

Annual Report 2021

ChicagoFIRST

Nationally Connected. Regionally Focused.
Uniquely Resilient.

Fostering Industry
Resilience and Security
through Teamwork





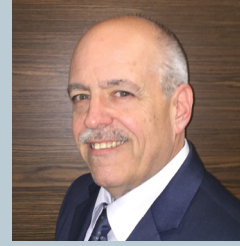
Fostering Industry Resilience and Security through Teamwork

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 ChicagoFIRST completes its 18th year and we look forward to 2022, we continue to test our resiliency from the challenges that COVID has placed on us all. Our member focus continues to evolve in terms of the pandemic, rapidly evolving cybercrime that affects financial interests and infrastructure, and civil unrest 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 2022 is how the integration of response plans and teams amongst organizational entities might be best accomplished based on the best practices at our member firms and across industries.

Locally, we will continue to function as co-chair of the Chicago Public Private Task Force, working closely with the city and strategic partners to bring attention to your priority concerns. 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 as many firms have key resources and employees working from homes in the communities surrounding Chicago.

On the National level, we will continue to work closely with the Financial Service Sector Coordinating Council, participate with the FS-ISAC, and all sector ISAC's, with a focus on working 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 our members and strategic partners who continue to work cooperatively towards our common goal of a resilient community. Best Wishes for a successful 2022!

Sincerely,

A handwritten signature in cursive script that reads "Steven Caluris". The ink is dark and the signature is fluid and legible.

Steven Caluris
Executive Director



A FAREWELL FROM THE CHICAGOFIRST BOARD CHAIR

ChicagoFIRST Board of Directors and Membership,

Just a short 19 years ago, I had the privilege to be part of the grassroots coalition that worked to form ChicagoFIRST in 2003. Since that time, I've had the honor to represent ChicagoFIRST as a general member in addition to serving on the Board in several roles, and currently as the Executive Chair.

It is with much mixed emotion that I am writing to you today to resign my position from the Board, effective June 11, 2021.

During my tenure with ChicagoFIRST, this organization that started with an emphasis on the resilient needs of firms in the financial sector has grown to 33 member firms strong, and now represents multiple sectors. Our service offerings and working groups for members have expanded and matured as new threats and risks emerge. And, ChicagoFIRST continues to be relevant as a thought leader and model for Public Private Partnerships.

I am so incredibly proud to have been part of such a first-class organization and work with so many talented, dedicated, and passionate individuals. While it's difficult for me to say goodbye, it's all these qualities that I know will keep ChicagoFIRST thriving and striving for years to come.

Sincerely,

Theresa Enright Oleson

CHICAGOFIRST WELCOMES ARLAN MCMILLAN AS NEW BOARD CHAIR.

Arlan McMillan is the Chief Security Officer (CSO) for Kirkland & Ellis LLP. Kirkland is an international law firm that serves a broad range of clients around the world in private equity, M&A and other corporate transactions, litigation, white collar and government disputes, restructurings, and intellectual property matters.

As the CSO, Arlan oversees the strategy and delivery of Cybersecurity, Physical Security and Business Continuity Management capabilities firm wide. With over 25 years' experience in Information Technology and Security, Arlan has led a number of teams developing and delivering security services for top organizations including United Airlines, the City of Chicago and ABN Amro Bank.

Prior to joining Kirkland, Arlan was a board member of the Aviation Information Sharing and Analysis Center (A-ISAC) and the Transportation Sector Chief for the FBI-InfraGard Chicago region. He is currently a Governing Body member of Evanta, Executive Committee member of the CyberSecurity Collaborative, and a regular contributor on the topics of risk management and executive communications besides assuming the role of ChicagoFIRST Chair.

CHICAGOFIRST IN TRANSITION

Martha Meegan joined ChicagoFIRST as Deputy Director from Columbia College Chicago in 2015. After 35 plus years in public safety, she retired on June 30th from ChicagoFIRST. It was an honor have Martha as part of ChicagoFIRST. She was always professional, working with members displaying her commitment to excellence. We wish her all the best in pursuing her next adventure in life.

ChicagoFIRST is excited to introduce the newest member of our team, Dionna Cleaveland as our new Associate Director.

Dionna comes to ChicagoFIRST from CME Group, where she had spent 11 years, with the last 5 ½ years on the Business Continuity Management team. During this time, she led daily incident monitoring and response, for offices globally, developed and facilitated numerous tabletop exercises with various stakeholders, assisted with business recovery plan development and review, and coordinated companywide exercises. Most recently, she was involved in the day-to-day companywide COVID-19 response, including close coordination with stakeholders and office leadership throughout the pandemic, leading regular touchpoint meetings with Incident Response Teams globally, and ensuring the successful reopening of offices.

Before coming to ChicagoFIRST, Dionna was one of the Co-Chairs for the Business Continuity Workgroup. She looks forward to using her Business Continuity experience to help members ensure their resiliency and preparedness and is excited to get to know, and work closely, with all of you!



HIGHLIGHTS OF PUBLIC PRIVATE STRATEGIC PARTNERS ENGAGEMENTS

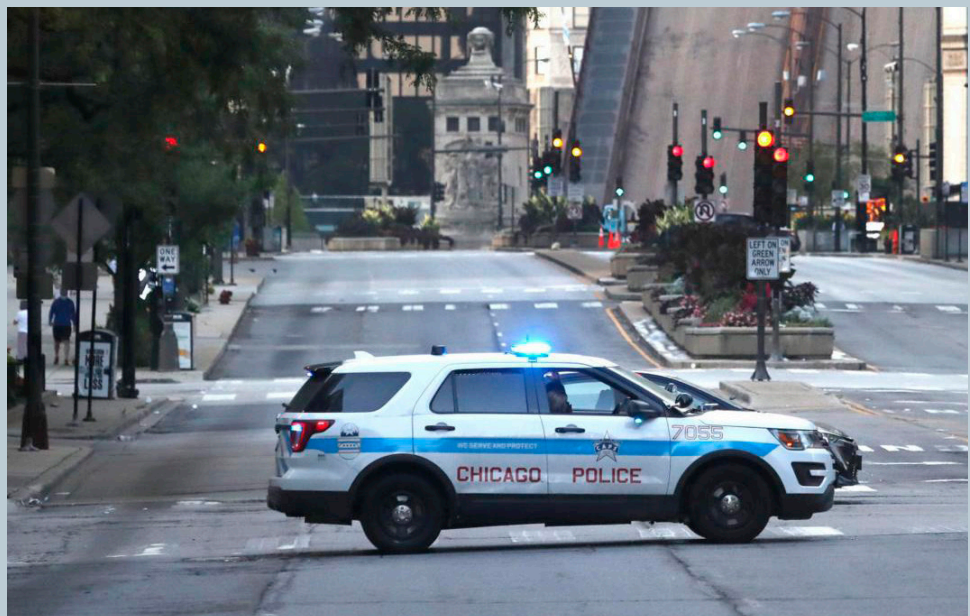
The unprecedented events of this past year tested the strength and validity of our public sector partnerships and enhanced relations with other private sector entities.

Chicago Police Department, the Office of Emergency Management, and the Office of Mayor worked with ChicagoFIRST and members of the Public Private Task Force to coordinate multiple Emergency Operation Center activations to safeguard against civil unrest associated with events such as: the Derek Chauvin Trial, the Rittenhouse Trial, and police related shootings such as Adam Toledo and Anthony Alvarez.

Meeting with CISA Director Jen Easterly took place in August. The Director was informed of the current Public Private Task Force model in Chicago and wanted to speak to ChicagoFIRST concerning our role and best practice.

Chicago Transit Authority Security and Metra's Customer Experience and Communication representatives reported on their agency response to COVID-19 safety requirements, crime, and ridership accommodations as businesses return to the office. Members identified public transportation, health and crime 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.





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, as well as advocate for members' needs.

Chicago's Deputy Mayor of Public Safety worked closely with ChicagoFIRST and its members to ensure open lines of communication surrounding public safety as member firms prepare for a return to office.

The Mayor's Office, along with the Office of Emergency Management and Communications worked tirelessly to enhance information sharing between the City's EOC and Chicago area businesses and community groups to ensure early warning of disruptions and concerns to the Central Business District.

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

Classified Briefs were suspended in 2020 due to the pandemic and have resumed in the 3rd and 4th quarter of 2021. Briefings feature updates on Sector threats and concerns for members holding a security clearance. Meetings are held in-person only and are expected to continue as COVID related restrictions are eased.

2021 Year in Review



NEW MEMBERS

ChicagoFIRST welcomed Guaranteed Rate and University of Chicago Medicine as new members in 2021. 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 repository for the most up to date local, regional, and national resources, data on COVID-19 and the vaccination distribution process. The site also featured a chat box, providing members the ability to privately converse with members on their plans. Separate dashboards were activated to facilitate information sharing on Central Business District concerns involving the threat of looting, and civil unrest.

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 special 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 2021 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. 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 **Exercise Development Workgroup** successfully designed and facilitated ChicagoFIRST's virtual Annual Strategic Partners Exercise with new innovative approaches. Members collaborated on the scenarios, while others from member firm Northern Trust, hosted and facilitated the meeting's polling questions.

ChicagoFIRST held several 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, including 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 and business operations, the **Cyber Workgroup and the Cloud Implementation Subcommittee** featured presentations on the Solar Winds Data Breach by CISA Security Advisor Christopher Gabbard and a presentation on Evaluating Data Loss Prevention (DLP) Solutions by Richard Kim, Security Architect, Kirkland & Ellis LLP. **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 on the regulatory landscape as applied 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 severe weather impact, utility service disruptions, cyber components, and business resumption. 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 Directors 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 venue; 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 (RPCFIRST)

ChicagoFIRST founded *RPCfirst* 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



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 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.



CHICAGOFIRST 2021 MEMBERSHIP

- Aon
- Bank of America
- BMO Harris Bank
- BP
- Byline Bank
- Chicago Board Options Exchange
- Chicago Trading Company
- CIBC
- CME Group
- CNA
- Commonwealth Edison
- Devon Bank
- Enova Financial
- Federal Home Loan Bank of Chicago
- Federal Reserve Bank of Chicago
- Goldman Sachs
- Guaranteed Rate
- Guggenheim Partners
- Harbor Funds
- Health Care Service Corp / BCBS
- Kirkland & Ellis, LLP
- Jackson National Asset Management
- Mesirow Financial
- Mizuho Securities USA
- Northern Trust
- Options Clearing Corporation
- PPM America
- Relativity
- TransUnion
- TTX
- United
- UChicago Medicine
- William Blair & Company
- Wintrust Financial

CHICAGOFIRST 2021 BOARD OF DIRECTORS AND OFFICERS

Theresa Enright Oleson, *Chair*

Aon
Senior Director, Global Business &
Technology Resilience

Arlan McMillan, *Vice Chair*

Kirkland & Ellis, LLP
Chief Security Officer

Michael Wallace, *Treasurer*

BMO Harris Bank
Director, Global Crisis Management

Bethany Netzel, *Secretary*

CME Group
Managing Director, Global Business
Continuity
Management and Security

Curt Schumacher, *Director*

Chicago Board Options Exchange
Vice President, Infrastructure

Katy Hurst, *Director*

BMO Harris Bank
Director, Event and Incident Management

Bradley Paton, *Director*

Bank of America
Senior Vice President, Central U.S.
Enterprise
Event Response

Clint Fransen, *Director*

Options Clearing Corporation
Executive Director, Business Continuity

Mark Johnson, *Director*

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

Kenneth Jaramillo, *Director*

Aon
Regional Head of Corporate Protection
Services—Americas

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

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

NATIONAL PARTNERSHIPS

- Financial & Banking Information Infrastructure Committee
- Financial Services Sector Coordinating Council
- Regional Consortium Coordinating Council
- Regional Partnership Council (RPC_{first})

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

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



ChicagoFIRST

A Crisis is No Time to Exchange
Business Cards

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