Edgar Filing: PRUDENTIAL FINANCIAL INC - Form 4/A

| PRUDENTIA Form 4/A June 28, 2013 | AL FINANCIAI 3 | L INC | | | | | | | | | |
|--|--|--|---|--|--------------|--------|--------------------|---|--|---|--|
| FORM | 1 | | | | | | | | OMB AF | PROVAL | |
| | - UNITED | UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 | | | | | | | OMB Number: | 3235-0287 | |
| Check thi if no long subject to Section 1 Form 4 ou Form 5 obligation may conti <i>See</i> Instru 1(b). | er 6. Filed pu 18 Section 17 | 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 | | | | | | January 31, 2005 Estimated average burden hours per response 0.5 | | | |
| (Print or Type R | Responses) | | | | | | | | | | |
| Koster Barbara Sym PRI | | | Symbol | [·] Name and NTIAL F | | | - | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | |
| (N | | | 3. Date of Earliest Transaction (Month/Day/Year) 12/06/2012 | | | | | Director 10% Owner XOfficer (give title Other (specify below) Senior Vice President | | | |
| Filed(Mo | | | | Amendment, Date Original d(Month/Day/Year) 07/2012 | | | | 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting | | | |
| NEWAKK, | INJ 07102 | | | | | | | Person | | | |
| (City) | (State) | (Zip) | Tabl | e I - Non-D | erivative | Secur | ities Acq | uired, Disposed of | , or Beneficial | ly Owned | |
| 1.Title of Security (Instr. 3) | 2. Transaction Dat (Month/Day/Year) | Execution any | ned n Date, if Day/Year) | 3. Transactio Code (Instr. 8) Code V | (Instr. 3, | ispose | d of (D) | 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 Beneficial Ownership (Instr. 4) | |
| Common Stock | 12/06/2012 | | | S | 6,386 (1) | D | \$ 52.36 (2) | 25,964 <u>(3)</u> | D | | |

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.

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 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) | 4. Transacti Code (Instr. 8) | 5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | Date | Unde Secur | ınt of rlying | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr |
|---|---|---|---------------------------------------|---|---------------------|--------------------|---------------|--|---|---|
| | | | Code V | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | | |
|---|---------------|-----------|-----------------------|-------|--|--|--|
| | Director | 10% Owner | Officer | Other | | | |
| Koster Barbara 751 BROAD STREET, 4TH FLOOR ATTN. CORPORATE COMPLIANCE NEWARK, NJ 07102 | | | Senior Vice President | | | | |
| Signatures | | | | | | | |
| /s/Brian I Morris | | | | | | | |

/s/Brian J. Morris, attorney-in-fact 06/28/2013

**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) Corrects an administrative error which over reported the number of shares sold.

The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$52.30 to \$52.53, inclusive. The reporting person undertakes to provide to Prudential Financial, Inc., any security holder of Prudential Financial,

- (2) In the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in footnote (1) to this Form 4.
- (3) Corrects an administrative error in the number of shares directly owned following this sale.

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.