

Prudential Job Openings (20) dated 9-11-19

LAW

VP, Corporate Counsel – JEN00008 (Jennison)

Law

New York, NY

The Jennison Law Department is looking for an experienced asset management attorney to join a small team of lawyers that supports Jennison's business. Some responsibilities include, but are not limited to: Assist in the establishment and maintenance of client accounts, including drafting, reviewing and negotiating client account documentation (e.g., investment management contracts, organizational documentation, responses to client requests, amendments to investment management contracts); Research and provide legal and regulatory advice with respect to shareholder disclosure laws, portfolio management licensing laws and fund distribution laws in non-US jurisdictions; Provide legal and regulatory advice on new investments and trading, including private equity investments, PIPEs, and derivatives; 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; Provide legal and regulatory advice to Jennison with respect to the structuring, distribution and development of new products and investment vehicles in the US and outside the US; Provide legal and regulatory advice to Jennison in its role as a sub-adviser to mutual funds and review and draft disclosure relating to Jennison in mutual fund filings; 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; and Review and negotiate vendor contracts.

<http://jobs.prudential.com/job-description.php?jobReqNo=JEN00008>

VP, Corporate Counsel – PGI0009E (PGIM Global Partners)

Law

Newark, NJ

Prudential seeks an attorney to fill a vacancy in the PGIM Regulatory Law Section of the Law Department (“PGIM Regulatory”). PGIM Regulatory Law functions somewhat like an internal law firm for PGIM businesses and their lawyers and compliance officers, addressing a variety of regulatory and legal issues affecting PGIM’s multiple businesses, particularly where it may be more effective to address them centrally. PGIM is the asset management division of Prudential Financial and includes PGIM Fixed Income; QMA; Jennison Associates; PGIM Real Estate; PGIM Real Estate Finance; PGIM Private Capital; PGIM Global Partners; and PGIM Investments. Laws we advise on include U.S. federal and state securities, broker-dealer and investment management laws, and EU and UK laws relevant to asset management activities in Europe. Collaboration with colleagues in the Law Department and the Compliance Department is a hallmark of our practice.

<http://jobs.prudential.com/job-description.php?jobReqNo=PGI0009E>

VP, Corporate Counsel – TEC00053

Law

El Paso, TX

Prudential is a significant user and acquirer of technology and other goods and services. The Technology and Enterprise Contracts Law Group seeks a transactional attorney to independently provide comprehensive, timely, and high-quality legal services associated with the acquisition and use of a wide-variety of vendor goods and services, with a key focus on technology acquisition and use agreements. This position requires extensive contract drafting and negotiation. The attorney will also provide legal advice on technology-related issues such as open source software, software audits, technology consortiums, and software deployment in third party cloud environments. The Technology and Enterprise Contracts Law Group is part of the Operations and Systems Law area. Job responsibilities include, but are not limited to: drafting and negotiating complex agreements, with a focus on all types of technology acquisition and use agreements (such as software-as-a- service, software licensing, hardware acquisition, telecom services, and information technology consulting arrangements), as well as general vendor agreements for other goods and services (such as management consulting, tax and audit services, advertising services (custom content, influencer and advertising network), travel arrangements, and health care benefits).

<http://jobs.prudential.com/job-description.php?jobReqNo=TEC00053>

VP, Corporate Counsel – FIN000S8

Law

Newark, NJ

The Financial Management Group of the Law Department seeks an attorney with substantial experience in public company disclosure matters. This position will report to the Chief Disclosure Counsel. Responsibilities will include: advising with respect to, and ensuring compliance with legal requirements pertaining to, Annual Reports on Form 10-K, Quarterly Reports on Form 10-Q, and Current Reports on Form 8-K; advising with respect to materiality determinations, the use of non-GAAP financial measures, and other disclosure issues; advising Investor Relations and Global Communications on securities laws issues affecting internal and external communications, including quarterly earnings announcements and investor presentations; advising with respect to personal security trading matters, including the establishment of restricted trading lists and compliance with insider transaction reporting requirements under Section 16 of the Securities Exchange Act; and advising with respect to Proxy Statement disclosure issues and matters.

<http://jobs.prudential.com/job-description.php?jobReqNo=FIN000S8>

VP, Corporate Counsel – PUB0000S

Law

Newark, NJ

PGIM, Inc. is looking for an experienced asset management and securities attorney to support PGIM Fixed Income (the public fixed income asset management unit within PGIM, Inc.) and Prudential Trust Company, a Pennsylvania trust company. PGIM Fixed Income is headquartered in Newark, New Jersey and has offices in London, Tokyo, Amsterdam and Singapore. PGIM Fixed Income has over \$750 billion in assets under management (as of March 31,

2019). The successful candidate will be based in Newark, New Jersey and join a team of 11 lawyers supporting PGIM Fixed Income and Prudential Trust Company. Some job responsibilities will include: drafting and negotiating investment management agreements, subscription agreements and other client agreements; providing advice regarding U.S. and state regulatory requirements applicable to investment advisers, private funds and collective and common trust funds; reviewing and assisting in the preparation of institutional marketing materials and responses to requests-for-proposals; drafting and reviewing regulatory disclosures and investment guidelines; providing advice with respect to operations and trading issues; providing advice with respect to the structuring, distribution and development of products and investment vehicles in the U.S. and outside the U.S.; and advising Prudential Trust Company with respect to its collective and common trust funds.

<http://jobs.prudential.com/job-description.php?jobReqNo=PUB0000S>

Vice President, Corporate Counsel – MER00021 (Mergers & Acquisitions)

Law

Newark, NJ

The Mergers & Acquisitions group of Prudential Financial's Law Department (Newark, NJ) is seeking an attorney with substantial expertise with merger, acquisition and disposition-related matters. The attorney would join a small team responsible for supporting Prudential's Corporate Development function in connection with Prudential's strategic M&A activity across all of its financial services businesses, both domestically and internationally. The attorney will be expected to interact and partner with senior members of management. Responsibilities include: participating in the development of preliminary indications of interest in targets around the world; providing upfront structuring advice with respect to contemplated acquisitions and dispositions; drafting and negotiating a wide variety of agreements, including, without limitation, purchase and sale agreements, joint venture and shareholder agreements, transition services agreements, investment banking engagement letters, and confidentiality agreements; providing advice with respect to assessing both legal risks and reputational risks arising out of contemplated transactions; and coordinating with other Law Department and Prudential associates with respect to tax, labor and employment, technology, intellectual property, litigation, benefits, real estate, government affairs, public relations and other matters. Willingness to travel.

<http://jobs.prudential.com/job-description.php?jobReqNo=MER00021>

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>

Director, International Public Policy Affairs – EXT0000I

Legal

Newark, NJ

This position is part of the International Government Affairs team, which is responsible for identifying and analyzing public policy and regulatory measures as well as developing and implementing policy recommendations and advocacy strategies that support the Company's global and international business interests.

As an integral member of the team, the candidate will support policy development, engagement/advocacy and strategic positioning efforts on a range of priority issues related to public policy and regulatory initiatives in Prudential's developed international insurance markets (Japan, Korea and Taiwan) as well as in key non-U.S. investment markets. The candidate will be responsible for fostering relationships and seamlessly collaborating with key internal and external partners and constituencies, representing the Company's interests in matters of public policy Thought Leadership, regulatory policy and planning, as well as coordinating, managing and executing assigned projects.

In addition, the candidate will work in support of initiatives related to global regulatory standard setting, including but not limited to standards related to consumer protection, insurance distribution and user of technology/innovation.

<http://jobs.prudential.com/job-description.php?jobReqNo=EXT0000I>

COMPLIANCE

VP, 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, Chief Compliance Officer Investments – LCB0005U (Global PGIM Compliance)
Compliance
Newark, NJ**

Prudential's Compliance organization is looking for an experienced, high caliber investment compliance professional to lead the Compliance program for Prudential's Chief Investment Office ("CIO") in connection with a \$486 billion portfolio. The CIO is responsible for developing the asset allocation strategy and overseeing asset/liability management for Prudential's insurance businesses. The CIO oversees:

the global portfolio management of the proprietary assets supporting insurance liabilities in Prudential's general account as well as Guaranteed Separate Accounts, Prudential's derivatives activities from Asset Liability Management and Portfolio Management to trading and execution; and Prudential's alternative asset investing activities, including private equity, real estate, hedge funds and equity securities

In addition, the role will support Prudential's Corporate Social Responsibility Group (which includes the Prudential Foundation and an investment program). This position will be responsible for the design and implementation of a highly effective, risk-based compliance program. The position is part of the Compliance Organization and will manage a small team.

<http://jobs.prudential.com/job-description.php?jobReqNo=LCB0005U>

**VP, Deputy CCO Real Estate – PGI0008I
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. The incumbent will be expected to be thoroughly knowledgeable about the PGIM Real Estate and PGIM Real Estate Finance Compliance Programs and to assist in leading and developing both junior and seasoned members of the compliance team. Candidates must possess a deep understanding of the Investment Advisers Act of 1940, and other related federal securities laws such as ERISA, and the Foreign Corrupt Practices Act.

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

**Vice President, Digital Compliance Officer – INT000HK (Int'l Insurance Compliance)
Compliance
Newark, NJ**

Prudential's International Insurance Compliance organization is seeking an experienced digital compliance professional to fill a Vice President, Digital Compliance Officer (DCO) position. The DCO will develop and oversee the Compliance program supporting the Company's international digital initiatives. The DCO will be responsible for the compliance program and will leverage and partner with the in-country Compliance Officers, Law associates and business partners. The DCO will act as a single point of contact for international digital compliance activities and issues, communicating and collaborating with appropriate parties across the Company. This role requires a cross-functional customer-centric view into Prudential's business units and digital initiatives. The right candidate will have broad knowledge of financial services, digital regulatory frameworks, technology, and business operations. The business is moving quickly to innovate in an agile environment and the right candidate will partner effectively with creative and responsive solutions. The DCO should have a fundamental understanding of ways to leverage technology to optimize compliance related controls and activities. An important part of the role will to build an effective risk-based compliance program to ensure that the highest risks are properly identified and effectively mitigated. This role reports directly to the Prudential International Insurance Chief Compliance Officer, with a dotted reporting line to the Customer Office CCO, and will work closely with the Customer Office and Prudential International Insurance businesses including technology, operations, and product development teams.

<http://jobs.prudential.com/job-description.php?jobReqNo=INT000HK>

**VP, Compliance, Head of Financial Crimes – COR000SG
Compliance
Newark, NJ**

The head of Financial Crimes is a new position in Prudential Financial. This position is responsible for developing a new Enterprise Financial Crimes Framework as well as managing global enterprise programs related to: Anti-money laundering; Sanctions; and Anti- Bribery/Anti-Corruption (ABC), including FCPA, Gifts and Entertainment, and Political Law Compliance. The position will lead a team of 19 staff (including 8 staff who oversee the centralized AML, Sanctions and ABC functions for U.S. businesses) and report to the Head of Corporate Compliance. Some responsibilities include the following: maintain enterprise transparency on AML, ABC, and Sanctions risk and drive mitigation of high-risk activities; ensure the Prudential response to Financial Crimes is proactive, risk-based, and ensures the ongoing protection of the brand; act as global thought leader in Financial Crimes space; provide strategic direction and advice to businesses and corporate functions regarding Financial Crimes programs and matters; and perform global oversight and monitoring, including issues identification/management, escalation and reporting protocols at a functional (e.g., Chief Ethics and Compliance Officer) and enterprise level, and methods to ensure adherence to program requirements.

<http://jobs.prudential.com/job-description.php?jobReqNo=COR000SG>

VP, Privacy Program Management, Technology and Compliance – PRI0006V
Compliance
Newark, NJ

Prudential Financial, Inc. is a leading U.S. based publicly traded global life insurance and diversified financial services corporation with a world class brand and balance sheet. The company is committed to helping customers grow and protect their wealth through a variety of products and services including life insurance, annuities, investments and retirement-related services. We are seeking a Vice President of Privacy Technology and Compliance. This position reports directly to Prudential's Global Chief Privacy Officer. The Global Privacy Office sits within the Law, Compliance and Business Ethics organization.

The VP, Privacy Technology and Compliance is a key member of the Global Privacy Office and is engaged in the design, implementation and maintenance of the global privacy program in Prudential's operations. The individual will lead privacy projects, provide consultation around new product development, provide strategy around the collection, use, storage and disposal of customer/employee personal information, and act as a key educational leader for privacy strategy. This role represents the global oversight function (second line of defense) for the Global Privacy Office.

<http://jobs.prudential.com/job-description.php?jobReqNo=PRI0006V>

VP, PGIM Investments Compliance – PGI000AC
Compliance
Newark, NJ

PGIM Investments LLC ("PI"), is seeking an experienced leader to serve as a Vice President and senior member of the Compliance team. PI is an investment manager to the mutual fund complex within Prudential Financial, Inc. with approximately \$273 billion in regulatory AUM as of December 31, 2018. The Vice President will assist the mutual fund and adviser CCO with overseeing compliance for the adviser, mutual funds, transfer agent, and principal underwriter. The Vice President is expected to be a key leader for the approximately twenty compliance professionals in the CCO's organization. This role supports the CCO in all aspects of the adviser's and Funds' compliance programs to assure that day-to-day business activities are conducted in compliance with applicable policies, laws, and regulations. This role also will serve as a partner in strategic projects (including implementing regulatory changes or new processes in response to business initiatives). An important part of the role will be to generate ideas to enhance the compliance program, eliminate inefficiencies and increase program effectiveness so that risks are appropriately identified and mitigated.

<http://jobs.prudential.com/job-description.php?jobReqNo=PGI000AC>

VP, Compliance Programs & Policies – PRO000NR
Compliance
Newark, NJ

A new position is being created within Corporate Compliance – the head of Compliance Programs and Policies ("the Vice President"). The Vice President will report to the head of Corporate Compliance. A small team will report to the Vice President. The Vice President of Compliance Programs and Policies will be responsible for developing and maintaining risk-based Compliance programs globally, in collaboration with business unit Chief Compliance Officers and other key stakeholders. This includes establishing program requirements and developing written program standards. While program execution typically rests with the businesses and business unit Chief Compliance

Officers, the Vice President will provide oversight and monitoring to ensure that programs are in place and functioning effectively. The Vice President will also provide on-going program training to Compliance staff and business personnel. The Vice President will also oversee the Enterprise Policy Framework, working with the Company's Policy Governance Team. Responsibilities include the development of new Company policies, including Compliance related policies, updating existing policies and maintaining the infrastructure to enable global access to policies. The Vice President will also be accountable for developing and maintaining Standard Operating Procedures specific to the Compliance function and the related technology infrastructure.

<http://jobs.prudential.com/job-description.php?jobReqNo=PRO000NR>

VP, Corporate Compliance Operations – COM00083
Compliance
Newark, NJ

A new position is being created within Corporate Compliance – the head of Corporate Compliance Operations “the Vice President”. The Vice President will report to the head of Corporate Compliance. The Vice President of Corporate Compliance Operations will be responsible for managing the following operations: Personal Securities Trading, Regulatory Filings, and Employee Policy Violations and Personal Conduct. It is anticipated that additional operational activities will be added to this group; total staff will be approximately 25.

Specific responsibilities of the Vice President include: ensuring operational alignment with Company policies, programs and regulatory requirements; maintaining efficient, controlled and documented processes; deploying technology to improve efficiency and throughput; implementing reporting and managing governance processes; managing a diverse work location strategy, and talent development and people optimization.

<http://jobs.prudential.com/job-description.php?jobReqNo=COM00083>

VP, Compliance – LCB0005V
Compliance
Newark, NJ

Prudential is seeking an experienced leader to provide centralized oversight and governance of compliance risk relating to wide-ranging broker dealer activities conducted through Prudential Investment Management Services (PIMS), a SEC registered broker dealer and FINRA member firm. This position will enhance, lead, and oversee a compliance risk management program across Prudential to enhance consistent, rigorous, and comprehensive risk assessments for PIMS. This role will be responsible for the continuous improvement of the compliance risk management program and its evolution with business growth and risk. Further, the role will oversee the quality of the program to ensure it remains effective at timely risk identification and mitigation. 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.

<http://jobs.prudential.com/job-description.php?jobReqNo=LCB0005V>

Director, PII Compliance Risk Management – INT000HL
Compliance
Newark, NJ

Prudential International Insurance (PII) Compliance provides centralized oversight and governance of compliance programs in all jurisdictions in which PII operates. This individual contributor position will report to the Vice President of PII Compliance Risk Management supporting the build and oversight of a compliance risk management program to establish consistent, rigorous, risk assessment and documentation across PII. This role will support executing continuous improvement of the compliance risk management program and its evolution with business growth and risk. Further, the role will assist in assessing the quality of the program to ensure it remains effective at timely risk identification and mitigation. The successful candidate will: assist with guiding PII Compliance professionals in the assessment of inherent and residual compliance risk and the development of dynamic, risk-based monitoring and testing plans; establish and maintain strong relationships with business and other Compliance partners as well as Legal, Risk, and Audit; and support the preparation of cadenced management reporting on Compliance Risk Management Program status, progress, issues, and trends for Compliance management meetings, PII Compliance leadership, Control Forums, and other governance meetings. The successful candidate will have a minimum of 5 years of compliance risk management experience. Both life insurance industry and international experience are strongly preferred. The successful candidate may come from another segment of diversified financial services or another control discipline (audit or risk). The successful candidate will bring technical compliance expertise with superior knowledge, skills and experience in compliance risk management as well as the “intercultural agility” to work with multiple and diverse countries and cultures.

<http://jobs.prudential.com/job-description.php?jobReqNo=INT000HL>

Director, Privacy Program Management – PRI0006W
Compliance
Newark, NJ

Prudential Financial, Inc. is a leading U.S. based publicly traded global life insurance and diversified financial services corporation with a world class brand and balance sheet. The company is committed to helping customers grow and protect their wealth through a variety of products and services including life insurance, annuities, investments and retirement-related services. The continued focus on and growth of the Global Privacy Program is a key strategic priority for the corporation. We are seeking a Director of Privacy Program Management for Prudential’s Global Privacy Program. This position reports directly to Prudential’s Global Chief Privacy Officer. The Global Privacy Office sits within the Law, Compliance and Business Ethics organization. The Director, Privacy Program Management is a key member of the Global Privacy Office and is engaged in the implementation and maintenance of the privacy program. The Director will be a key driver of privacy strategy with responsibility for the management and execution of significant initiatives that help to ensure or improve the effectiveness of Prudential’s Global Privacy Program. This role represents the global oversight function (second line of defense) for the Global Privacy Office, which reports into the Compliance function.

<http://jobs.prudential.com/job-description.php?jobReqNo=PRI0006W>