

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)

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

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

GENERAL ELECTRIC COMPANY,Â 3135 EASTON TURNPIKE

(Street)

FAIRFIELD,Â CTÂ 06828

(City) (State) (Zip)

(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 Person

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

| 1. Title of Security<br>(Instr. 4) | 2. Amount of Securities Beneficially Owned<br>(Instr. 4) | 3. Ownership Form:<br>Direct (D)<br>or Indirect (I)<br>(Instr. 5) | 4. Nature of Indirect Beneficial Ownership<br>(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<br>(Instr. 4) | 2. Date Exercisable and Expiration Date<br>(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 |
|---|---|--|---------------------------|----------------------|--|
|---|---|--|---------------------------|----------------------|--|

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

Employee Stock Options (right to buy) <sup>(10)</sup> 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, CT 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. 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.