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GENERAL ELECTRIC CO

Form 3

October 09, 2013

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

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person * Statement GENERAL ELECTRIC CO [GE] À Heintzelman daniel (Month/Day/Year) 10/01/2013 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) GENERAL ELECTRIC (Check all applicable) COMPANY, Â 3135 EASTON TURNPIKE 10% Owner Director (Street) _X__ Officer Other 6. Individual or Joint/Group (give title below) (specify below) Filing(Check Applicable Line) Vice Chairman _X_ Form filed by One Reporting Person FAIRFIELD. CTÂ 06828 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 1. Title of Security 2. Amount of Securities 3. 4. Nature of Indirect Beneficial Beneficially Owned Ownership (Instr. 4) Ownership (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Â Common Stock 132,596 D Common Stock 3,742 Ι by 401(k) Common Stock 7 Ι By family Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) owned directly or indirectly. Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a

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

currently valid OMB control number.

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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 | 5. Ownership Form of Derivative | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|--|--|--------------------|--|----------------------------------|---|---|--|
| | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | Derivative Security | Security: Direct (D) or Indirect (I) (Instr. 5) | |
| Phantom Stock Units | (1) | (1) | Common Stock | 33,338 | \$ (2) | D | Â |
| Restricted Stock Units | (3) | (3) | Common Stock | 5,000 | \$ (2) | D | Â |
| Restricted Stock Units | (4) | (4) | Common Stock | 6,250 | \$ (2) | D | Â |
| Restricted Stock Units | (5) | (5) | Common Stock | 40,000 | \$ (2) | D | Â |
| Restricted Stock Units | (6) | (6) | Common Stock | 45,000 | \$ <u>(2)</u> | D | Â |
| Restricted Stock Units | (7) | (7) | Common Stock | 40,000 | \$ (2) | D | Â |
| Restricted Stock Units | (8) | (8) | Common Stock | 150,000 | \$ (2) | D | Â |
| Employee Stock Options (right to buy) (9) | 09/17/2005 | 09/17/2014 | Common Stock | 42,000 | \$ 34.22 | D | Â |
| Employee Stock Options (right to buy) $\underline{^{(9)}}$ | 09/16/2006 | 09/17/2015 | Common Stock | 48,000 | \$ 34.47 | D | Â |
| Employee Stock Options (right to buy) (9) | 09/08/2007 | 09/08/2016 | Common Stock | 55,000 | \$ 34.01 | D | Â |
| Employee Stock Options (right to buy) $\underline{^{(9)}}$ | 09/07/2008 | 09/07/2017 | Common Stock | 62,500 | \$ 38.75 | D | Â |
| Employee Stock Options (right to buy) $\underline{^{(9)}}$ | 09/09/2009 | 09/09/2018 | Common Stock | 75,000 | \$ 28.12 | D | Â |
| Employee Stock Options (right to buy) $\underline{^{(9)}}$ | 03/12/2010 | 03/12/2019 | Common Stock | 140,000 | \$ 9.57 | D | Â |
| Employee Stock Options (right to buy) $\underline{^{(9)}}$ | 07/23/2010 | 07/23/2019 | Common Stock | 400,000 | \$ 11.95 | D | Â |
| Employee Stock Options (right to buy) $\frac{(9)}{}$ | 06/10/2011 | 06/10/2020 | Common Stock | 550,000 | \$ 15.68 | D | Â |
| Employee Stock Options (right to buy) $\frac{(9)}{}$ | 06/09/2012 | 06/09/2021 | Common Stock | 700,000 | \$ 18.58 | D | Â |
| Employee Stock Options (right to buy) (9) | 09/07/2013 | 09/07/2022 | Common Stock | 700,000 | \$ 21.59 | D | Â |
| | | | | | | | |

Reporting Owners

Reporting Owner Name / Address

Director 10% Owner Officer Other

Heintzelman daniel

GENERAL ELECTRIC COMPANY 3135 EASTON TURNPIKE
FAIRFIELD, CTÂ 06828

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.
- 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 7/27/2017.
- (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.

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