

PRUDENTIAL FINANCIAL INC  
Form 4  
June 05, 2007

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2005  
Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**STATEMENT OF CHANGES IN 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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
GOLDEN ROBERT C

2. Issuer Name and Ticker or Trading Symbol  
PRUDENTIAL FINANCIAL INC  
[[PRU]]

5. Relationship of Reporting Person(s) to Issuer  
  
(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)  
06/01/2007

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
Executive Vice President

C/O PRUDENTIAL FINANCIAL, INC., 751 BROAD STREET, 4TH FLOOR

(Street)

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
\_\_\_\_ Form filed by More than One Reporting Person

NEWARK, NJ 071023777

(City) (State) (Zip)

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

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code		4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)	
			Code	V	Amount	(A) or (D)				Price
Common Stock	06/01/2007		M		17,431	A	\$ 32	35,452	D	Indirect Beneficial Ownership
Common Stock	06/01/2007		S		1,931	D	\$ 102.07	33,521	D	Indirect Beneficial Ownership
Common Stock	06/01/2007		S		2,500	D	\$ 102.04	31,021	D	Indirect Beneficial Ownership
Common Stock	06/01/2007		S		5,500	D	\$ 102	25,521	D	Indirect Beneficial Ownership
	06/01/2007		S		2,000	D		23,521	D	Indirect Beneficial Ownership

Edgar Filing: PRUDENTIAL FINANCIAL INC - Form 4

Common Stock					\$ 102.01			
Common Stock	06/01/2007	S	2,000	D	\$ 102.02	21,521	D	
Common Stock	06/01/2007	S	2,000	D	\$ 102.03	19,521	D	
Common Stock	06/01/2007	S	1,500	D	\$ 102.05	18,021 <sup>(1)</sup>	D	
Common Stock						24 <sup>(2)</sup>	I	By 401(k)
Common Stock						349 <sup>(3)</sup>	I	By Robert C. Golden Irrevocable Trust
Common Stock						69 <sup>(3)</sup>	I	By Spouse

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

**Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.**

SEC 1474  
(9-02)

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

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option (right to buy)	\$ 32	06/01/2007		M	17,431	<sup>(4)</sup>	12/18/2012	Common Stock	17,431

## Reporting Owners

Reporting Owner Name / Address

Relationships

Reporting Owners

Edgar Filing: PRUDENTIAL FINANCIAL INC - Form 4

Director      10% Owner      Officer      Other

GOLDEN ROBERT C  
C/O PRUDENTIAL FINANCIAL, INC.  
751 BROAD STREET, 4TH FLOOR  
NEWARK, NJ 071023777

Executive  
Vice  
President

## Signatures

By: /s/ Kathleen M. Gibson,  
Attorney-in-fact

06/05/2007

\_\_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).

Following the transactions reported on this Form 4, the reporting person continues to hold 18,021 shares directly and 24 shares indirectly through the 401(k). The number of shares held directly does not reflect those shares gifted by the reporting person, the details of which

- (1) will be reported in a future filing in accordance with applicable rules. The reporting person also holds 175,292 vested stock options, 49,202 unvested stock options and 26,330 target performance shares (the exact number of performance shares awarded being dependent on achievement of performance goals).
- (2) Beneficial ownership includes shares acquired under The Prudential Employee Savings Plan which are exempt transactions pursuant to Rules 16b-3(c) and 16a-3(f)(1)(i)(B).
- (3) The reporting person disclaims beneficial ownership of these securities, and this report shall not be deemed an admission the reporting person is the beneficial owner of such securities for the purposes of Section 16 or for any other purpose.
- (4) The option vested in three equal annual installments on December 18, 2003, 2004 and 2005.

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.