

## **Prudential Job Openings dated 10-13-15**

### **LAW**

#### **Deputy, Chief Legal Officer, Jennison Law - JEN00005 Legal, New York, NY**

The Jennison Law Department is looking for an experienced asset management attorney with management experience to work directly with Jennison's Chief Legal Officer and a small team of lawyers that support Jennison's asset management business. The Deputy Chief Legal Officer oversees lawyers who focus on trading and investment related support to Jennison's Equity and Fixed Income business.

<http://jobs.prudential.com/location/New%20York-NY/DeputyChiefLegalOfficerJennisonLaw/JEN00005>

#### **VP, Chief Counsel - Individual Life & Annuities - ANN000E2 Legal Newark, NJ**

Prudential Financial is looking for a dynamic attorney to fill a high profile opening supporting its Individual Life Insurance and Annuity businesses. This attorney will provide counsel and advice to various internal business units and senior management as well as to other members of the Law Department. The candidate will also have management and development responsibilities for attorneys and non-attorneys. The candidate should have a minimum of 15 years of corporate, law firm, in-house and/or regulatory legal experience involving reinsurance matters, corporate finance transactions, corporate governance matters, life insurance and/or annuity laws, and the regulatory environment (state and federal) affecting life insurance and/or annuity companies. This candidate should also have management and leadership experience. The position will be based in Newark, New Jersey, and occasional travel is expected. Prudential Financial is looking for a dynamic attorney to fill a high profile opening supporting its Individual Life Insurance and Annuity businesses. This attorney will provide counsel and advice to various internal business units and senior management as well as to other members of the Law Department. The candidate will also have management and development responsibilities for attorneys and non-attorneys. The candidate should have a minimum of 15 years of corporate, law firm, in-house and/or regulatory legal experience involving reinsurance matters, corporate finance transactions, corporate governance matters, life insurance and/or annuity laws, and the regulatory environment (state and federal) affecting life insurance and/or annuity companies. This candidate should also have management and leadership experience. The position will be based in Newark, New Jersey, and occasional travel is expected.

<http://jobs.prudential.com/location/Newark-NJ/VPChiefCounselIndividualLifeAnnuities/ANN000E2>

#### **VP, Chief Legal Officer, Individual Life Insurance - INS0003D Legal Newark, NJ**

Prudential is seeking a dynamic and experienced attorney to lead the Individual Life Insurance Law Department, and oversee and manage the legal affairs and strategy of the business. In this highly visible role, the Chief Legal Officer will be a member of the Individual Life Insurance senior leadership team, and will engage with senior executives, including the President of the business, key business leaders, regulators and other key stakeholders. The position will be based in Newark, New Jersey. Some primary duties and responsibilities will include: leads, directs and has full management accountability for a team of approximately 30 colleagues (lawyers, paralegals and administrative support), with an emphasis on talent management, succession planning, organizational alignment, and performance management in accordance with corporate strategic direction, leads and oversees legal strategy and regulatory matters for the Individual Life Insurance business and collaborates with senior leaders, other areas of the Prudential law department, and outside counsel to deliver proactive, strategic and timely legal solutions and support.

<http://jobs.prudential.com/location/Newark-NJ/VicePresidentChiefLegalOfficerIndividual/INS0003D>

**VP, Corporate Counsel - ANN00DD**  
**Legal**  
**Shelton, CT**

Prudential is looking for a dynamic attorney to fill a high profile opening located in either Shelton, CT or Newark, NJ (with regular travel to Shelton, CT). This attorney will be responsible for handling a full range of legal matters that arise in connection with the distribution of individual life and annuity products issued by Prudential. This attorney will support businesses that are leaders in the industry for individual life and variable annuity sales in various channels: independent broker/dealer, wirehouse, banks and agencies. Among this attorneys responsibilities will be the provision of counsel to and representation of Prudentials Individual Life Insurance business unit and an affiliated broker-dealer that serves as principal underwriter for Prudentials variable annuities and mutual funds offered through variable products. The attorney will provide counsel and advice to various internal business units and management, as well as to other members of the Law Department.

<http://jobs.prudential.com/location/Shelton-CT/VicePresidentCorporateCounsel/ANN00DD>

**VP, Corporate Counsel - RET0007W**  
**Retirement Law**  
**Iselin, NJ**

Retirement Law is seeking an additional member for the Pension Risk Transfer team who can provide focused, technically sound and pragmatic legal advice in connection with funded and longevity only risk transfer transactions. Generally, the skills required include supporting, from inception to post-closing, complex transactions in a way that works for Prudential from both an operational and regulatory perspective. Experience with mergers and acquisitions, reinsurance transactions, and/or corporate finance, as well as with insurance regulation, would be valuable. The candidate must have an appetite for learning new legal disciplines, and the legal and business talent to deploy new knowledge areas to evolving and innovative transactions with accuracy and efficiency. Quickly gaining working knowledge of ERISA and of insurance regulatory requirements is critical to job success. Equally critical is an ability to constructively engage with plan customers in order to shape a solution that works for them and for Prudential, and to be able to capture the solution in writing.

<http://jobs.prudential.com/location/Iselin-NJ/VicePresidentCorporateCounsel/RET0007W>

**VP, Corporate Counsel - GRO00082**  
**Legal**  
**Roseland, NJ**

The Group Insurance Law Department is seeking a dynamic attorney to join a highly collaborative and collegial team of lawyers and paralegals that provides legal support to the Group Insurance business unit of Prudential. Primary responsibilities of this position include advising on development of group products (including Life, Variable Life, AD&D, Disability and Critical Illness), agent and broker licensing, claims administration, marketing materials, product administration/operational matters and regulatory inquiries.

<http://jobs.prudential.com/location/Roseland-NJ/VPCorporateCounsel/GRO00082>

**VP, Corporate Counsel - DAT0001T**  
**Legal**  
**Newark, NJ**

This position is a unique opportunity that combines a start-up culture with the strength of a 140 year old financial services company. You will be providing counsel and advice to various internal business units, management, and other members of the Law Department on new cross-business, digital and data initiatives aimed at transforming our customer experience and expanding the ways we do business. This includes working very closely with the Prudential Privacy Law Team as well as other legal subject matter experts as part of a legal working group to provide understandable and actionable advice that enables informed decision-making and drives business outcomes and opportunities. In this role, 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. You need to be comfortable working in a wide variety of legal disciplines, including insurance, securities, privacy, intellectual property, and corporate law. And you need to have a curiosity and desire to learn about legal areas that you are not familiar with and to understand the mission, goals, and objectives of our various businesses.

<http://jobs.prudential.com/location/Newark-NJ/VicePresidentCorporateCounsel/DAT0001T>

**VP, Corporate Counsel - PRE000CC**  
**Legal**  
**Newark, 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, and provide legal support in relation to the ongoing management and governance of the business unit in relation to the parent company.

<http://jobs.prudential.com/location/Madison-NJ/VicePresidentCorporateCounsel/PRE000CC>

**VP, Corporate Counsel - QUA0003Y**

**Legal  
Newark, NJ**

Quantitative Management Associates LLC (QMA) is looking for an experienced attorney to support its public equity investment management business. Job responsibilities will include: negotiating and drafting investment management agreements; drafting and reviewing investment guidelines; reviewing and assisting in the preparation of institutional marketing materials and responses to requests-for-proposals; assisting in the preparation of fund documentation; and providing advice with respect to various regulatory and operational issues. This attorney will join a team of three attorneys supporting QMA. Qualifications include at least 7 years of experience with a law firm and/or an investment management organization and significant legal experience in the areas of asset management and securities transactions.

<http://jobs.prudential.com/location/Newark-NJ/VicePresidentCorporateCounsel/QUA0003Y>

**VP, Corporate Counsel - RET0009W  
Legal  
Newark, NJ**

Retirement Law is seeking an additional attorney to become a member of the Pension Risk Transfer team who can provide focused, technically sound and pragmatic legal support in connection with Prudentials high-visibility funded and longevity-only risk transfer transactions. Generally, the skills required include supporting, from inception to post-closing, complex transactions in a way that works for Prudential from both an operational and regulatory perspective. Experience with mergers and acquisitions, reinsurance transactions, and/or corporate finance, as well as with insurance regulation, would be valuable. The candidate must have an appetite for learning new legal disciplines, and the legal and business talent to deploy new knowledge areas to evolving and innovative transactions with accuracy and efficiency. Quickly gaining working knowledge of ERISA and of insurance regulatory requirements is critical to job success. Equally critical is an ability to constructively engage with plan customers in order to shape a solution that works for them and for Prudential, and to be able to capture the solution in writing. Given the size, velocity, importance, complexity and transactional nature of pension risk transfers, team members need to be able to work under tight deadlines and be available at times for intense work efforts during business hours, evenings, weekends and other non-business days. Team members can also expect to quickly develop strong working relationships with key PRT business leaders, and to regularly interact with some of the top US law firms. When not engaging in transactional work, team members support PRT with developing innovative new products, and with respect to enterprise-wide corporate initiatives.

<http://jobs.prudential.com/location/Newark-NJ/VicePresidentCorporateCounsel/RET0009W>

**VP, Corporate Counsel - US 0000R  
Legal  
Newark, NJ**

Prudential seeks an attorney to fill a vacancy in the US Businesses Regulatory Law Section of the Law Department ("USBRL"). USBRL functions somewhat like a law firm for Prudentials US Businesses and their lawyers and compliance officers, addressing a variety of legal and regulatory issues affecting multiple businesses (Individual Insurance, Group Insurance, Asset Management, Retirement and Annuities). Laws we advise on include the Dodd-Frank Act; federal and state securities, broker-dealer and investment management laws; federal commodities and derivatives laws; insurance laws; and political law matters campaign finance, pay-to-play, lobbying, government ethics, and political action committee matters. We also participate 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; and provide impact analysis and coordinate working groups to address new regulatory developments. In addition USBRL provides support to Corporate Compliance on a range of matters, such as US and foreign regulatory filings. Our attorneys also act as counsel to Prudential Investment Management Services LLC, the SEC-registered and FINRA-member broker-dealer through which the Prudential Retirement and Asset Management businesses conduct broker-dealer activities. Collaboration with colleagues in the Law Department, External Affairs and the Compliance Department is a hallmark of our practice.

This position involves primary responsibility for supporting Prudential Investments (Prudentials mutual fund arm) with respect to agreements for the distribution of its family of mutual funds, including preparation of dealer agreements with broker-dealers and service agreements for the sale of funds through third-party retirement distribution channels. This position also offers an opportunity to obtain broad experience working with three senior attorneys.

<http://jobs.prudential.com/location/Newark-NJ/VicePresidentCorporateCounsel/US%200000R>

**Director, High Tech Investigations Unit - INV000BF**  
**Legal**  
**Newark, NJ**

We are a Fortune 100 financial services leader with a dynamic and diverse workforce and a strong emphasis on talent management. Our High Tech Investigations Unit, part of the larger Corporate Investigations Division, is seeking an experienced individual for the position of Director, High Tech Investigations Unit. In this capacity, the Director is responsible for conducting end-to-end investigations into incidents of, but not limited to, reported data loss, intellectual property theft, malicious network activity, misuse of company resources, conflicts of interest, violations of the Digital Millennium Copyright Act (DMCA), and violations of Prudentials internal policies and procedures. This position requires the ability to conduct forensic examinations of Microsoft/Apple/Blackberry host and mobile devices, conduct subject interviews, and write clear and concise findings reports for management and stakeholders. The position will also require the ability to provide forensic audio services, including audio enhancement. The Director will have the opportunity to identify new tools and methods for proactively identifying misconduct involving computer technology, as well as review and update the groups Standard Operations Procedures. When needed, the Director will be required to assist in the collection of electronically stored information (ESI) in support of the firms eDiscovery practices.

<http://jobs.prudential.com/location/Newark-NJ/DirectorHighTechInvestigationsUnit/INV000BF>

**Director, Corporate Counsel - INT000AQ**  
**Legal**  
**Newark, NJ**

Prudential's International Investments law team is seeking an attorney to support Prudential's investment management business that offers investment products and services to retail and institutional clients in Asia, Europe and Latin America. The attorney will also advise the global institutional relations group and multi-asset class solutions team, both of which focus on Prudential's largest global investment clients. The attorney will report to the Chief Legal Officer, International Investments.

<http://jobs.prudential.com/location/Newark-NJ/DirectorCorporateCounsel/INT000AQ>

**Director, Government Affairs Policy Department - GOV00004**  
**Legal**  
**Washington DC**

This position will be part of the External Affairs Policy Development team, which is responsible for identifying and analyzing public policy, legislative and regulatory measures as well as developing and implementing policy recommendations and strategies that support the Companys interests. As an integral member of the team, the candidate will be responsible for a range of issues related to public policy as well as establishing strategic relationships with public policymakers, industry and trade associations and other external thought leaders. Candidate will be responsible for representing the Companys interests in matters of policy and planning, as well as coordinating and executing assigned projects in support of the team. The Policy Development team is headquartered in Newark, NJ and is part of the broader External Affairs department which includes federal, state and international government and regulatory relations. This position is located in the Washington, DC office of External Affairs and reports to, Vice President and Head of Policy Development.

<http://jobs.prudential.com/location/Washington-DC/DirectorGovernmentAffairsPolicyDepartmen/GOV00004>

**COMPLIANCE**

**VP, Compliance - INV000C9**  
**Compliance**  
**Newark, NJ**

PIM Central Compliance has a Vice President level position available. The Vice President will play a key management role within PIM Compliance and will work closely with the Asset Management businesses and compliance teams (including Prudential Fixed Income, Prudential Capital Group, Prudential Mortgage Capital Company, Prudential Real Estate Investors, Quantitative Management Associates, and, at times, Jennison Associates and Prudential Investments) regarding the regulatory and compliance requirements associated with a registered investment advisor who must also comply with various investment adviser, investment company, broker-dealer and insurance regulations. In addition to a role as a member of the PIM Central Compliance management team, the candidate may participate in or lead projects that strengthen and maintain compliance activities more broadly across the Prudential Compliance organization.

<http://jobs.prudential.com/location/Newark-NJ/VPCompliance/INV000C9>

**VP, Compliance and Ethics Data Strategist/Analytics - COR000K3**  
**Compliance**  
**Newark, NJ**

**Job Scope:** Responsible for facilitating the development of a Data Analytics vision and leading the strategic planning and execution around the use of data for Compliance and Ethics programs within Prudentials domestic and international businesses and across the Prudential enterprise.

**Job Summary:** Working with Compliance and Ethics senior management and compliance officers, this role identifies the capabilities and opportunities to use data for predictive behavior, surveillance, metric reporting and testing and develops roadmaps and implementation plans for

using data to inform vertical (targeted risk focus, BU focus, process focus) and horizontal (across the enterprise) views of compliance and ethics risks. Information from data is expected to derive insights that inform decisions and action planning around current, emerging and potential compliance and ethics risks.

<http://jobs.prudential.com/location/Newark-NJ/VPCComplianceandEthicsDataStrategistAnaly/COR000K3>

**Director, Compliance - ANT0000N**  
**Anti-Money Laundering**  
**Newark, NJ**

Prudentials Enterprise Anti-Money Laundering and Sanctions team acts as an oversight and governance umbrella for Prudential Financial. The team is responsible for overseeing the implementation of the following: The Enterprise AML and Sanctions Risk Assessment, collection and analysis of ongoing AML and Sanctions metrics for the purpose of trending and reporting to internal stakeholders, assistance to AML Officers appointed within Prudential for strategy and planning purposes, provision of updates and advice to senior internal stakeholders, creation and distribution of global minimum standards for AML and Sanctions programs, and facilitation of an Enterprise-wide AML and Sanctions community.

The ideal candidate will be primarily accountable for key elements of the AML and Sanctions Risk assessment, gathering and analyzing global metrics, and assisting the Enterprise AML Officer where needed. At this time, this person will not be a manager of people, but will need to collaborate with business partners in order to successfully discharge his or her duties.

<http://jobs.prudential.com/location/Newark-NJ/DirectorCompliance/ANT0000N>

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

The position primarily involves leading the investment guideline monitoring team of 13 compliance associates. The team is a critical unit that monitors accounts by completing daily, pre 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; Developing strong understanding of BlackRock's various Aladdin applications, trade flow process and data environment; Overseeing over the translation and coding of compliance rules into the system; Recommending rule and system enhancements; Recommending operational efficiencies; Supporting internal and external audits; Coordinating fixed income guideline activities with staff in international locations; Supervising client certifications and ad hoc reporting obligations; and Overseeing trade error analysis, resolution, documentation, and internal reporting.

<http://jobs.prudential.com/location/Newark-NJ/ComplianceDirector/FI%2000022>

**Compliance Manager - INV000C8**  
**Compliance**  
**Newark, NJ**

This position reports to the Vice President of Asset Management Central Compliance, and provides direct, day-to-day compliance support for Central initiatives. Responsibilities can include both broad compliance issues (e.g., Oversight for the department's Business Continuation plan, Records, Privacy, internal management reports, code of ethics, personal securities trading research and coordination, development/project lead for compliance training, evaluation of new regulations, compliance policies and procedures, research on major issues, and more narrowly defined issues such as AML and OFAC oversight, coordination and monitoring for PIM areas). The position will have responsibility for supervising two compliance associates; ensuring backup coverage and oversight for their functions. A portion of this position's workflow will consist of ad hoc research and project management functions, in addition to ongoing managerial functions. This is a challenging position with high exposure, attention to detail and superior project management skills required.

<http://jobs.prudential.com/location/Newark-NJ/ComplianceManager/INV000C8>

**Compliance Manager - SEC00033**  
**Compliance**  
**Newark, NJ**

The position reports to the Director, Securities Monitoring Unit, and will support the employee trade monitoring function within the Compliance Department. The individual will deal with highly sensitive information for employees throughout the Company, including the most Senior Officers and the Board of Directors, and will be expected to handle issues professionally and use appropriate discretion and judgement.

<http://jobs.prudential.com/location/Newark-NJ/ComplianceManager/SEC00033>

**Compliance Manager - Adviser Due Diligence - PRU000KV**  
**Compliance**  
**Newark, NJ**

Prudential Investments (PI) Compliance has two open compliance positions that focus on compliance oversight of investment advisers and sub-advisers (collectively advisers) to products within Prudential's domestic business. The candidate will provide critical support to the Director, Compliance: Regulatory Due Diligence, by conducting on-site and telephonic adviser reviews. He or she will evaluate the effectiveness of an adviser's compliance program. Significant travel is required in this position. Responsibilities include: Performing regulatory due diligence reviews of new and existing investment advisers for Prudential sponsored mutual funds and other products to ensure advisers are meeting regulatory and best practice requirements.

<http://jobs.prudential.com/location/Newark-NJ/ComplianceManagerAdviserDueDiligence/PRU000KV>

**Compliance Manager, Portfolio Surveillance – PRU000L1**  
**Compliance**  
**Newark, NJ**

Prudential Investments Compliance, Portfolio Monitoring and Board Reporting, is responsible for monitoring all portfolios within the Prudential Investments/Advanced Series Trust (PI/AST) mutual fund complex for compliance with approved policies, prospectus and statement of additional information guidelines and restrictions, as well as, applicable Federal and Securities and Exchange Commission (SEC) regulations. The mutual fund complex operates on a

manager of managers platform and as such delegates day to day management of each portfolio to affiliated and non-affiliated sub advisers. This position will play a key role within the department and is expected to engage in activities including, but not limited to, communication, advice, oversight, and monitoring of appropriate implementation of corrective actions. The scope and responsibilities of this role will not be static. As the business needs and compliance objectives change, the responsibilities of the position are expected to evolve in order to meet the changing landscape of departmental deliverables.

<http://jobs.prudential.com/location/Newark-NJ/ComplianceManagerPortfolioSurveillance/PRU000L1>

**Manager, Field Support & Examinations Compliance - FIE0000I**  
**Compliance**  
**Newark, NJ**

This position reports directly to the Director of the Prudential Advisors Field Support & Examination team. The individual will assist the director in providing compliance support for the Prudential Advisors business, as well as supporting various compliance control and testing activities. Principal Responsibilities include: acting as the life insurance subject matter expert (SME) for the Prudential Advisors Compliance department. This includes providing advice to business management as they relate to marketing concepts, suitability, and compensation; Drafting compliance policies and assisting the business to develop Standard Operating Procedures (SOPs) and Written Supervisory Procedures (WSPs) to comply with business and corporate policies; development, maintenance and execution of SOPs for the teams compliance control activities (monitoring and testing), and assisting in the completion of compliance risk assessments.

<http://jobs.prudential.com/location/Newark-NJ/ManagerFieldSupportExaminationsCompliance/FIE0000I>

**Senior Instructional Technologist - GLO000BU**  
**General Compliance**  
**Newark, NJ**

DUTIES: Define instructional, learning, or performance objectives. Develop instructional materials and products and assist in the technology-based redesign of courses. Design learning products, including web-based aids or electronic performance support systems. Maintain existing online courses including developing and implementing content and programming changes. Convert existing PowerPoint training content into web ready, interactive training modules or tutorials (Asynchronous or synchronous delivery formats). Develop reporting processes and facilities to ensure notification and tracking needs are met for all compliance training. Provide technical support for learners accessing our online courses, as needed. Design and develop reusable instructional and question templates and department standards and procedures. Maintain content on Compliance Training website. Assess effectiveness and efficiency of instruction according to ease of instructional technology use and student learning, knowledge transfer, and satisfaction. Present and make recommendations regarding course design, technology, and instruction delivery options. Provide analytical support for the design and development of training curricula, learning strategies, educational policies, or courseware standards. Conduct needs assessments and strategic learning assessments to develop the basis for curriculum development or to update curricula. Drive the authoring of web-based courseware from storyboards including graphic support and development.

<http://jobs.prudential.com/location/Newark-NJ/SeniorInstructionalTechnologist/GLO000BU>