PRUDENTIAL FINANCIAL INC Form 3 March 10, 2016 UNITED STATES SECURITIES AND EXCHANGE COMMISSION FORM 3 Washington, D.C. 20549 OMB

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

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

OMB APPROVAL

3235-0104 Number: January 31, Expires: 2005 Estimated average burden hours per response... 0.5

(Print or Type Responses)

| 1. Name and Address of Reporting Person <u>*</u> Lighte Peter R | | 3. Issuer Name and Ticker or Trading Symbol PRUDENTIAL FINANCIAL INC [PRU] | | | |
|---|--|--|---|---|--|
| (Middle) | 03/08/2016 | | | 5. If Amendment, Date Original Filed(Month/Day/Year) | |
| OMPLIANCE | | (Check all applicable) <u>X</u> Director <u>10%</u> Owner <u>Officer</u> Other (give title below) (specify below) | | Owner 6. Individual or Joint/Group | |
| e) (Zip) | Table I - N | Jon-Derivati | ve Securiti | Reporting Person es Beneficially Owned | |
| | 2. Amount of | f Securities Owned | 3. Ownership Form: Direct (D) or Indirect (I) | 4. Nature of Indirect Beneficial Ownership (Instr. 5) | |
| | 80 | | D | Â | |
| ectly. Persons who resp nformation conta equired to respo | oond to the collection of ined in this form are not nd unless the form displ | 3 <u>-</u> | C 1473 (7-02 |) | |
| | (Middle) EET, 4TH MPLIANCE at) (Zip) e) (Zip) e) (Zip) Persons who respondent of the second | Statement (Month/Day/Year) 03/08/2016 EET, 4TH DMPLIANCE et) (Zip) Table I - N 2. Amount o Beneficially (Instr. 4) 80 80 | Statement (Month/Day/Year) (Middle) 03/08/2016 4. Relationship Person(s) to Iss EET, 4TH (Check a DMPLIANCE at) 2. Amount of Securities Beneficially Owned (Instr. 4) (Instr. 4) 80 Separate line for each class of securities beneficially SE Persons who respond to the collection of information contained in this form are not equired to respond unless the form displays a | Statement (Month/Day/Year) PRUDENTIAL FINAN (Middle) 03/08/2016 4. Relationship of Reporting Person(s) to Issuer EET, 4TH (Check all applicable) OMPLIANCE (t) X_Director (give title below) 10% (Green the construction of | |

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

| 1. Title of Derivative Security | 2. Date Exercisable and | 3. Title and Amount of | 4. | 5. | 6. Nature of Indirect |
|---------------------------------|-------------------------|------------------------|-------------|------------|-----------------------|
| (Instr. 4) | Expiration Date | Securities Underlying | Conversion | Ownership | Beneficial Ownership |
| | (Month/Day/Year) | Derivative Security | or Exercise | Form of | (Instr. 5) |
| | | (Instr. 4) | Price of | Derivative | |
| | | | Derivative | Security: | |

Edgar Filing: PRUDENTIAL FINANCIAL INC - Form 3

| Date | Expiration | Title | Amount or | Security | Direct (D) |
|-------------|------------|-------|-----------|----------|-------------|
| Exercisable | Date | | Number of | | or Indirect |
| | | | Shares | | (I) |
| | | | | | (Instr. 5) |

Reporting Owners

| Reporting Owner Name / Address | | Relationships | | | | |
|---|------------|---------------|---------|-------|--|--|
| 1 | Director | 10% Owner | Officer | Other | | |
| Lighte Peter R 751 BROAD STREET, 4TH FLOOR ATTN. CORPORATE COMPLIANCE NEWARK, NJ 07102 | X | Â | Â | Â | | |
| Signatures | | | | | | |
| /s/Andrew Hughes, attorney-in-fact | 03/10/2010 | 6 | | | | |
| **Signature of Reporting Person | Date | | | | | |

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(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).

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.