

PRUDENTIAL FINANCIAL INC  
Form 4  
March 02, 2007

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2005  
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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 \*  
STRANGFELD JOHN R JR

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)  
03/01/2007

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

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 (Instr. 8) | 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 Indirect Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|--|
|                                 |                                      |  | Code                           | V Amount (A) or (D) Price   |   |  |  |
| Common Stock                    | 03/01/2007                           |  | M                              | 22,720 A \$ 32  | 88,757  | D  |  |
| Common Stock                    | 03/01/2007                           |  | S <sup>(1)</sup>               | 200 D \$ 90.75  | 88,557  | D  |  |
| Common Stock                    | 03/01/2007                           |  | S                              | 500 D \$ 90.7   | 88,057  | D  |  |
| Common Stock                    | 03/01/2007                           |  | S                              | 500 D \$ 90.63  | 87,557  | D  |  |
|                                 | 03/01/2007                           |  | S                              | 500 D   | 87,057  | D  |  |

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|              |            |   |       |   |          |                       |   |           |
|--------------|------------|---|-------|---|----------|-----------------------|---|-----------|
| Common Stock |            |   |       |   |          | \$ 90.62              |   |           |
| Common Stock | 03/01/2007 | S | 400   | D | \$ 90.6  | 86,657                | D |           |
| Common Stock | 03/01/2007 | S | 300   | D | \$ 90.56 | 86,357                | D |           |
| Common Stock | 03/01/2007 | S | 500   | D | \$ 90.5  | 85,857                | D |           |
| Common Stock | 03/01/2007 | S | 1,000 | D | \$ 90.4  | 84,857                | D |           |
| Common Stock | 03/01/2007 | S | 2,100 | D | \$ 90.31 | 82,757                | D |           |
| Common Stock | 03/01/2007 | S | 2,000 | D | \$ 90.2  | 80,757                | D |           |
| Common Stock | 03/01/2007 | S | 1,000 | D | \$ 90.14 | 79,757                | D |           |
| Common Stock | 03/01/2007 | S | 2,000 | D | \$ 90.05 | 77,757                | D |           |
| Common Stock | 03/01/2007 | S | 1,000 | D | \$ 90    | 76,757                | D |           |
| Common Stock | 03/01/2007 | S | 5,000 | D | \$ 89.84 | 71,757                | D |           |
| Common Stock | 03/01/2007 | S | 4,000 | D | \$ 89.76 | 67,757                | D |           |
| Common Stock | 03/01/2007 | S | 1,720 | D | \$ 89.74 | 66,037 <sup>(2)</sup> | D |           |
| Common Stock |            |   |       |   |          | 775 <sup>(3)</sup>    | I | By 401(k) |
| Common Stock |            |   |       |   |          | 539 <sup>(4)</sup>    | I | By Spouse |

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

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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 | 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) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) |
|--|------------------------------------|--------------------------------------|--|--------------------------------|---|--|---|
|--|------------------------------------|--------------------------------------|--|--------------------------------|---|--|---|

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| Derivative<br>Security                           |      |   | or Disposed of<br>(D)<br>(Instr. 3, 4,<br>and 5) |        | Date        | Expiration | Title           | Amount<br>or<br>Number<br>of Shares |
|--|------|---|--|--------|-------------|------------|-----------------|-------------------------------------|
|  | Code | V | (A)  | (D)    | Exercisable | Date       |                 |                                     |
| Employee<br>Stock<br>Option<br>(right to<br>buy) |      |   |  |        |             |            | Common<br>Stock |                                     |
| \$ 32  |      |   |  |        | <u>(5)</u>  | 12/18/2012 |                 | 22,720                              |
| 03/01/2007                                       | M    |   |  | 22,720 |             |            |                 |                                     |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |         |       |
|---|---------------|-----------|---------|-------|
|   | Director      | 10% Owner | Officer | Other |
| STRANGFELD JOHN R JR<br>C/O PRUDENTIAL FINANCIAL, INC.<br>751 BROAD STREET, 4TH FLOOR<br>NEWARK, NJ 071023777 | Vice Chairman |           |         |       |

## Signatures

By: /s/ Kathleen M. Gibson,  
 Attorney-in-fact 03/02/2007  
\*\*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).
  - (1) The sales reported on this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on September 5, 2006.
  - (2) Following the transactions reported on this Form 4, the reporting person continues to hold 66,037 shares directly and 775 shares indirectly through the 401(k). The reporting person also holds an additional 20,988 shares in the deferred compensation plan, 336,651 vested stock options, 145,738 unvested stock options and 77,123 target performance shares (the exact number of performance shares awarded being dependent on achievement of performance goals).
  - (3) 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).
  - (4) 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.
  - (5) 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.  
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