

Prudential Job Openings dated 12-18-18

LAW

VP, Corporate Counsel – RET000FJ (Retirement Law)

Law

Hartford, CT

The Prudential Retirement Legal Team is part of the US Business Law Group of Prudential's Law Department. We are seeking a highly talented, business savvy and experienced lawyer to join the legal team that supports the Retirement Business, including products offered through both the Full Service Solutions and Investment & Pension Solutions groups. This position can be located in Hartford, Connecticut or Woodbridge, New Jersey. Prudential's Retirement Business provides investment products and services to defined contribution, defined benefit, and non-qualified plans through two principal areas: the Full Service Solutions group which manufactures market value investment products and provides recordkeeping services for Defined Contribution and Defined Benefit Plans; and Investment & Pension Solutions group which provides US pension and international longevity risk transfer solutions to domestic and global Defined Benefit plans, and manufactures stable value and other innovative products for Defined Contribution and other plans and institutions.

<http://jobs.prudential.com/job-description.php?jobReqNo=RET000FJ>

VP, Corporate Counsel – DIS000B2 (Distribution Law)

Legal

Newark, NJ

Prudential is looking for a dynamic attorney to fill a high-profile position in located in Newark, New Jersey. The VP Corporate Counsel will be responsible for handling a full range of legal matters including representation of Pruco Securities, LLC, a retail broker/dealer and investment adviser. The ideal candidate will provide counsel on these matters. The successful candidate will interact with members of senior management. Pruco offers insurance, advisory and other financial products to its customers and the ideal candidate will have experience working with these products. Additionally, the ideal candidate will have twelve to fifteen years of complex corporate, law firm and/or regulatory legal experience involving the laws related to the sale and distribution of securities, insurance, managed money and other advisory programs and services

<http://jobs.prudential.com/job-description.php?jobReqNo=DIS000B2>

VP, Corporate Counsel – DIS000B7 (Distribution Law)

Legal

Newark, NJ/Hartford, CT

Prudential is looking for an experienced attorney with retail broker-dealer, securities and insurance experience. This attorney will work on a wide range of matters including legal issues impacting investment management, retirement, group insurance, annuities and life insurance distribution and regulatory issues. This position reports to the Chief Legal Officer of Prudential Investment Management LLC, and Prudential Annuity Distributors, Inc., each a registered FINRA broker-dealer, and ILI Distribution. Among this attorney's responsibilities will be the provision of counsel to management across multiple businesses. The position will be based in Newark, NJ or Hartford, Ct.

<http://jobs.prudential.com/job-description.php?jobReqNo=DIS000B7>

VP, Corporate Counsel (Retirement) – RET000FC

Legal

Hartford, CT

The Prudential Retirement Legal Team is part of the US Business Law Group of Prudential's Law Department. We are seeking a highly talented, business savvy and experienced lawyer to join the legal team that supports the Retirement Business, including products offered through both the Full Service Solutions and Investment & Pension Solutions groups. This lawyer will also provide support to regulatory and legislative developments applicable to the Retirement Business. This position can be located in Hartford, Connecticut or Woodbridge, New Jersey. Prudential's Retirement Business provides investment products and services to defined contribution, defined benefit, and non-qualified plans through two principal areas: The Full Service Solutions group and Investment & Pension Solutions group. Approximately four lawyers provide dedicated support to these business groups, which are also supported by other members of the Retirement Law team. Team members are responsible for the delivery of focused, technically sound and pragmatic legal support in connection with Prudential's highly regulated DC and DB product business.

<http://jobs.prudential.com/job-description.php?jobReqNo=RET000FC>

VP, Corporate Counsel – LEA0001C (LEAP Legal)

Legal

Newark, NJ

We are seeking a talented, business-savvy and experienced lawyer to join a dedicated legal team supporting highly-visible cross-US business initiatives for Prudential, which are critically-important components of the U.S. Business strategy. The individual should have law firm or in-house legal experience advising financial services and/or FINTECH companies on omnichannel product/service development, distribution and execution; customer experience; digital capability development and deployment; electronic commerce; and/or consumer law issues. The individual will work closely with senior business leaders and initiative team members, and U.S. Business and Corporate Legal and Compliance teams to provide focused, technically-sound and pragmatic legal support in connection with these cross-business unit initiatives. As a member of this high-profile team, the individual will enjoy a unique platform for professional development and increased visibility with senior business and Law Department management.

<http://jobs.prudential.com/job-description.php?jobReqNo=LEA0001C>

COMPLIANCE

Vice President, Compliance – Group Insurance – RET000F7

Compliance

Roseland, NJ

This Compliance Officer position will have responsibility for oversight of multiple activities within the Prudential Workplace Solutions Compliance team, including providing strategic direction within the Group Insurance Compliance functions. In partnership with other senior leaders on the team, this position will serve as a key leader and provide day-to-day compliance support and advice to the team and senior business partners. The ideal candidate for this position is highly experienced with regulatory compliance requirements, risk-based workflow analysis, has a proven track record of successes in collaboration with senior business partners and developing high performing teams and can serve as a role model for change management. Reporting to the Chief Compliance Officer of the Workplace Solutions Group, the candidate will be part of a team responsible for providing regulatory oversight for financial wellness business initiatives and leading the execution of policies and procedures that are adequately designed to comply with applicable rules and regulations. Experience with the retail markets, Consumer Financial Protection Bureau requirements (CFPB) and related retail banking activities is a plus.

<http://jobs.prudential.com/job-description.php?jobReqNo=RET000F7>

Vice President, Compliance Deputy CCO Pru Advisors – PRU000UJ

Compliance

Newark, NJ

This position will report to the Prudential Advisors Chief Compliance Officer and will have responsibility for the oversight of the teams supporting the broker-dealer and investment advisory activities of the firm. As a member of the firms senior leadership team, the successful candidate will work closely with the CCO and senior management to set objectives and to execute on the successful completion of the compliance program's overall responsibilities. In addition, the successful candidate will represent Prudential Advisors with regulators including FINRA and the SEC. Further, the successful candidate will serve in a technical expert with the Prudential Advisors sales force. . The ideal candidate for this position is highly experienced with investment advisor, general securities, broker-dealer, and insurance products and services. In addition, the successful candidate will have a proven track record of successful collaboration with senior business partners. The successful candidate will demonstrate a thorough understanding of the compliance function. Other requirements for the position include responsibility to ensure that the business is conducted in conformity with all applicable laws, regulations and internal procedures. In addition, the successful candidate must stay abreast of new products, technologies and applications as well as their implications for assigned area. The successful candidate will demonstrate a strong understanding of FINRA and SEC regulatory matters. This position reports to the Chief Compliance Officer of Prudential Advisors.

<http://jobs.prudential.com/job-description.php?jobReqNo=PRU000UJ>

VP, Compliance Investments Advisors & Sales Force Oversight – PRU000UA

Compliance

Newark, NJ

This position will have responsibility for the oversight of teams supporting the Prudential Advisors' investment advisory compliance program, Prudential's pre-hire review team and its interface with regulators including FINRA and the SEC. The successful candidate will also serve as the senior compliance interface with Prudential Advisors' field force.

The successful candidate will provide day-to-day compliance support and advice to the team and senior business partners. The ideal candidate for this position is highly experienced with investment advisor, general securities, broker-dealer, and insurance products and services. In addition, the successful candidate will have a proven track record of successful collaboration with senior business partners. The successful candidate will demonstrate a thorough understanding of the compliance function. Other requirements for the position include responsibility to ensure that the business is conducted in conformity with all applicable laws, regulations and internal procedures. In addition, the successful candidate must stay abreast of new products, technologies and applications as well as their implications for assigned area. The successful candidate will demonstrate a strong understanding of FINRA and SEC regulatory matters. This position reports to the Chief Compliance Officer of Prudential Advisors.

<http://jobs.prudential.com/job-description.php?jobReqNo=PRU000UA>

Vice President, Compliance – COR000QD (Corp Compliance Executives)

Compliance

Newark, NJ

The newly-created role of Vice President, Global Compliance Testing will lead the development and execution of an evolving and dynamic global compliance testing program designed to meet the requirements of a changing business and regulatory landscapes. This senior position will partner closely with the Company's Control Functions to deliver an effective second line of defense-based, global compliance testing program that meets senior management and regulatory expectations.

The position reports to the Vice President, Center Led Compliance.

<http://jobs.prudential.com/job-description.php?jobReqNo=COR000QD>

VP Compliance Broker Dealer Oversight – PRU000UC (Pru Advisors & RIA Compliance)

Compliance

Newark, NJ

This position will have responsibility for oversight of multiple activities within the Prudential Advisors Compliance program including management of the Compliance teams supporting broker-dealer operations and control issues, the development of compliance manuals and written supervisory procedures and other firm communications. The successful candidate will also have responsibility to manage the compliance monitoring and surveillance team. The successful candidate will be a member of the senior team of PruAdvisors, serving as a key leader and providing day-to-day compliance support and advice to the team and senior business partners. The ideal candidate for this position is highly experienced with broker-dealer, securities, insurance and risk-based workflow analysis. In addition, the successful candidate will have a proven track record of successful collaboration with senior business partners. The successful candidate will demonstrate a thorough understanding of the compliance function. Other requirements for the position include responsibility to ensure that the business is conducted in conformity with all applicable laws, regulations and internal procedures. In addition, stay abreast of new products, technologies and applications as well as their implications for assigned area. The successful candidate will demonstrate a strong understanding of FINRA and SEC regulatory matters. This position reports to the Chief Compliance Officer of Prudential Advisors.

<http://jobs.prudential.com/job-description.php?jobReqNo=PRU000UC>

**VP, Ethics Case Management & Training – GLO000LW (Global Business Ethics & Integrity)
Compliance
Newark, NJ**

We are seeking a Vice President, Ethics Case Management and Training proactively to manage and direct the day-to-day work of the Case Management and Training team located in our headquarters in Newark, New Jersey. The successful candidate will have experience in running a case management program, developing training curriculums and delivering training, as well as be knowledgeable on leveraging the power of technology and data. Familiarity with employment laws, financial services regulation, and Sarbanes Oxley is important. The candidate may have experience in one or more of the following areas: HR, ER, employment law, litigation, ethics, or compliance. The incumbent must have the ability to build and maintain relationships across business lines and borders and maintain matrix relationships with Business Ethics Officers in each of Prudential's businesses and corporate functions.

<http://jobs.prudential.com/job-description.php?jobReqNo=GLO000LW>

Vice President, Regulatory Product Compliance (relocation considered **) – LCB0005H (Global Insurance
Compliance)
Compliance
Newark, NJ**

Prudential's Compliance organization is seeking a talented, business savvy and experienced Compliance Professional to join Prudential's Compliance Department supporting new cross business unit initiatives arising from Financial Wellness strategies. This position will support the development of new products and services in Individual Solutions Group ("ISG"), Workplace Solutions Group ("WSG") as well as the Customer Office. This individual will be responsible for developing and implementing the compliance program for cross-business unit initiatives to facilitate compliance with relevant laws and regulations. Key to success is the ability to partner with cross-business operating teams and assist in the identification and assessment of risks in proposed business ventures.

<http://jobs.prudential.com/job-description.php?jobReqNo=LCB0005H>

Compliance Director– PIM000C7 (PIMS Compliance)

Compliance

Newark, NJ

Prudential Investment Management Services LLC (“PIMS”) is seeking an experienced leader to serve as Compliance Director, reporting to PIMS’ Chief Compliance Officer. PIMS is an SEC-registered broker-dealer and FINRA member firm, within Prudential Financial, Inc. PIMS serves as underwriter, wholesaler, placement agent, and retailer of investment products manufactured and sold by multiple Prudential businesses, including those of PGIM (Prudential’s global investment management business), Prudential Retirement and Group Insurance. PIMS operates primarily in the institutional market distributing mutual funds, ETFs, group variable products, commercial paper, private funds, and certain Retirement products. The Director will support the PIMS CCO in overseeing and executing strategic initiatives, as well as day-to-day broker-dealer compliance matters across the Prudential enterprise. An important part of the role will be to develop and enhance the compliance program’s effectiveness in accordance with regulatory expectations and evolving best practices. The Director will work directly with both the PIMS CCO, PIMS president and operating committee.

<http://jobs.prudential.com/job-description.php?jobReqNo=PIM000C7>

Director, Product Compliance – COR000QE (Corp Compliance Executives)

Compliance

Newark, NJ

Prudential’s Compliance organization is seeking a talented, business savvy Compliance Professional to join Prudential’s Compliance Department supporting new cross business unit initiatives arising from Financial Wellness strategies. This position will support development in Individual Solutions Group (“ISG”), Workplace Solutions Group (“WSG”) as well as the Customer Office. This individual will support the development and implementation of the compliance program for cross-business unit initiatives to facilitate compliance with relevant laws and regulations. Key to success is the ability to partner with cross-business operating teams and assist in the identification and assessment of risks in proposed business ventures. This role requires a cross-functional view into Prudential’s business units. The candidate must possess a good understanding of the various business models used to manufacture, distribute and service financial products and experience in leveraging technology to optimize compliance related controls and activities. The right person will have broad knowledge of regulations and regulators regarding Insurance, Broker-Dealers, and Registered Investment Advisors.

<http://jobs.prudential.com/job-description.php?jobReqNo=COR000QE>

Compliance Manager – ANN000QS (Annuities & ILI Compliance)

**Compliance
Hartford, CT**

This position will support multiple activities within the Prudential Individual Solutions Group Compliance (ISG) team, including providing day-to-day compliance support and advice to various areas within the business units with focus on the wholesale broker-dealers. The role will support Compliance functions related to Sales, Distribution, Operations, Training, Records Management, and other needs as assigned. Principal Responsibilities include: support for Wholesale Broker-Dealer including tracking of training and licensing; preparation of reports and preparation of the Annual Compliance Meeting, and other duties supporting the Broker-Dealer Compliance team; support to the Sales Compliance functions, partner with Risk and Legal control partners to support the Distribution and Sales Organizations; monitor various controls through data analytics and reporting to ensure effectiveness and identify areas of improvement; develop and deliver compliance training to new internal and external sales associates; support the Firm Element development and implementation process; establish and maintain policies for Gifts and Entertainment tracking system; monitor various requirements for Broker-Dealer and general personnel assist with preparation of materials for Broker-Dealer Board of Directors meetings; and other duties, including potential Project Management assignments, as assigned. Position can be located in Shelton, CT, Hartford, CT, or Newark, NJ.

<http://jobs.prudential.com/job-description.php?jobReqNo=ANN000QS>

Compliance Manager – ANT0000S (Anti-Money Laundering)

**Compliance
Newark, NJ**

Prudential seeks a highly skilled and motivated professional for the role of Compliance Manager within the Anti-Money Laundering Unit for the company's U.S. businesses. This person will be responsible for performing Anti-Money Laundering and sanctions-related reviews including: suspicious activity investigations and monitoring, customer risk assessment, and enhanced customer due diligence. The individual will also be responsible for drafting suspicious activity reports and coordinating their review through to filing. In addition, this individual will be expected to perform Anti-Money Laundering or OFAC compliance projects as needed, including, for example, projects related to AML/Fraud/Cybercrime investigation, AML/OFAC systems, etc. This individual will report to a Director within the Anti-Money Laundering Unit. The qualified candidate must be able to exercise prudent judgment and discretion in the process of identifying and resolving problems/issues relating to Anti-Money Laundering or OFAC compliance and must be able to manage through work flow challenges that may arise in response to meeting business stakeholder needs. The candidate should possess experience in people management and be able to demonstrate a positive and professional demeanor when interacting with other business and compliance units throughout the enterprise.

<http://jobs.prudential.com/job-description.php?jobReqNo=ANT0000S>

Compliance Manager – INT000GK (Int'l Insurance Compliance)

Compliance

Newark, NJ

Prudential International Insurance (PII) Compliance has an opening in Newark, New Jersey, for a Compliance Manager to support its International Insurance operations. Prudential has life insurance operations in Argentina, Brazil, China, India, Indonesia, Italy, Japan, Malaysia, Mexico, South Korea and Taiwan. It also has retirement operations in Chile and Peru. These businesses develop, market and service life insurance, retirement and related products in the markets where they operate. This position will report to a Compliance Director in PII Compliance. The successful candidate will be responsible for supporting Newark-based and local compliance teams in the jurisdictions where PII operates. Responsibilities include the development, maintenance and execution of oversight protocols that help monitor compliance with U.S. and local regulatory requirements, as well as align with Prudential's Corporate Policies.

<http://jobs.prudential.com/job-description.php?jobReqNo=INT000GK>

Compliance Manager – PRU000UB (Pru Advisors & RIA Compliance)

Compliance

Newark, NJ

The Prudential Advisors Compliance department is responsible for policy development, Business Unit support, monitoring, compliance controls and compliance testing of the Prudential Advisors business. Job Description: The successful candidate will act as the subject matter expert for the Prudential Advisors Compliance department supporting the Home Office, as well as, assist the Director of the Registered Investment Adviser Compliance team in providing compliance support for the Prudential Advisors business. This position requires an individual who is highly motivated and organized, possesses operational experience (preferably in a licensing or registration unit), process driven, demonstrates analytical skills, and the ability to handle multiple tasks simultaneously under tight deadlines in a dynamic environment.

<http://jobs.prudential.com/job-description.php?jobReqNo=PRU000UB>

Surveillance Manager – PRU000TI (Pru Advisors & RIA Compliance)

Compliance

Newark, NJ

The Prudential Advisors (PA) Sales Practice Compliance team is looking for a Manager to assist in the development of their sales practice surveillance program. The manager will also play a key role as the team's general securities SME as Prudential Advisors expands investment products offered to its retail customer base. Success Behaviors include: capable of operating at a macro level analyzing trends and patterns, and a micro level researching transactions, communications, and documentation; self-motivated professional who will take proprietary ownership of their work, work independently and as part of a team, and can handle multiple tasks simultaneously under tight deadlines in a dynamic environment, and strong relationship management skills, including the ability to interact and influence multiple levels of business management .

<http://jobs.prudential.com/job-description.php?jobReqNo=PRU000TI>