

ESAs targeted equivalence assessment of DORA confidentiality and professional secrecy regimes (DORA Art.55)

AUTHORITY ASSESSED	PRINCIPLE 1 <i>NOTION OF CONFIDENTIAL INFORMATION</i>	PRINCIPLE 2 <i>OBLIGATION OF PROFESSIONAL SECRECY</i>	PRINCIPLE 3 <i>USE OF CONFIDENTIAL</i>	PRINCIPLE 4 <i>RESTRICTIONS ON THE DISCLOSURE OF CONFIDENTIAL INFORMATION ADDITIONAL INFORMATION SANCTIONS IN CASES OF BREACHES OF OBLIGATIONS</i>	ADDITIONAL IMPORTANT INFORMATION TO BE TAKEN INTO ACCOUNT <i>BREACH OF PROFESSIONAL SECRECY AND DISCLOSURE REQUIREMENTS RELATING TO CONFIDENTIAL INFORMATION</i>	OVERALL ASSESSMENT
UNITED KINGDOM Financial Conduct Authority (FCA) https://www.fca.org.uk	Section 348, subsections (2) and (4) of the Financial Services and Markets Act 2000 (FSMA) Section 89L of the Banking Act 2009	Section 348, subsections (1), (5), (6) and (8) of the FSMA Schedule 17A, paragraph 23 of the FSMA Section 89L of the Banking Act 2009	Section 349 of the FSMA Part II, Section 7 of the Financial Services and Markets Act 2000 (Disclosure of Confidential Information) Regulation 2001 (The Disclosure Regulation) The Public Record, Disclosure of Information and Co-operation (Financial Services) (Amendment) (EU Exit) Regulations 2019	Section 348(1) of the FSMA Part II and section 4; Subsections 5 and 6 of section 5; and section 7 of the Disclosure Regulation The financial conduct Authority – staff handbook	Section 352 of FSMA	Equivalent
UNITED KINGDOM Prudential Regulation Authority (part of Bank of England) (PRA) https://www.bankofengland.co.uk	Section 348, subsections (2) and (4) of the Financial Services and Markets Act 2000 (FSMA) Section 89L of the Banking Act 2009	Section 348, subsections (1), (5), (6) and (8) of the FSMA Schedule 17A, paragraph 23 of the FSMA Section 89L of the Banking Act 2009	Section 349 of the FSMA Part II, Section 7 of the Financial Services and Markets Act 2000 (Disclosure of Confidential Information) Regulation 2001 (The Disclosure Regulation) The Public Record, Disclosure of Information and Co-operation (Financial Services) (Amendment) (EU Exit) Regulations 2019	Section 348(1) of the FSMA Part II and section 4; Subsections 5 and 6 of section 5; and section 7 of the Disclosure Regulation The Bank of England Code of Conduct	Section 352 of FSMA	Equivalent