

## **Prudential Job Openings dated 6-10-16**

### **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 - ASS0001B** **Legal** **Newark, NJ**

An exciting opportunity exists to join the regulatory legal team supporting PGIM. The position will be located in the Newark office of PGIM. The relevant individual will report to the Chief Regulatory Counsel for PGIM in Newark, NJ, and will work closely with an attorney team member located in London. Job Responsibilities include, but are not limited to providing primary legal support in relation to U.S. regulatory issues arising in connection with PGIMs businesses; providing primary legal support to PGIM with respect to its analysis of and response to emerging U.S. regulatory matters including new regulatory initiatives; and participation in industry trade associations; monitor, analyze and participate in commenting on regulatory initiatives of agencies such as the SEC, MSRB, FINRA, CFTC, NFA and DOL. Occasional travel, including international travel, may be required. A minimum of 6 years of experience in securities or regulatory law with a law firm or corporation is needed.

<http://jobs.prudential.com/job-description.php?jobReqNo=ASS0001B>

#### **VP, Corporate Counsel - PUB00000** **Legal** **Newark, NJ**

Prudential is looking for an experienced structured products attorney to support Prudential Fixed Income, the primary public fixed income asset management unit within PGIM, an SEC-registered investment adviser. Prudential Fixed Income is headquartered in Newark, New Jersey and has affiliated offices in London, Tokyo and Singapore. As of June 30, 2015, Prudential Fixed Income had global assets under management of approximately \$550 billion. Job responsibilities will include but are not limited to: serving as the primary attorney responsible for providing advice and support to Prudential Fixed Incomes

structured finance group, including the review and negotiation of complex structured bond and loan transactions. This attorney will join a team of seven attorneys supporting Prudential Fixed Income.

<http://jobs.prudential.com/job-description.php?jobReqNo=PUB0000O>

**VP, Corporate Counsel - PRE000CC**

**Legal**

**Madison, NJ**

This attorney will fill a newly created position located in the Madison and New York offices, reporting to the Chief Counsel for the Americas, as the principal internal counsel supporting the fund formation and investment management activities of the portfolio management teams based in its U.S. and Latin American offices. In this capacity, the attorney will: serve as lead internal counsel on the structuring, marketing and establishment of new funds and other new real estate investment products; serve as lead internal counsel on day-to-day fund management and governance; provide legal support on the structuring, negotiation and establishment of joint ventures that form part of the funds investment strategies; provide legal support in relation to the ongoing management and governance of the business unit in relation to the parent company. Given the cross border nature of the business, some international travel is likely to be involved.

<http://jobs.prudential.com/job-description.php?jobReqNo=PRE000CC>

**VP, Corporate Counsel - PMC0000E**

**Legal**

**Newark, NJ**

Prudential Mortgage Capital Company (PMCC) seeks an experienced attorney to support its commercial real estate finance businesses. While PMCCs primary business involves the origination and servicing of commercial and agricultural loans for its affiliated insurance companies, various Agencies (Fannie Mae, Freddie Mac, FHA), and for sale in the capital markets (CMBS), PMCC is increasingly involved in structuring, marketing and establishing investment funds and other investment management arrangements for third party institutional clients.

<http://jobs.prudential.com/location/Newark-NJ/VicePresidentCorporateCounsel/PMC0000E>

**VP, Corporate Counsel - ERISA - BEN00007**

**Legal**

**Newark, NJ**

We are seeking an attorney in the ERISA/Benefits Law Department with private funds, retail and institutional experience to provide legal advice to Prudentials retail and institutional businesses and benefit plans on a broad range of ERISA Title I and Internal Revenue Code (Code) issues. Some responsibilities for this position include: representing the Companys retail distribution, insurance, and annuity businesses by providing advice on ERISA and Code issues; representing the Companys benefit plan fiduciaries on plan investment issues including advising on ERISA issues in connection with alternative investments (e.g., hedge funds and private equity funds) and reviewing and negotiating investment documentation (e.g., adoption agreements, group annuity contracts, etc.); and representing the Companys institutional asset management businesses by providing advice on the application of prohibited transaction exemptions and

reviewing and negotiating ERISA provisions in investment management agreements, adoption agreements, leases, derivative agreements, note purchase agreements, etc.

<http://jobs.prudential.com/job-description.php?jobReqNo=BEN00007>

**VP, Corporate Counsel - CEN0003L**

**Legal**

**Newark, NJ**

We are seeking a highly talented, business savvy and experienced lawyer to serve as the lead attorney for a newly formed department --- the Center for Next Generation Growth. To succeed, you will need to be able to operate in a fast-paced start-up environment, while also possessing the ability to successfully navigate the complexities of a large organization. The Center will work closely with the US Businesses and with other functional support areas in a hub and spoke manner, depending on the nature of each opportunity. This work will augment and complement the initiatives and innovation taking place in the other US Businesses. The successful senior leader will work closely and collaboratively with US Business and Corporate legal teams. He or she will need to truly partner with the Center and be able to provide focused, technically sound and pragmatic legal support in connection with highly visible and strategically important work for the Center. The candidate can expect to practice in an environment that provides significant intellectual challenge and meaningful development opportunities. The candidate must have a JD degree and will need to obtain New Jersey and Connecticut In-House Counsel Licenses.

<http://jobs.prudential.com/job-description.php?jobReqNo=CEN0003L>

**VP, Corporate Counsel - Jennison - JEN00007**

**Legal**

**New York, NY**

The Jennison Law Department is looking for an experienced asset management attorney with management experience to join a small team of lawyer that supports Jennisons asset management business to specifically focus on new business initiatives and the creation of new investment products and vehicles. Representative projects and responsibilities include: provide legal and regulatory advice to Jennison with respect to the structuring, distribution and development of new products and registered and unregistered investment vehicles in the US and outside the US; provide legal and regulatory advice with respect to various other types of clients and investment vehicles managed by Jennison, including but not limited to UCITS, registered and unregistered insurance separate accounts, and US and non-US pension funds; provide legal and regulatory advice to Jennison in its role as a subadviser to mutual funds and review and draft disclosures relating to Jennison in mutual fund filings; review and provide legal and regulatory advice on new regulatory developments, including working with colleagues across the Prudential Law Department in working groups and participating in industry groups; review and negotiate vendor contracts; provide legal and regulatory advice to Compliance Department on compliance issues, regulatory developments and assist in development of procedures; review and provide legal and regulatory advice on marketing materials; and other projects as assigned.

<http://jobs.prudential.com/location/New%20York-NY/VPCorporateCounsel/JEN00007>

**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>

**Project Manager, Resolution & Recovery - FED0000D****Legal****Newark, NJ**

This position is a unique opportunity to learn about the company both domestically and internationally and to work directly with colleagues from a diverse set of disciplines and businesses, particularly finance professionals. As part of the cross-functional Resolution and Recovery Planning core team, the Project Manager will be part of the team that develops the Recovery and Resolution Plans. The planning involves understanding and explaining the company's material businesses and operations; as well as its interaffiliate and external financial and operational interconnections and dependences. Additionally, the Company must plan for recovery and resolution under state and foreign insurance laws as well as federal law and, as applicable, securities laws. Recovery and Resolution Planning involves not only mastering and presenting factual information under legal constructs, but also devising strategies and advocating the Company's position to regulators. As a member of the core team, the Resolution and Recovery Planning project manager will be responsible for a variety of day to day activities in support of the development and maintenance of the Company's Resolution and Recovery Plans.

<http://jobs.prudential.com/job-description.php?jobReqNo=FED0000D>

**COMPLIANCE****VP, Business Ethics - GLO000DK****Compliance****Newark, NJ**

A core value of Prudential is to be worthy of the trust of its customers, employees and shareholders and to further that value maintains an enterprise-wide Business Ethics & Integrity office. We are seeking a senior professional to direct the day-to-day work of this office located in our headquarters in Newark, New Jersey and will report to Prudential's Corporate Chief Ethics Officer, who works in both our Japan and New Jersey offices. The Enterprise Business Ethics Office seeks to positively influence the ethical behavior of our 50,000 employees in our various businesses in the United States and around the world. The Ethics Office is comprised of a corporate center with a staff of 9. This position supervises these professionals. In addition, the Business Ethics & Integrity office also maintains matrix relationships with business unit ethics officers who represent each of Prudential's businesses and corporate functions. The successful candidate will bring familiarity with current practices in the area of business ethics, as well as complementary related functions including Human Resources, Risk Management, Compliance and Law. This Vice President,

together with directly supervised corporate center ethics personnel and business unit ethics officers, will address multiple projects related to the ethics program.

<http://jobs.prudential.com/location/Newark-NJ/VPBusinessEthics/GLO000DK>

**VP, Compliance - PRU000M7**

**Compliance**

**Newark, NJ**

This position will be located in Newark, NJ. The person will support the CCO in designing and implementing a compliance program for registered investment advisers and registered investment companies that is effective in preventing, detecting and mitigating violations of applicable law or Prudential policies. The person will also support the CCO with the transfer agents compliance program. Candidates should have a deep understanding of the mutual fund business and operations. Candidates should also be well versed in mutual fund administration, transfer agent operations, and mutual fund governance. Candidates should also be skilled in assessing and drafting policies and procedures. He/she will be responsible for providing ongoing compliance support and advice for the day to day activities of PI as well as designing and implementing new strategies and initiatives. The role has responsibility for compliance monitoring, creating and implementing new policies and procedures, reporting, and forensic testing, and tracking and applying regulatory priorities and industry best practices.

<http://jobs.prudential.com/job-description.php?jobReqNo=PRU000M7>

**Compliance Director - CIO0008**

**Compliance**

**Newark, NJ**

Corporate Center Compliance and Program Governance (CCCPG) currently has an opportunity to fill a Compliance Director position supporting several corporate investment areas within Financial Management and Prudential. The candidate will also play a leadership role in various initiatives supporting and maintaining and enhancing the Compliance Departments Governance efforts. The position is located in Newark, NJ. Specifically, the successful candidate will support the Chief Investment Office (CIO), Impact Investments and Employee Benefits Investments. The successful candidate will work closely with the businesses regarding the regulatory and compliance requirements associated with their investment activities. The candidate must be able to work successfully with senior compliance and legal officers, to identify compliance issues, assess risks and recommend solutions regarding regulatory or compliance issues.

<http://jobs.prudential.com/job-description.php?jobReqNo=CIO00018>

**Compliance Director - Fixed Income - FI 0002A**

**Compliance**

**Newark, NJ**

PGIM, Inc. Compliance seeks a Compliance Director to support PGIM's Public Fixed Income unit in Newark, NJ. Prudential Fixed Income manages approximately \$575 billion in client assets, as of December 31, 2015 spread over 500+ distinct portfolios and ranks as one of the largest managers of publicly traded bond assets in the United States. Prudential Fixed Income is a division of PGIM, an SEC-registered

investment adviser to institutional and retail clients through its specialized asset management units. The position primarily involves co-leading the investment guideline monitoring team of 13 compliance associates. The team is a critical unit that monitors accounts by completing daily, trade date and post trade compliance monitoring using BlackRock's Aladdin compliance system. This position has significant visibility with senior management and direct interaction with portfolio management, Client Services and operations. Responsibilities are dynamic, but typically include: working with Client Services and the legal team to review contractual guidelines for both current and prospective clients; confirming that clients desired investment guidelines can be translated into systemic or manual controls; and developing strong understanding of BlackRock's various Aladdin applications, trade flow process and data environment; amongst other responsibilities.

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

**Compliance Director - Individual Life Insurance Sales - IND000B2**  
**Compliance**  
**Hartford, CT**

This position requires a strong leader to oversee the Compliance function responsible for supporting Prudentials Individual Life Insurance (ILI) Distribution and Sales organization. The incumbent will report directly to the Vice President of ILI Compliance. ILI Distribution is comprised of over 300 associates including over 100 External Wholesalers who promote Prudentials life insurance products through multiple sales channels. ILI Distribution is subject to numerous federal/ state securities and insurance rules and regulations. This position is responsible for overseeing the Compliance program for mitigating compliance and regulatory risks associated with Prudentials ILI Distribution organization. The position is based in Prudentials Hartford, CT office and is responsible for supervising a staff of two Compliance Managers based in Hartford, CT. The ILI Sales Compliance team is responsible for performing numerous Compliance control activities, monitoring and surveillance.

<http://jobs.prudential.com/job-description.php?jobReqNo=IND000B2>

**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 - FI 0002E**  
**Compliance**  
**Newark, NJ**

PGIM, Inc. Compliance seeks a Compliance Manager to support PGIM's Public Fixed Income unit in Newark, NJ. Prudential Fixed Income manages approximately \$620 billion in client assets, as of March 31, 2016 spread over 400+ distinct portfolios and ranks as one of the largest managers of publicly traded bond assets in the United States. Prudential Fixed Income is a division of PGIM, Inc., a SEC-registered investment adviser to institutional and retail clients through its specialized asset management units. 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.

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

**Compliance Manager - IND000B4**  
**Compliance**  
**Newark, NJ**

This position requires an individual who is highly motivated, organized detail oriented and is able to handle multiple projects simultaneously under tight deadlines in a dynamic environment to support Compliance and business Management in ensuring that ILIs Operations functions are compliant and doing business the right way. The principal responsibilities of the Manager, Compliance will be to provide proactive compliance support to Prudentials Individual Life Insurance Operations areas while partnering with associates from both the Law Department and Risk Management as part of a Control Team and provide ongoing Compliance support for all Individual Life Insurance Operations units which include the Third Party Administrator (TPA), Post Issue and Call Center.

<http://jobs.prudential.com/job-description.php?jobReqNo=IND000B4>