

## **Prudential Job Openings dated 11-13-18**

### **LAW**

#### **Vice President and Chief Legal Officer – PGIM – PGI00063**

**Law**

**Newark, NJ**

Reporting to the Vice President and Chief Legal Officer of U.S. Businesses, the Chief Legal Officer of PGIM leads a high performing team of more 120 associates (including more than 80 attorneys) located in offices around the world, including locations in the United States, Mexico, United Kingdom, Germany, Luxemburg, Japan and Singapore. Working closely with PGIM's senior management, s/he will be a key member of the PGIM's leadership team. As such, we are looking for both a dynamic people leader, an experienced business partner and a lawyer with strong familiarity with the asset management business. Furthermore, this role has significant growth potential. We are hiring not just for this immediate position, but focusing on potential future leaders for the Prudential Law Department.

The Chief Legal Officer of PGIM is also a leader within Prudential's Law, Compliance, Business Ethics and External Affairs (LCBE) organization. S/he will actively participate in a wide range of Law and LCBE leadership meetings and will have the opportunity to provide meaningful input on the development and implementation of broader Law department strategy and priorities.

<http://jobs.prudential.com/job-description.php?jobReqNo=PGI00063>

#### **Vice President, 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 – US 0002W (LEAP Legal)**

**Legal**

**Newark, NJ**

We are seeking a talented, business savvy and experienced lawyer to join Prudential's Law Department. This position will provide counsel and advice to Prudential's U.S. businesses in the development of new business opportunities and engagement models which will include student loan assistance ("SLA"), savings, lending, debt services, and credit counseling solutions. You will work closely and collaboratively with U.S. Business and Corporate legal teams, and will need to partner with them to provide focused, technically sound and pragmatic legal support in connection with highly visible and strategically important work for Prudential. You need to have significant law firm or in-house legal experience with the rules and regulations governing SLA, debt services, credit counseling, savings, and lending and a strong understanding of the related regulatory landscapes, including the Consumer Financial Protection Bureau. Additionally, you need to have a curiosity and desire to learn about technologies or legal areas that you aren't familiar with and to understand the mission, goals, and objectives of Prudential's various businesses.

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

**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>

**Director, Corporate Counsel – Retirement – RET000EQ**

**Legal**

**Hartford, CT/Woodbridge, NJ**

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 the Full Service Solutions/Recordkeeping group. This position may 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, Defined Benefit and Non-Qualified 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. Approximately five legal professionals provide dedicated support to the Recordkeeping group, which is 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 dynamic and highly visible recordkeeping business.

<http://jobs.prudential.com/job-description.php?jobReqNo=RET000EQ>

**Director, Corporate Counsel – RET000FL (LEAP Legal)**

**Law**

**Newark, NJ**

We are seeking a talented, business-savvy and experienced lawyer to join a dedicated legal team supporting highly-visible and strategically-important cross-US business initiatives for Prudential. You will work closely with business team members, project Compliance 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. Key responsibilities include, but will not be limited to: Providing legal support in connection with the development of innovative products, services and solutions identified by and through the various cross-business unit initiatives, researching the legal standards and regulatory frameworks applicable to such products, services and solutions, providing ongoing legal support and advice for day-to-day activities of the project initiatives and business activities, and providing legal support in connection with obtaining the requisite consents to enable the necessary permissions to accomplish the strategic objectives of the cross-business unit initiatives.

<http://jobs.prudential.com/job-description.php?jobReqNo=RET000FL>

**Manager, High Tech Investigations – HIG0000L (High Tech Investigations)**

**Legal**

**Newark, NJ**

We are a Fortune 50 financial services leader with a dynamic and diverse workforce and a strong emphasis on talent management. Our High Tech Investigations Unit is a global unit responsible for cyber investigations in the U.S., Asia, Europe and South America. This is an exciting time to join a growing team. The High Tech Investigations Unit is seeking an experienced individual for the position of Manager, High Tech Investigations Unit. The Manager will report to a Director of the High Tech Investigations Unit, who reports to the Global Head of High Tech Investigations, and is part of the law department. In this capacity, the Manager is primarily responsible for the analysis, escalations, and triage of User Behavior Analytics alerts with ancillary investigative and forensic responsibilities where needed.

<http://jobs.prudential.com/job-description.php?jobReqNo=HIG0000L>

## **COMPLIANCE**

**Vice President & Chief Compliance Officer International – INT000FX (Int'l Insurance Compliance)**

**Compliance**

**Newark, NJ**

We are seeking a Vice President & Chief Compliance Officer for Prudential's International Insurance Division (PII). This position reports directly to Prudential's Chief Ethics and Compliance Officer and oversees the PII Compliance organization, which includes the Compliance Officers and teams supporting our International Insurance Division. This leadership role oversees all compliance activities performed by local (in-country) associates and provides direction for the delivery of compliance coverage in relation to key regulatory and compliance risks, such as consumer protection and sales practice risks, Anti-Money Laundering and Counter Financing of Terrorism

(AML/CFT), Anti-Bribery and Corruption (ABC), licensing and registrations. The PII Compliance team is responsible for managing global compliance risk management programs, reporting to relevant governance committees and/or senior management, designing and executing risk mitigation strategies, developing and conducting training, and managing relevant regulatory exams and interactions.

<http://jobs.prudential.com/job-description.php?jobReqNo=INT000FX>

**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, Product Compliance (\*\* relocation considered \*\*) – LCB00051 (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=LCB00051>

**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>

**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>

**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 – PRO000M3 (Program Governance)**  
**Compliance**  
**Newark, NJ**

This position is within the Corporate Compliance Department, supporting the Regulatory Filings Unit. The ideal candidate should have knowledge and experience with the regulatory and compliance issues surrounding personal and portfolio trading activity, along with strong project management skills. Specifically, the successful candidate will be responsible for serving as the Compliance Director's day-to-day back-up and will be considered the main candidate for succession planning purposes.

<http://jobs.prudential.com/job-description.php?jobReqNo=PRO000M3>