

GENERAL ELECTRIC CO

Form 3

August 02, 2013

FORM 3UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIESFiled 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 *

Â Peters Susan

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

08/02/2013

3. Issuer Name **and** Ticker or Trading Symbol
GENERAL ELECTRIC CO [GE]4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

Senior Vice President

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting
Person☐ Form filed by More than One
Reporting PersonGENERAL ELECTRIC
COMPANY,Â 3135 EASTON
TURNPIKE

(Street)

FAIRFIELD,Â CTÂ 06828

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. Title of Security
(Instr. 4)2. Amount of Securities
Beneficially Owned
(Instr. 4)3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)4. Nature of Indirect Beneficial
Ownership
(Instr. 5)

Common Stock

7,035

D

Â

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

SEC 1473 (7-02)

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information contained in this form are not
required to respond unless the form displays a
currently valid OMB control number.****Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**1. Title of Derivative Security
(Instr. 4)2. Date Exercisable and
Expiration Date
(Month/Day/Year)3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)4. Conversion
or Exercise
Price of
Derivative5. Ownership
Form of
Derivative
Security:6. Nature of Indirect
Beneficial
Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Phantom Stock Units	Â <u>(1)</u>	Â <u>(1)</u>	Common Stock	7,016	\$ <u>(2)</u>	D	Â
Restricted Stock Units	Â <u>(3)</u>	Â <u>(3)</u>	Common Stock	8,750	\$ <u>(2)</u>	D	Â
Restricted Stock Units	Â <u>(4)</u>	Â <u>(4)</u>	Common Stock	6,250	\$ <u>(2)</u>	D	Â
Restricted Stock Units	Â <u>(5)</u>	Â <u>(5)</u>	Common Stock	6,250	\$ <u>(2)</u>	D	Â
Restricted Stock Units	Â <u>(6)</u>	Â <u>(6)</u>	Common Stock	12,500	\$ <u>(2)</u>	D	Â
Restricted Stock Units	Â <u>(7)</u>	Â <u>(7)</u>	Common Stock	75,000	\$ <u>(2)</u>	D	Â
Employee Stock Options (right to buy) <u>(8)</u>	09/12/2004	09/12/2013	Common Stock	33,000	\$ 31.53	D	Â
Employee Stock Options (right to buy) <u>(8)</u>	09/17/2005	09/17/2014	Common Stock	36,000	\$ 34.22	D	Â
Employee Stock Options (right to buy) <u>(8)</u>	09/16/2006	09/16/2015	Common Stock	39,000	\$ 34.47	D	Â
Employee Stock Options (right to buy) <u>(8)</u>	09/08/2007	09/08/2016	Common Stock	37,500	\$ 34.01	D	Â
Employee Stock Options (right to buy) <u>(8)</u>	09/07/2008	09/07/2017	Common Stock	47,500	\$ 38.75	D	Â
Employee Stock Options (right to buy) <u>(8)</u>	09/09/2009	09/09/2018	Common Stock	55,000	\$ 28.12	D	Â
Employee Stock Options (right to buy) <u>(8)</u>	03/12/2010	03/12/2019	Common Stock	44,000	\$ 9.57	D	Â
Employee Stock Options (right to buy) <u>(8)</u>	07/23/2010	07/23/2019	Common Stock	120,000	\$ 11.95	D	Â
Employee Stock Options (right to buy) <u>(8)</u>	06/10/2011	06/10/2020	Common Stock	275,000	\$ 15.68	D	Â
Employee Stock Options (right to buy) <u>(8)</u>	06/09/2012	06/09/2021	Common Stock	300,000	\$ 18.58	D	Â
Employee Stock Options (right to buy) <u>(8)</u>	09/07/2013	09/07/2022	Common Stock	325,000	\$ 21.59	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships
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Reporting Owners

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Director 10% Owner Officer Other

Peters Susan

GENERAL ELECTRIC COMPANY
3135 EASTON TURNPIKE
FAIRFIELD, CT 06828

Â Â Â Senior Vice President Â

Signatures

Eliza W. Fraser on behalf of Susan P.
Peters

08/02/2013

__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).

(1) Reallocable to other investment media. Payable after termination of employment.

(2) 1-for-1

(3) 35,000 units granted 09/12/2003; 8,750 units vested on 9/12/2006; 8,750 units vested on 9/12/2008; 8,750 vested on 9/12/2010; 8,750 are scheduled to vest on 9/12/2013.

(4) 25,000 units granted 07/28/2005; 6,250 units vested on 7/28/2008; 6,250 units vested on 7/28/2010; 6,250 vested on 7/28/2012; 6,250 are scheduled to vest on 7/27/2015

(5) 25,000 units granted 07/27/2006; 6,250 units vested on 7/27/2009; 6,250 units vested on 7/27/2011; 6,250 vested on 7/27/2013; 6,250 are scheduled to vest on 7/27/2016

(6) 25,000 units granted 02/09/2007; 6,250 units vested on 2/09/2010; 6,250 units vested on 2/09/2012; 6,250 units are scheduled to vest on 2/09/2014 and 6,250 units are scheduled to vest on 2/09/2017.

(7) 75,000 units granted on 7/25/2013; 75,000 units are scheduled to vest on 7/25/2014.

(8) The options become exercisable in five equal installments of 20% each beginning on the "Date Exercisable" shown to the right, and another 20% each year thereafter.

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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