

## **Prudential Job Openings (16) dated 3-21-19**

### **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 – PGI00085 (PGIM Real Estate Law)**

**Law**

**Madison, NJ**

PGIM Real Estate Law has an exciting opportunity to work in a dynamic global investment management business. PGIM Real Estate Law is seeking a Vice President, Corporate Counsel to join the Americas legal team supporting the PGIM Real Estate business with broad responsibility for real estate transactional, asset management and product development matters in the U.S. and Latin America. The successful candidate will report to the Chief Counsel, Americas. The PGIM Real Estate Law Department currently comprises 13 attorneys located in PGIM Real Estate's offices in Madison, NJ, London, Frankfurt, Mexico City, Singapore and Tokyo. PGIM Real Estate Law is part of Prudential's Law, Compliance, Business Ethics and External Affairs department. Key responsibilities include but are not limited to: providing advice on a broad range of real estate matters including sales, acquisitions, financings, leasing, property management and development in the U.S. and Latin America; providing advice related to joint ventures, REIT, FIBRA (Mexican REITs) and CKD investment structures as well as other investment transactions; providing advice on the legal and regulatory issues related to the structuring, marketing and launching of new real estate investment funds and other products; and supporting portfolio management and asset management teams.

<http://jobs.prudential.com/job-description.php?jobReqNo=PGI00085>

**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, Government Affairs – EXT0000H (External Affairs – State)**

**Legal**

**Trenton, NJ**

This position is responsible for managing and coordinating regulatory and legislative activities for Prudential in Trenton, New Jersey, its domiciliary state. Responsibilities include serving a consistent interface with NJ Department of Banking and Insurance (DOBI), which serves as Prudential's group wide supervisor; monitoring and identifying issues that impact Prudential's current and future businesses and the financial services industry in general; proactively advocating Prudential's position and disseminating Prudential research; effectively engaging in and maintaining leadership roles in trade association work; and supporting and facilitating information in coordination with Prudential's policy, federal and international lobbying teams. Prudential operates in all 50 states, and our State Team lobbying is divided by region. The Trenton, NJ position is critically important because Prudential has multiple NJ domestic life insurers and affiliated companies located in NJ, the Company is headquartered in Newark, NJ, and the majority of its domestic employees work in NJ. Some travel is required. The position is located in Trenton, NJ and reports to the Vice President of Government Affairs.

<http://jobs.prudential.com/job-description.php?jobReqNo=EXT0000H>

**VP, Corporate Counsel – PRI0006S (Private Placement)**

**Law**

**Chicago, IL**

The successful candidate will work from the Chicago office and support the following offices/units of Prudential Capital Group ("PCG"): Alternative Investments Group (mezzanine and direct lending), Chicago Corporate Finance, International Corporate Finance (team based in Chicago) and Mexico City Corporate Finance. PCG manages and sources new investments for PCG's approximately \$81 billion\* portfolio of privately placed debt and equity investments. The Chicago office is one of PCG's seven domestic regional offices and it will be supported by a staff of two resident lawyers. Responsibilities include, but are not limited to: structuring, negotiating and supervising the documentation of corporate finance transactions, many of which are highly structured, highly leveraged or both; being a strategic partner for Private Placement businesses in support of building and managing the complex portfolio; and building a professional and working relationship with the leadership team and key stakeholders.

<http://jobs.prudential.com/job-description.php?jobReqNo=PRI0006S>

**VP, Corporate Counsel – ANN000S9 (Annuities Law)**

**Law**

**Shelton, CT**

We are seeking an experienced attorney to join the Annuities Law Department. This position will provide counsel and support to Prudential's Annuities business on variable and fixed annuity product development, maintenance and marketing. This position also will have the opportunity to provide cross-business legal support on product development for the Individual Life Insurance Law Department, and work closely with other US business and corporate legal groups on a variety of strategic and cross-business initiatives.

The position may be located in Shelton, CT, Hartford, CT, or Newark, NJ.

<http://jobs.prudential.com/job-description.php?jobReqNo=ANN000S9>

**COMPLIANCE**

**Vice President, Chief Compliance Officer PCG – PCG00079**

**Compliance**

**Newark, NJ**

PGIM Compliance is seeking a Chief Compliance Officer for the Prudential Capital Group, a business unit of PGIM, Inc., the global investment management business of Prudential Financial, Inc. PCG has offices in 6 countries and operates registered advisers out of 2 countries. Qualified applicants will be experienced in managing a

comprehensive global compliance program designed for private placements including mezzanine transactions, private funds, and investment advisory issues. The PCG CCO will oversee and develop a full range of compliance policy activities that arise in connection with private transactions and fund management for various US and non-US clients. The candidate will report to the PGIM Global Head of Compliance. The position will lead a dedicated compliance team of 3-4, which in collaboration with corporate compliance staff, covers an international employee base of 230 associates for PCG. The compliance team is engaged in code of conduct control procedures, fund marketing and distribution reviews, regulatory risk assessments and controls testing, governance activities and continues to expand its role in other governance and monitoring activities. This position has significant visibility with senior management and direct interaction with global portfolio management, distribution and operations.

<http://jobs.prudential.com/job-description.php?jobReqNo=PCG00079>

**Vice President, Compliance Real Estate Americas – PGI0008I (PGIM Real Estate)  
Compliance  
Newark, NJ**

The candidate will report to the PGIM Real Estate Global Head of Compliance. This position has significant visibility with senior management and direct interaction with global portfolio management, distribution and operations. The VP, Americas Compliance will assist the PGIM Real Estate Global Head of Compliance in discharging the firm's overall compliance program with particular focus on the Americas businesses, including its operations in the United States and Latin America. The position is supported by eight US-based associates and two Mexico-based associates. The position requires a candidate with strong management skills and an ability to develop relationships, sometimes from afar, with staff and senior business executives in the region. This position will also be expected to act as backup to the PGIM Real Estate Global Head of Compliance in interfacing with senior business managers in the Americas; participation in governance committee; and, representing the unit in matters relating to non-US regions, when the CCO is not available or as resource constraints dictate.

<http://jobs.prudential.com/job-description.php?jobReqNo=PGI0008I>

**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>

**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>

**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>

**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>

**Compliance Director – ANN000S5 (Annuities & ILI Compliance)**

**Compliance**

**Shelton, CT**

The ISG Compliance Department is seeking a candidate to provide compliance support to the Annuities Product group. The ideal candidate for this position has insurance Product Development compliance experience, possesses strong operational skills, business analytical capabilities, and the ability to drive results to meet deliverables. They also have a deep understanding of Prudential’s variable annuity products and the current regulatory environment for annuities. The successful candidate will be responsible for providing compliance advice to business partners regarding the practical application of laws and regulations to the development and maintenance of annuity products and issues related to in-force annuities and annuity sales. The candidate’s responsibilities will have a focus on annuity products and transaction monitoring as well as potential leadership opportunities and visibility with the Annuities leadership team. The candidate should be able to work independently and make decisions in a fast paced and changing environment. Strong technical, organizational, and interpersonal skills are needed, as well as tolerance for shifting responsibilities and priorities. This position will give the successful candidate broad exposure to internal clients and corporate partners. This position will be based in Shelton, CT with some limited travel.

<http://jobs.prudential.com/job-description.php?jobReqNo=ANN000S5>

### **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 Regulatory Manager – RET000GP (Retirement & GI Compliance)**

**Compliance**

**Dresher, PA/Roseland, NJ**

The WSG (Group Life and Retirement) Compliance Department is seeking a Compliance Regulatory Manager to provide regulatory compliance support to the business with a strong focus on Group Life and Voluntary products and other compliance responsibilities. The ideal candidate for this position has insurance product development and operations experience, regulatory and risk experience, demonstrated relationship building capabilities, strong operational skills, interpersonal skills, analytical capabilities, robust organizational skills and the ability to multi-task to drive results and meet deliverables.

The successful candidate will be responsible for providing regulatory compliance advice to business partners regarding the practical application of laws and regulations to the development of new group products, the maintenance of current products, issues related to in-force products, and if possible, financial wellness and other Enterprise initiatives. The candidate should be able to work independently in a fast paced and changing environment, with the ability to flex with shifting responsibilities and priorities. This position will give the successful candidate broad exposure to the business as well as internal clients and corporate partners (Law, Risk, and others). This position reports to the Compliance Director, Group Insurance and will be based Roseland, NJ or Dresher, PA.

<http://jobs.prudential.com/job-description.php?jobReqNo=RET000GP>