

Handling complaints about us

Purpose

1. We collect Personal Data for the purposes of receiving and assessing complaints made against the DFSA.
2. We have in place procedures to receive, assess and seek to resolve any formal complaints made in respect of the actions of the DFSA or its employees in a regulatory matter. While we take steps to minimise the Personal Data that we collect and process for this purpose, we are often required to collect a wide range of information in order to consider and investigate complaints we receive. That information will include Personal Data relating to the complainant and will often include Personal Data of third parties, such as other individuals involved in the matters giving rise to the complaint.
3. Where you make a complaint to us regarding a DFSA employee, it may be necessary for the person handling the complaint to contact the employee in question. Our complaint form will ask whether you consent to your name being disclosed to the person who is the subject of the complaint. There may be circumstances where, without this consent, we are unable properly to investigate or attempt to resolve your complaint.

Personal Data we use

4. The types of Personal Data that we mainly use as part of our complaint handling work includes names, contact details, personal opinions and allegations. Although we do not explicitly ask for Special Categories of Personal Data in our complaints form, it is possible that such information may be included in the details of the complaint by the complainant.

Lawful basis for processing Personal Data

5. 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.
6. Where this Personal Data includes Special Categories of Personal Data, we will process it only where one of the grounds under Article 11 of the DP Law applies.