

GENERAL ELECTRIC CO
Form 3
October 09, 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 *
 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)

(Check all applicable)

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

FAIRFIELD, CT 06828
 (City) (State) (Zip)

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 | ^ |
| 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)

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

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| 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.