

# Consultation

## *Purpose*

1. Our Strategy, Policy & Risk Division (“**SPR**”) is responsible for the DFSA’s strategic planning which covers several areas of activity, including the annual business planning cycle, agreement on strategic themes and the setting of regulatory priorities. SPR is also responsible for the development and maintenance of the DFSA’s policy and risk framework.
2. Our role requires that we work with the DIFC Authority, as regards the development of the DIFC, as well as with other Dubai and Federal government bodies. We also engage with international standard setting bodies, working groups and committees on changes in international standards and the need to regulate appropriately new business models and types of financial services activity.
3. In carrying out the above responsibilities, we regularly consult with bodies and individuals who are affected by or are interested in the legislation we administer, and receive information as a result. We may receive this information in the form of submissions in response to a consultation or discussion paper we have published or through less formal processes, such as meetings, telephone calls or written correspondence.
4. We use this information for the purpose of reviewing and determining our policy.

## *Personal Data we use*

5. The information provided to us in the course of consultation may include Personal Data, such as the contact details of the individual giving us the information or Personal Data relating to the conduct of their regulated activities.
6. We may publish the results of our consultations (for example, in a feedback statement). We will not publish Personal Data collected during consultation without obtaining permission from the individual to whom that Personal Data relates.
7. Sources of Personal Data include:
  - a. Directly from the individual.
  - b. Use of DFSA systems.
  - c. Publicly available information.
  - d. Governments, regulators, official bodies, authorities and organisations.
  - e. DFSA outreach and information sessions.
  - f. DFSA surveys, including public consultations using DFSA survey software.
8. ‘Classes’ of individuals whose Personal Data may be processed include:
  - a. Representatives of Relevant Persons (as defined in the GLO Module of the DFSA Rulebook, available here: [Glossary Module \(GLO\)](#)).
  - b. Representatives of governments, regulators and official bodies, authorities and organisations.
  - c. Individuals acting as representatives for any Person (defined in GLO) providing comments on DFSA consultation papers.
  - d. Attendees at DFSA information sessions.

- e. Correspondents and enquirers.
- f. Advisors, consultants and service providers.

*Lawful basis for processing Personal Data*

- 9. We generally process this Personal Data under Article 10(1)(e) of the DP Law, as the processing is necessary for performance of a task carried out by the DFSA in the interests of the DIFC and also necessary for the exercise of the DFSA's powers and functions. In certain limited circumstances, we process this Personal Data with your explicit consent under Article 10(1)(a) of the DP Law.