle.



## **PUBLIC / PRIVATE SECTORS TABLETOP EXERCISE**

ChicagoFIRST's virtual Annual Strategic Partners Tabletop Exercise featured a series of escalating events involving civil unrest, a DDoS attack, insider threat, and power and communication system outages. The exercise was designed to test systems; communication and notification procedures to stakeholders; public safety and regulatory agencies processes and procedures to identify, respond, and recover from an event. Public sector participants included federal, state, and local emergency management, law enforcement, and transit agencies, including: Department of Homeland Security/ CISA, Federal Bureau of Investigation, and the U.S. Treasury. 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.

## **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 (HSIN), which allows vetted and secure access to Law Enforcement Sensitive and For Official Use Only intelligence, emergency operations procedures, a messaging system, and work group areas for physical security, cyber security, business continuity, and regulatory compliance teams. ChicagoFIRST staff reviews incoming intelligence products from federal, state, and local government sources and posts information that is relevant for our members' mitigation and response planning.



## 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 (CPPTF)**

Since 2010, the Executive Director of ChicagoFIRST and the City of Chicago 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 sector representatives include public safety and law enforcement agencies. ChicagoFIRST continues to foster collaboration across all critical infrastructure and key resource sectors and initiates projects for effective emergency planning, response, and recovery.

### **ILLINOIS BUSINESS EMERGENCY OPERATIONS CENTER**

ChicagoFIRST is a lead representative in the Illinois Business Emergency Operations Center, representing members' operational interests statewide on calls informing of impending severe weather, pandemic response, or other events of potential impact.

### **CHICAGO ELECTRONIC CRIMES TASK FORCE (CECTF)**

ChicagoFIRST is a participating member of 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 to develop similar regional coalitions throughout the nation to enhance emergency preparedness, response, and mitigation measures for widespread emergencies. The association continues to collaborate in the development of strategies and procedures on information sharing and public-sector relationship building for the coalitions.

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

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. ChicagoFIRST has been on the committee since 2011, after serving as its inaugural chair from 2008 to 2011. More information is available at <https://rtriplec.wordpress.com/>.

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

ChicagoFIRST has been a member of FSSCC since 2004 and has served on the Executive Committee since 2009. ChicagoFIRST participates in the Executive Committee's After-Action Report Task Group, prioritizing and inventorying all projects to facilitate the development of future exercises. The FSSCC is the financial sector component of the national public private partnership. ChicagoFIRST provides input to its policy advocacy and national sector response initiatives. More information is available at [www.fsscc.org](http://www.fsscc.org).





## ChicagoFIRST 2020 MEMBERSHIP

- Aon
- Bank of America
- Blue Cross Blue Shield
- BMO Harris Bank
- BP
- Byline Bank
- Chicago Board Options Exchange
- Chicago Federal Home Loan Bank
- Chicago Trading Company
- CIBC
- CME Group
- CNA
- Commonwealth Edison
- Devon Bank
- Enova Financial
- Federal Reserve Bank of Chicago
- Goldman Sachs
- Guggenheim Partners
- Harbor Funds
- Kirkland & Ellis, LLP
- Jackson National Asset Management
- Mesirov Financial
- Mizuho Securities USA
- Northern Trust
- Options Clearing Corporation
- PPM America
- Relativity
- William Blair & Company
- TransUnion
- TTX
- United
- Verizon
- William Blair & Company
- Wintrust Financial



# ChicagoFIRST STRATEGIC PARTNERS

## 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
- Chicago Department of Public Health

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## Regional Government

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

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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>)

## Federal Government

- Commodity Futures Trading Commission
- Consumer Financial Protection Bureau
- Department of Homeland Security/CISA
- Department of the Treasury
- Federal Bureau of Investigation
- Federal Deposit Insurance Corporation
- Federal Reserve Bank
- Federal Emergency Management Agency, Region V
- National Weather Service Chicago
- 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

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## Private Sector Organizations

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



## 2020 ChicagoFIRST BOARD OF DIRECTORS AND OFFICERS

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Aon  
Senior Director, Global Business &  
Technology Resilience

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**Katy Hurst**, *Director*

BMO Harris Bank  
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**Bradley Paton**, *Director*

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Response

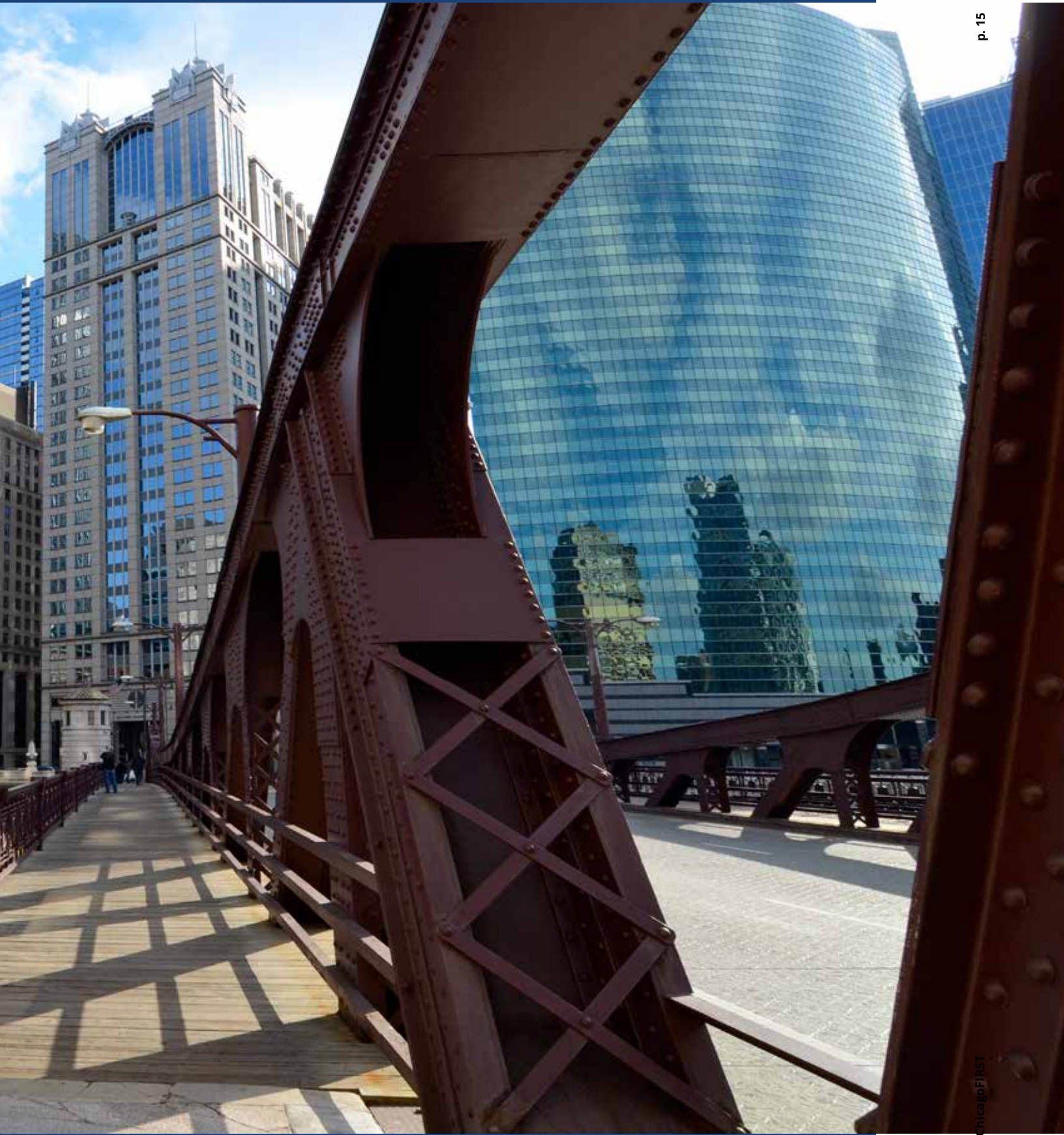
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**Mark Johnson**, *Director*

The Northern Trust Company  
Senior Vice President/ Manager, Business Continuity  
and Recovery





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# ChicagoFIRST

A Crisis is No Time to Exchange  
Business Cards

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