



State of Rhode Island and Providence Plantations
Office of the Secretary of State

Fee: \$50.00

Division Of Business Services
148 W. River Street
Providence RI 02904-2615
(401) 222-3040

**Limited Liability Company
Annual Report**

Filing Period: September 1 - November 1

In accordance with R.I.G.L. 7-16-66(d), each limited liability company failing or refusing to file its annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-16-66(b&c)) is subject to a penalty fee of \$25.00.

ANNUAL REPORT YEAR: 2016

1. ID No. 000137121

2. Exact Name of the Limited Liability Company Pruco Securities, LLC

3. State of Formation

State: NJ

ARTICLE III

Using the following NAICS codes, please select the code that best describes your business.

NAICS Code

6

81

4. Brief Description of the Character of the Business Which is Actually Conducted in Rhode Island

THIS ENTITY IS A BROKER-DEALER AND PROVIDES INVESTMENT ADVISORY SERVICES.

5. Principal Office Address

No. and Street: 751 BROAD ST.
21ST FLOOR

City or Town: NEWARK State: NJ Zip: 07102 Country: USA

6. Mailing Address of Limited Liability Company and Name or Title of Contact Person:

Contact Name: Contact Title:

No. and Street: 751 BROAD ST.
21ST FLOOR

City or Town: NEWARK State: NJ Zip: 07102 Country: USA

7. Name and Address of Each Manager of the Limited Liability Company, if Applicable.
DO NOT LIST MEMBERS

Title	Individual Name	Address
	First, Middle, Last, Suffix	Address, City or Town, State, Zip Code, Country

MANAGER	KEVIN M BRAYTON	280 TRUMBULL ST., 1 COMMERCIAL PLZ HARTFORD, CT 06103-3509 USA
MANAGER	CAROLINE A FEENEY	213 WASHINGTON ST, WASH NEWARK, NJ 07102-2917 USA
MANAGER	LORI D FOUCHE	751 BROAD ST, 21ST FLOOR, PLAZA NEWARK, NJ 07102-3714 USA
MANAGER	JOHN G GORDON	213 WASHINGTON ST, WASH NEWARK, NJ 07102-2917 USA
MANAGER	MARK ANTHONY HUG	213 WASHINGTON ST, WASH NEWARK, NJ 07102-2917 USA
MANAGER	PATRICK L HYNES	1 MILL RIDGE LN, MILL RIDGE FARM CHESTER, NJ 07930-2488 USA
MANAGER	STUART S PARKER	655 BROAD ST NEWARK, NJ 07102-4410 USA
MANAGER	KENT D SLUYTER	213 WASHINGTON ST, WASH NEWARK, NJ 07102-2917 USA

**8. RESIDENT AGENT IN RHODE ISLAND - DO NOT ALTER
Changes Require Filing of Form 642 - R.I.G.L. 7-16-11**

CT CORPORATION SYSTEM 450 VETERANS MEMORIAL PARKWAY, SUITE 7A EAST
PROVIDENCE , RI 02914

9. This report must be executed by an authorized person pursuant to R.I.G.L. 7-16-66 (b).

Signed this 5 Day of October, 2016 at 6:18:29 PM by the authorized person. *This electronic signature of the individual or individuals signing this instrument constitutes the affirmation or acknowledgement of the signatory, under penalties of perjury, that this instrument is that individual's act and deed or the act and deed of the company, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-16.*

By DARETH JEFFERS
Signature of Authorized Person

Form No. 632
Revised 09/07