

## SCHEDULES

### SCHEDULE 7

Section 37.

#### MISCELLANEOUS EXEMPTIONS

##### *Confidential references given by the data controller*

- 1 Personal data are exempt from section 7 if they consist of a reference given or to be given in confidence by the data controller for the purposes of—
- (a) the education, training or employment, or prospective education, training or employment, of the data subject,
  - (b) the appointment, or prospective appointment, of the data subject to any office, or
  - (c) the provision, or prospective provision, by the data subject of any service.

##### *Armed forces*

- 2 Personal data are exempt from the subject information provisions in any case to the extent to which the application of those provisions would be likely to prejudice the combat effectiveness of any of the armed forces of the Crown.

##### *Judicial appointments and honours*

- 3 Personal data processed for the purposes of—
- (a) assessing any person's suitability for judicial office or the office of Queen's Counsel, or
  - (b) the conferring by the Crown of any honour,
- are exempt from the subject information provisions.

##### *Crown employment and Crown or Ministerial appointments*

- 4 The Secretary of State may by order exempt from the subject information provisions personal data processed for the purposes of assessing any person's suitability for—
- (a) employment by or under the Crown, or
  - (b) any office to which appointments are made by Her Majesty, by a Minister of the Crown or by a Northern Ireland department.

##### *Management forecasts etc.*

- 5 Personal data processed for the purposes of management forecasting or management planning to assist the data controller in the conduct of any business or other activity are exempt from the subject information provisions in any case to the extent to which the application of those provisions would be likely to prejudice the conduct of that business or other activity.

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*Status: This is the original version (as it was originally enacted).*

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*Corporate finance*

- 6 (1) Where personal data are processed for the purposes of, or in connection with, a corporate finance service provided by a relevant person—
- (a) the data are exempt from the subject information provisions in any case to the extent to which either—
    - (i) the application of those provisions to the data could affect the price of any instrument which is already in existence or is to be or may be created, or
    - (ii) the data controller reasonably believes that the application of those provisions to the data could affect the price of any such instrument, and
  - (b) to the extent that the data are not exempt from the subject information provisions by virtue of paragraph (a), they are exempt from those provisions if the exemption is required for the purpose of safeguarding an important economic or financial interest of the United Kingdom.
- (2) For the purposes of sub-paragraph (1)(b) the Secretary of State may by order specify—
- (a) matters to be taken into account in determining whether exemption from the subject information provisions is required for the purpose of safeguarding an important economic or financial interest of the United Kingdom, or
  - (b) circumstances in which exemption from those provisions is, or is not, to be taken to be required for that purpose.
- (3) In this paragraph—
- “corporate finance service” means a service consisting in—
    - (a) underwriting in respect of issues of, or the placing of issues of, any instrument,
    - (b) advice to undertakings on capital structure, industrial strategy and related matters and advice and service relating to mergers and the purchase of undertakings, or
    - (c) services relating to such underwriting as is mentioned in paragraph (a);
  - “instrument” means any instrument listed in section B of the Annex to the Council Directive on investment services in the securities field ([93/22/EEC](#)), as set out in Schedule 1 to the Investment Services Regulations 1995;
  - “price” includes value;
  - “relevant person” means—
    - (a) any person who is authorised under Chapter III of Part I of the Financial Services Act 1986 or is an exempted person under Chapter IV of Part I of that Act,
    - (b) any person who, but for Part III or IV of Schedule 1 to that Act, would require authorisation under that Act,
    - (c) any European investment firm within the meaning given by Regulation 3 of the Investment Services Regulations 1995,
    - (d) any person who, in the course of his employment, provides to his employer a service falling within paragraph (b) or (c) of the definition of “corporate finance service”, or
    - (e) any partner who provides to other partners in the partnership a service falling within either of those paragraphs.

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#### *Negotiations*

- 7 Personal data which consist of records of the intentions of the data controller in relation to any negotiations with the data subject are exempt from the subject information provisions in any case to the extent to which the application of those provisions would be likely to prejudice those negotiations.

#### *Examination marks*

- 8 (1) Section 7 shall have effect subject to the provisions of sub-paragraphs (2) to (4) in the case of personal data consisting of marks or other information processed by a data controller—
- (a) for the purpose of determining the results of an academic, professional or other examination or of enabling the results of any such examination to be determined, or
  - (b) in consequence of the determination of any such results.
- (2) Where the relevant day falls before the day on which the results of the examination are announced, the period mentioned in section 7(8) shall be extended until—
- (a) the end of five months beginning with the relevant day, or
  - (b) the end of forty days beginning with the date of the announcement, whichever is the earlier.
- (3) Where by virtue of sub-paragraph (2) a period longer than the prescribed period elapses after the relevant day before the request is complied with, the information to be supplied pursuant to the request shall be supplied both by reference to the data in question at the time when the request is received and (if different) by reference to the data as from time to time held in the period beginning when the request is received and ending when it is complied with.
- (4) For the purposes of this paragraph the results of an examination shall be treated as announced when they are first published or (if not published) when they are first made available or communicated to the candidate in question.
- (5) In this paragraph—
- “examination” includes any process for determining the knowledge, intelligence, skill or ability of a candidate by reference to his performance in any test, work or other activity;
  - “the prescribed period” means forty days or such other period as is for the time being prescribed under section 7 in relation to the personal data in question;
  - “relevant day” has the same meaning as in section 7.

#### *Examination scripts etc.*

- 9 (1) Personal data consisting of information recorded by candidates during an academic, professional or other examination are exempt from section 7.
- (2) In this paragraph “examination” has the same meaning as in paragraph 8.

#### *Legal professional privilege*

- 10 Personal data are exempt from the subject information provisions if the data consist of information in respect of which a claim to legal professional privilege or, in

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Scotland, to confidentiality as between client and professional legal adviser, could be maintained in legal proceedings.

*Self-incrimination*

- 11 (1) A person need not comply with any request or order under section 7 to the extent that compliance would, by revealing evidence of the commission of any offence other than an offence under this Act, expose him to proceedings for that offence.
- (2) Information disclosed by any person in compliance with any request or order under section 7 shall not be admissible against him in proceedings for an offence under this Act.