

GENERAL ELECTRIC CO
Form 3
October 09, 2013

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

OMB APPROVAL

OMB Number: 3235-0104
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

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 *
 Heintzelman daniel
 (Last) (First) (Middle)

2. Date of Event Requiring Statement
 (Month/Day/Year)
 10/01/2013

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

4. Relationship of Reporting Person(s) to Issuer

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

GENERAL ELECTRIC
COMPANY, 3135 EASTON
TURNPIKE

(Street)

FAIRFIELD, CT 06828

(City) (State) (Zip)

(Check all applicable)

Director 10% Owner
 Officer Other
 (give title below) (specify below)
 Vice Chairman

6. Individual or Joint/Group Filing(Check Applicable Line)
 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	132,596	D	À
Common Stock	3,742	I	by 401(k)
Common Stock	7	I	By family

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

SEC 1473 (7-02)

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.

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

Edgar Filing: GENERAL ELECTRIC CO - Form 3

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 Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Phantom Stock Units	Â <u>(1)</u>	Â <u>(1)</u>	Common Stock	33,338	\$ <u>(2)</u>	D	Â
Restricted Stock Units	Â <u>(3)</u>	Â <u>(3)</u>	Common Stock	5,000	\$ <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	40,000	\$ <u>(2)</u>	D	Â
Restricted Stock Units	Â <u>(6)</u>	Â <u>(6)</u>	Common Stock	45,000	\$ <u>(2)</u>	D	Â
Restricted Stock Units	Â <u>(7)</u>	Â <u>(7)</u>	Common Stock	40,000	\$ <u>(2)</u>	D	Â
Restricted Stock Units	Â <u>(8)</u>	Â <u>(8)</u>	Common Stock	150,000	\$ <u>(2)</u>	D	Â
Employee Stock Options (right to buy) <u>(9)</u>	09/17/2005	09/17/2014	Common Stock	42,000	\$ 34.22	D	Â
Employee Stock Options (right to buy) <u>(9)</u>	09/16/2006	09/17/2015	Common Stock	48,000	\$ 34.47	D	Â
Employee Stock Options (right to buy) <u>(9)</u>	09/08/2007	09/08/2016	Common Stock	55,000	\$ 34.01	D	Â
Employee Stock Options (right to buy) <u>(9)</u>	09/07/2008	09/07/2017	Common Stock	62,500	\$ 38.75	D	Â
Employee Stock Options (right to buy) <u>(9)</u>	09/09/2009	09/09/2018	Common Stock	75,000	\$ 28.12	D	Â
Employee Stock Options (right to buy) <u>(9)</u>	03/12/2010	03/12/2019	Common Stock	140,000	\$ 9.57	D	Â
Employee Stock Options (right to buy) <u>(9)</u>	07/23/2010	07/23/2019	Common Stock	400,000	\$ 11.95	D	Â
Employee Stock Options (right to buy) <u>(9)</u>	06/10/2011	06/10/2020	Common Stock	550,000	\$ 15.68	D	Â
Employee Stock Options (right to buy) <u>(9)</u>	06/09/2012	06/09/2021	Common Stock	700,000	\$ 18.58	D	Â
Employee Stock Options (right to buy) <u>(9)</u>	09/07/2013	09/07/2022	Common Stock	700,000	\$ 21.59	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Heintzelman daniel GENERAL ELECTRIC COMPANY 3135 EASTON TURNPIKE FAIRFIELD, CT 06828	Â	Â	Â Vice Chairman	Â

Signatures

Eliza W. Fraser on behalf of Daniel Heintzelman 10/09/2013

__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) 20,000 units granted 07/28/2005; 5,000 units vested on 7/28/2008; 5,000 units vested on 7/28/2010; 5,000 vested on 7/28/2012; and 5,000 are scheduled to vest on 7/28/2015.
 - (4) 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; and 6,250 are scheduled to vest on 7/27/2016.
 - (5) 100,000 units granted 09/3/2010; 20,000 units vested on 9/3/2011; 20,000 units vested on 9/3/2012; 20,000 units vested on 9/3/2013; 20,000 are scheduled to vest on 9/3/2014; and 20,000 are scheduled to vest on 9/3/2015.
 - (6) 75,000 units granted 09/2/2011; 15,000 units vested on 9/2/2012; 15,000 units vested on 9/2/2013; 15,000 are scheduled to vest on 9/3/2014; 15,000 are scheduled to vest on 9/2/2015 and 15,000 are scheduled to vest on 9/2/2016.
 - (7) 50,000 units granted 07/27/2012; 10,000 units vested on 7/27/2013; 10,000 are scheduled to vest on 7/27/2014; 10,000 are scheduled to vest on 7/27/2015; 10,000 are scheduled to vest on 7/27/2016; and 10,000 are scheduled to vest on 7/27/2017.
 - (8) 150,000 units granted 09/13/2013; 50,000 units are scheduled to vest on 10/1/2014; 50,000 units are scheduled to vest on 10/1/2015; and 50,000 units are scheduled to vest on 10/1/2016.
 - (9) The options became 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. 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.