GENERAL ELECTRIC CO
Form 3
July 08, 2013

# FORM 3

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

| OMB APPROVAL | |
|---|---|
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## INITIAL STATEMENT OF 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 *
Â Bornstein Jeffrey S
(Last) (First) (Middle)

GENERAL ELECTRIC COMPANY,Â 3135 EASTON TURNPIKE
(Street)

FAIRFIELD,Â CTÂ 06828
(City) (State) (Zip)

2. Date of Event Requiring Statement (Month/Day/Year)
07/01/2013

3. Issuer Name **and** Ticker or Trading Symbol
GENERAL ELECTRIC CO [GE]

4. Relationship of Reporting Person(s) to Issuer
(Check all applicable)
_____ Director _____ 10% Owner
__X__ Officer (give title below) _____ Other (specify below)
Senior Vice President

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

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

### Table I - Non-Derivative Securities Beneficially Owned

| 1.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 | 66,938 | D | Â |
| Common Stock | 29,947 | I | by 401(k) |

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

SEC 1473 (7-02)

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### 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 | 4. Conversion or Exercise | 5. Ownership Form of | 6. Nature of Indirect Beneficial Ownership |
|---|---|---|---|---|---|

| | Date Exercisable | Expiration Date | (Instr. 4) Title | Amount or Number of Shares | Price of Derivative Security | Derivative Security: Direct (D) or Indirect (I) (Instr. 5) | (Instr. 5) |
|---|---|---|---|---|---|---|---|
| Phantom Stock Units | Â (1) | Â (1) | Common Stock | 5,018 | $ (2) | D | Â |
| Restricted Stock Units | Â (3) | Â (3) | Common Stock | 12,500 | $ (2) | D | Â |
| Restricted Stock Units | Â (4) | Â (4) | Common Stock | 6,250 | $ (2) | D | Â |
| Restricted Stock Units | Â (5) | Â (5) | Common Stock | 7,500 | $ (2) | D | Â |
| Restricted Stock Units | Â (6) | Â (6) | Common Stock | 12,500 | $ (2) | D | Â |
| Restricted Stock Units | Â (7) | Â (7) | Common Stock | 9,167 | $ (2) | D | Â |
| Restricted Stock Units | Â (8) | Â (8) | Common Stock | 30,000 | $ (2) | D | Â |
| Restricted Stock Units | Â (9) | Â (9) | Common Stock | 200,000 | $ (2) | D | Â |
| Employee Stock Options (right to buy) (10) | 09/12/2004 | 09/12/2013 | Common Stock | 60,000 | $ 31.53 | D | Â |
| Employee Stock Options (right to buy) (10) | 09/17/2005 | 09/17/2014 | Common Stock | 75,000 | $ 34.22 | D | Â |
| Employee Stock Options (right to buy) (10) | 09/16/2006 | 09/16/2015 | Common Stock | 84,000 | $ 34.47 | D | Â |
| Employee Stock Options (right to buy) (10) | 09/08/2007 | 09/08/2016 | Common Stock | 82,500 | $ 34.01 | D | Â |
| Employee Stock Options (right to buy) (10) | 09/07/2008 | 09/07/2017 | Common Stock | 112,500 | $ 38.75 | D | Â |
| Employee Stock Options (right to buy) (10) | 09/09/2009 | 09/09/2018 | Common Stock | 137,500 | $ 28.12 | D | Â |
| Employee Stock Options (right to buy) (11) | 03/12/2010 | 03/12/2019 | Common Stock | 220,000 | $ 9.57 | D | Â |
| Employee Stock Options (right to buy) (12) | 07/23/2010 | 07/23/2019 | Common Stock | 440,000 | $ 11.95 | D | Â |
| Employee Stock Options (right to buy) (10) | 06/10/2011 | 06/10/2020 | Common Stock | 650,000 | $ 15.68 | D | Â |
| Employee Stock Options (right to buy) (10) | 06/09/2012 | 06/09/2021 | Common Stock | 700,000 | $ 18.58 | D | Â |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Employee Stock Options (right to buy) (10) | 09/07/2013 | 09/07/2022 | Common Stock | 725,000 | $ 21.59 | D | Â |

# Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---|---|---|---|
| | Director | 10% Owner | Officer | Other |
| Bornstein Jeffrey S<br>GENERAL ELECTRIC COMPANY<br>3135 EASTON TURNPIKE<br>FAIRFIELD,Â CTÂ 06828 | Â | Â | Â Senior Vice President | Â |

# Signatures

| | |
|---|---|
| Eliza W. Fraser on behalf of Jeffrey S. Bornstein | 07/08/2013 |
| **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)** 50,000 units granted 09/12/2003; 12,500 units vested on 9/12/2006; 12,500 units vested on 9/12/2008; 12,500 vested on 9/12/2010; 12,500 are scheduled to vest on 9/12/2013.

**(4)** 25,000 units granted 07/29/2004; 6,250 units vested on 7/29/2007; 6,250 units vested on 7/29/2009; 6,250 vested on 7/29/2011; 6,250 are scheduled to vest on 7/29/2014.

**(5)** 30,000 units granted 07/28/2005; 7,500 units vested on 7/28/2008; 7,500 units vested on 7/28/2010; 7,500 vested on 7/28/2012; 7,500 are scheduled to vest on 7/28/2015.

**(6)** 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 units are scheduled to vest on 7/27/2013 and 6,250 units are scheduled to vest on 7/27/2016.

**(7)** 45,834 units granted 09/09/2008; 9,166 units vested on 9/9/2009; 9,167 units vested on 9/9/2010; 9,167 units vested on 9/9/2011; 9,167 units vested on 9/9/2012 and 9,167 units are scheduled to vest on 9/9/2013.

**(8)** 50,000 units granted 09/03/2010; 10,000 units vested on 9/3/2011; 10,000 units vested on 9/3/2012; 10,000 units are scheduled to vest on 9/3/2013; 10,000 units are scheduled to vest on 9/3/2014 and 10,000 units are scheduled to vest on 9/3/2015.

**(9)** 200,000 units granted on 7/27/2012; 200,000 vest on 7/27/2017.

**(10)** 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.

**(11)** 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. Of the remaining options in this grant, 110,000 are vested. The 110,000 unvested options will vest on 3/12/2014.

**(12)** 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. Of the remaining options in this grant, 220,000 are vested. The 220,000 unvested options will vest one-half on 7/23/2013 and the other half on 7/23/2014.

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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