

Collecting and disclosing information at the request of other official agencies or authorities

Purpose

1. To achieve our objectives as a financial services regulator, we need to work with other regulatory agencies and official bodies and authorities within Dubai and the UAE, as well as with international regulators and organisations (“**Official Agencies & Authorities**”).
2. The DFSA has statutory authority to exercise its powers at the request of, and on behalf of, other governmental, regulatory and law enforcement agencies both inside and outside the DIFC and the UAE.
3. We are a signatory to international cooperation agreements with a number of Official Agencies & Authorities. Further details are available here: [International Arrangements](#).
4. During our engagement with Official Agencies & Authorities, we may obtain confidential information, including Personal Data, on their behalf and share that information with them to assist with their official duties and functions. We may also receive confidential information, including Personal Data, from Official Agencies & Authorities to assist with our regulatory functions and duties.
5. For further information on our approach, please refer to Chapter 8 of the DFSA’s Regulatory Policy and Process Sourcebook (RPP), available here: [RPP Sourcebook](#).

Personal Data we use

6. The information we obtain on behalf of Official Agencies & Authorities and share with them will depend upon the nature of the request they have made, but may include Personal Data and Special Categories of Personal Data relating to the individual from whom we obtain the information or relating to other third parties.
7. When considering whether to comply with a request made by an official agency or authority, we will assess whether there are legitimate reasons for the request and whether the authority making the request has the appropriate standards in place to deal with any confidential information, including Personal Data, we provide to it.
8. Sources of Personal Data include:
 - a. Directly from the individual.
 - b. Authorised Persons and DNFPs (providing information on their employees, agents, advisers, shareholders, ultimate beneficial owners or other related or connected individuals, each for regulatory purposes).
 - c. Applications for licensing or registration.
 - d. Use of DFSA online forms and systems.
 - e. Publicly available information (public directories, media, social media, internet, news articles etc.).
 - f. Courts and public records.
 - g. Governments, regulators, formal bodies, authorities and organisations, including for AML/CTF.

- h. Professional screening programs and facilities such as Accuity.
 - i. Relevant Persons.
 - j. DFSA regulatory reporting or notifications.
9. 'Classes' of individuals whose Personal Data may be processed include:
- a. Authorised Individuals.
 - b. Audit Principals.
 - c. Principal Representatives.
 - d. Clients and customers.
 - e. Members.
 - f. Complainants, correspondents and enquirers.
 - g. Relatives and associates of the individuals.
 - h. Trustees (individuals appointed to this role).
 - i. Whistle-blowers.
 - j. Connected Individuals (to a Reporting Entity).
 - k. Close Associates (Individuals who are close associates of an Authorised Firm).
 - l. Insiders.
 - m. Shareholders.
 - n. Ultimate Beneficial Owners.
 - o. Fund Managers (individuals).
 - p. Senior Management of a Relevant Person.
 - q. Applicants (for any role required to be approved, registered or notified to the DFSA pursuant to DFSA administered laws or the Rules).
 - r. External Individuals (Individuals employed or engaged by or otherwise representing any governmental, regulatory or other authority or body).

Lawful basis for using Personal Data

10. 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.
11. 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, such as where the processing is necessary:
- a. to protect members of the public against improper conduct, which falls under Article 11(j) of the DP Law; and/or
 - b. for the exercise of a function conferred on the DFSA by applicable law and is proportionate to the aim(s) pursued, which falls under Article 11(l) of the DP Law.