

Prudential Job Openings dated 9-9-16

LAW

VP, Deputy Chief Legal Officer, Annuities and Individual Life Insurance - ANN00011

**Legal
Shelton, CT**

Prudential is seeking a dynamic and experienced attorney with management experience to work directly with the Chief Legal Officers of the Annuity and the Individual Life Insurance Law Departments. The Deputy Chief Legal Officer will manage lawyers who focus on supporting the annuities and individual life insurance businesses and will partner and engage with senior executives, key business leaders, regulators and other key stakeholders. In addition to other responsibilities, this individual will be the Chief Legal Officer of one of Prudentials broker-dealers. The position will be based in Shelton, Connecticut.

<http://jobs.prudential.com/job-description.php?jobReqNo=ANN00011>

VP, Corporate Counsel - MER00015

**Legal
Newark, NJ**

The Mergers & Acquisitions group of the Law Department (Newark, NJ) is seeking an attorney with substantial expertise in merger, acquisition and disposition-related matters. The attorney would join a small team that coordinates the delivery of all legal services in connection with strategic acquisitions, dispositions and other corporate development transactions. The attorney would work closely with Prudential's Corporate Development Team as well as with a broad array of business and functional units across Prudential. The candidate would also be expected to have a strong background in general corporate work.

<http://jobs.prudential.com/job-description.php?jobReqNo=MER00015>

VP, Corporate Counsel – PUB0000P

**Legal
Newark, NJ**

Prudential is looking for an experienced attorney to support Prudential Trust Company, a Pennsylvania trust company, and Prudential Fixed Income, the public fixed income asset management unit within PGIM, Inc. Job responsibilities will include: legal advice relating to the common and collective trusts of Prudential Trust Company; drafting and negotiating operations agreements (recordkeepers, TPAs and other service providers); forming and supporting private funds; corporate governance; providing advice regarding U.S. and state regulatory requirements applicable to collective trusts and investment advisers; reviewing and assisting in the preparation of institutional marketing materials and responses to requests-for-proposals; drafting and reviewing investment guidelines; negotiating investment management agreements; and providing advice with respect to operations and trading issues.

<http://jobs.prudential.com/job-description.php?jobReqNo=PUB0000P>

VP, Corporate Counsel – PUB0000Q
Legal
Newark, NJ

Job responsibilities will include: providing day-to-day legal advice and support for Prudential Fixed Incomes private funds; forming private funds; drafting and negotiating investor side letters, service provider agreements and non-disclosure agreements; providing advice regarding U.S. and certain non-U.S. regulatory requirements applicable to private funds and registered investment advisers; assisting with preparing regulatory filings; reviewing marketing materials and responses to requests-for-proposals; negotiating investment management agreements; and providing advice with respect to operations and trading issues. This attorney will join a team of nine attorneys supporting Prudential Fixed Income, including two attorneys who provide support to Prudential Fixed Incomes private funds. This attorney will report to the Head of Private Funds within the Prudential Fixed Income legal team and will regularly collaborate with various functions within Prudential Fixed Income, including operations, marketing, reporting, client onboarding, compliance and portfolio management.

<http://jobs.prudential.com/job-description.php?jobReqNo=PUB0000Q>

Director, Corporate Counsel - LIT0000E
Legal
Newark, NJ

The Prudential Law Department is seeking a litigation attorney to join its Enterprise Litigation Group (the "ELG"). The ELG is responsible for engaging outside counsel and overseeing all litigations impacting the Company. This position reports to an ELG Vice President, Corporate Counsel, and has significant interaction with business clients and outside counsel. The successful candidate should have: at least five years of law firm, in-house, and/or government experience handling or managing litigation. Experience at a financial services company is very positive. Having had experience presenting cases at trial or in arbitration is also positive, superior interpersonal, organizational, technological, written and verbal communication skills and the ability to work independently in completing assignments promptly and thoughtfully; excellent judgment and high ethical standards; strong project and time management skills; demonstrated ability as a leader in solving problems creatively and constructively, with strong analytical abilities; and the ability to balance multiple assignments simultaneously, and appropriately assess and prioritize work demands.

<http://jobs.prudential.com/job-description.php?jobReqNo=LIT0000E>

Senior Legal Analyst - RET000BD
Legal
Newark, NJ

The unit of the Law Department serving Prudential Retirement invites applications from qualified candidates to apply for a Senior Legal Analyst position supporting the attorneys on their team. The Retirement team is located in Newark, NJ, Woodbridge, NJ (Iselin-Metropark) and Hartford, Connecticut. This position will be located in Newark, NJ. The primary focus of the Senior Legal Analyst will be supporting the Investment & Pension Solutions Team in Retirement Law, with a secondary focus on

supporting the [Market and Total Solutions] Team businesses. The position will report to the IPS Team Leader. The position is full-time.

<http://jobs.prudential.com/job-description.php?jobReqNo=RET000BD>

COMPLIANCE

VP, Compliance (Deputy COO) – PRU000NG Compliance Newark, NJ

This role supports the CCO in all aspects of compliance strategic initiatives and all compliance matters to ensure that the firm is in compliance with all laws and regulations. An important part of the role will be to generate ideas to enhance the compliance program, eliminate duplications and inefficiencies and increase the effectiveness of the program to ensure that the highest risks are properly identified and mitigated. This position will be located in Newark, NJ.

<http://jobs.prudential.com/job-description.php?jobReqNo=PRU000NG>

Director, Compliance - ANN000JF Compliance Newark, NJ

This position will have responsibility for multiple activities within the Prudential Annuities Compliance team, including providing day-to-day compliance support and advice to various areas within the business unit including the wholesale broker-dealer. The role is responsible for identifying and integrating Compliance Program components into existing and developing business models. The ideal candidate for this position is experienced with regulatory compliance requirements, risk-based workflow analysis, has a strong project management background and is effective in change management. Experience with Financial Services and insurance is preferred, experienced with fixed products and/or alternative distribution a plus.

<http://jobs.prudential.com/job-description.php?jobReqNo=ANN000JF>

Director, Compliance - LIF000AV Compliance Newark, NJ

The Prudential Advisors Compliance department currently has an opportunity to fill a Compliance Director position supporting multiple business areas within Prudential Advisors. The successful candidate will have overall responsibility for the Broker Dealer Compliance team and will play a key leadership role in various initiatives including policy development, monitoring, compliance testing and other compliance control activities relating to the Prudential Advisors business. Role requires regular presence in Prudential Advisors primary home office locations (Newark NJ, Woodbridge, NJ) as well as trips to other Prudential locations (Dresher PA, etc.) as needed for key meetings with key business and Compliance partners.

<http://jobs.prudential.com/job-description.php?jobReqNo=LIF000AV>

Compliance Manager - FI 0002E
Compliance
Newark, NJ

The Compliance Manager will be part of the team responsible for ensuring that all portfolios managed by the Fixed Income unit are in compliance with applicable regulatory and contractual requirements. This position has visibility with senior management and direct interaction with portfolio management, Client Services and operations. Responsibilities are dynamic, but typically include: Reviewing client contracts which include portfolio investment guidelines and Regulatory documents both domestic and Internationally; supervise a team of approximately 2-3 compliance analysts; reporting to management as appropriate; review daily and monthly reports from analysts and train them on fixed income products and Regulatory rules and regulations; create necessary queries and reports to establish metrics for the compliance group; research front-end and T+1 compliance issues and communicate with Portfolio Managers and Traders to resolve any issues; work on ad-hoc projects as required, which may include working with Legal, Operations, Client Service and the Investment team.

<http://jobs.prudential.com/job-description.php?jobReqNo=FI 0002E>

Compliance Manager - GRO00093
Compliance
Dresher, PA/Roseland, NJ

The Group Insurance Compliance Department is seeking a candidate to provide operational and regulatory compliance support to the Group Insurance business. The Compliance Manager position combines the need for strong operational skills, interpersonal skills, business analytical capabilities, robust organizational skills and the ability to drive results in order to meet deliverables. This position reports to the Compliance Director, Group Insurance and will be based Dresher, PA or Roseland, NJ.

<http://jobs.prudential.com/job-description.php?jobReqNo=GRO00093>

Compliance Manager - Investment Compliance Group - INV000CK
Compliance
Newark, NJ

Asset Management Compliance currently has a Manager level position available, supporting PGIM in Newark, New Jersey. PGIM manages approximately \$947 billion in client assets, as of September 30, 2015, in multiple strategies. Asset Management Compliance is responsible for ensuring that all portfolios managed by PGIM are in compliance with applicable regulatory and contractual requirements, and for ensuring that the activities of PGIM associates are in accordance with Prudential's policies. Asset Management Compliance serves as a general resource for resolving legal and interpretive issues relating to the asset management function. The position reports to the Director of Compliance for PMCC to provide day-to-day compliance support to Prudential Mortgage Capital Company (PMCC), the private commercial mortgage investment unit of PGIM. Principal Job Responsibilities: this position provides direct, day-to-day compliance support to PMCC. This is a challenging position with high exposure and strong compliance and regulatory knowledge, attention to detail and solid project management skills are essential. In addition, the position will assist in monitoring business activities to ensure they are performed in compliance with Company policies, securities laws, and SEC, FINRA, and applicable foreign regulations.

<http://jobs.prudential.com/location/Newark-NJ/ComplianceManager/INV000CK>

Compliance Manager - COM0006C

Compliance

Newark, NJ

The successful candidate will: plan reviews under the direction of a CTU Director by assessing key risks pertinent to the business, conducting interviews, gathering records, developing detailed test plans and analyzing the information to identify control issues; execute reviews according to CTU protocols. This involves reviewing applicable policies and procedures, testing the adequacy of control systems, and identifying the root cause of any issues; escalate potential issues and exception items noted during reviews to supervisor, compliance, and business management. Provide effective challenge to proposed action plans to ensure appropriate to address identified risks; ensure all testing is well documented and findings are appropriately entered into Prudentials GRC tool; and collaborate with Prudential associates from various groups including business unit compliance, internal audit, risk management, business management (sales, operations, product, etc.).

<http://jobs.prudential.com/job-description.php?jobReqNo=COM0006C>

Compliance Manager - LIF000AS

Compliance

Newark, NJ

The Prudential Advisors Compliance department is responsible for policy development, monitoring, compliance controls and compliance testing of the Prudential Advisors business. The Manager will act as the insurance subject matter expert (SME) for the Prudential Advisors Compliance department and assist the Director of the Broker Dealer Operations Compliance team in providing compliance support for the Prudential Advisors business. Qualifications needed include: strong understanding of life insurance and annuity products and working knowledge of other types of insurance; working knowledge of the regulations directly impacting life insurance, annuity and property & casualty insurance sales activities. Including state insurance laws, NAIC Model Regulations and FINRA rules. Or demonstrated ability to learn and advise or test compliance with regulations; relevant compliance, business, operations, risk management, audit or other transferable experience; strong leadership and relationship management skills, including the ability to interact and influence multiple levels of business and Compliance management Self motivated professional who will take proprietary ownership of their work, think strategically, work independently and as part of a team; proven analytical ability as well as willingness to research issues and regulations, monitor controls and conduct forensic reviews and testing; working knowledge of securities (FINRA and SEC) and state insurance regulations a plus; Life and Health Licenses or ability to obtain within 6 months of hire; and willingness to take securities registrations a plus.

<http://jobs.prudential.com/job-description.php?jobReqNo=LIF000AS>

Compliance Manager - LIF000AT

Compliance

Newark, NJ

The Prudential Advisors Compliance department is responsible for policy development, monitoring, compliance controls and compliance testing of the Prudential Advisors business. The Manager will act as the qualified plan and IRA subject matter expert (SME) for the Prudential Advisors Compliance department and assist the Director of the Broker Dealer Operations Compliance team providing compliance

support for the Prudential Advisors business. Strong understanding of qualified plan (401k, 403(b), etc.) and IRA marketplace. Qualifications needed include: working knowledge of the DOL and IRS regulations directly impacting qualified plans and IRAs or demonstrated ability to learn and advise or test compliance with regulations; relevant compliance, business, operations, risk management, audit or other transferable experience; strong leadership and relationship management skills, including the ability to interact and influence multiple levels of business and Compliance management Self motivated professional who will take proprietary ownership of their work, think strategically, work independently and as part of a team; proven analytical ability as well as willingness to research issues and regulations, monitor controls and conduct forensic reviews and testing. Working knowledge of securities (FINRA and SEC) and state insurance regulations a plus; and willingness to take additional registrations and licenses as necessary.

<http://jobs.prudential.com/job-description.php?jobReqNo=LIF000AT>

Compliance Manager - PRU000N2
Compliance
Newark, NJ

The successful candidate will be responsible for: The compliance program for PI's Strategic Investment Research Group ("SIRG"), which primarily provides research and recommendations to clients with respect to the identification, selection and monitoring of funds, investment strategies, and other investment advisers. With respect to the SIRG compliance program, the compliance manager will provide compliance oversight of, among other things the investment manager search and selection process; portfolio construction, exchange traded fund ("ETF") trading and operations activities; as well as portfolio compliance surveillance reports, trade error reporting and dispersion analysis.

<http://jobs.prudential.com/job-description.php?jobReqNo=PRU000N2>