Edgar Filing: PRUDENTIAL FINANCIAL INC - Form 4

PRUDENTIAL FINANCIAL INC

Form 4

September 22, 2014

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB APPROVAL OMB

3235-0287 Number:

January 31, Expires: 2005

0.5

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Form 5

obligations may continue. See Instruction

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1(b).

1. Name and Address of Reporting Person * BETHUNE GORDON M

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

PRUDENTIAL FINANCIAL INC

(Check all applicable)

[PRU]

09/18/2014

(Middle)

(Last) (First) 3. Date of Earliest Transaction (Month/Day/Year)

Officer (give title

10% Owner Other (specify

751 BROAD STREET, 4TH FLOOR, ATTN. CORPORATE

(Street)

COMPLIANCE

4. If Amendment, Date Original

X_ Director

6. Individual or Joint/Group Filing(Check Applicable Line)

Filed(Month/Day/Year)

X Form filed by One Reporting Person Form filed by More than One Reporting

NEWARK, NJ 07102

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1.Title of Security (Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year)

Execution Date, if

(Month/Day/Year)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8) (Instr. 3, 4 and 5)

5. Amount of Securities Beneficially Owned Following

6. Ownership 7. Nature of Form: Direct Indirect (D) or Indirect Beneficial Ownership (Instr. 4) (Instr. 4)

(A)

Reported Transaction(s) (Instr. 3 and 4)

Code V Amount (D) Price

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

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 Title of Derivative 	2. Conversion	3. Transaction Date (Month/Day/Year)		4. Transac	5.		6. Date Exerc		7. Title and A		8. Price of Derivative
Security (Instr. 3)	or Exercise Price of Derivative Security	(Wondin Day, Tear)	any (Month/Day/Year)	Code (Instr. 8	of D S6 A (A D of (I		(Month/Day/Year) (Instr. 3 and 4) tive cies ed ed 3,			Security (Instr. 5)	
				Code	V (A	A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
2014 Restricted Stock Units	\$ 0 <u>(1)</u>	09/18/2014		A	1	0	(2)	(2)	Common Stock	10	\$ 92.9

Reporting Owners

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
BETHUNE GORDON M							
751 BROAD STREET, 4TH FLOOR	X						
ATTN. CORPORATE COMPLIANCE	Λ						
NEWARK, NJ 07102							

Signatures

/s/Brian J. Morris, attorney-in-fact 09/22/2014

**Signature of Reporting Person Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, see Instruction 4(b)(v).
- ** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) Each restricted stock unit represents a contingent right to receive the economic equivalent of one share of PRU common stock.
- (2) The restricted stock units vest the earlier of the annual meeting or in one year on May 13, 2015.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.

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