

GENERAL ELECTRIC CO

Form 3

August 02, 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 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 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

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

## Reporting Owners

Reporting Owner Name / Address

Relationships

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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