

GENERAL ELECTRIC CO

Form 3/A

November 28, 2016

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 Joyce David Leon

(Last)

(First)

(Middle)

GENERAL ELECTRIC
COMPANY,Â 41
FARNSWORTH STREET

(Street)

BOSTON,Â MAÂ 02210

(City)

(State)

(Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

09/09/2016

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

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

Vice Chairman

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

09/19/2016

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

283,601

D

Â

Common Stock

29,872

I

401(k) plan

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
(Instr. 4)2. Date Exercisable and Expiration Date
(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 Exercisable	Expiration Date	(Instr. 4) Title	Amount or Number of Shares	Price of Derivative Security	Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	(Instr. 5)
Restricted Stock Units	Â <u>(2)</u>	Â <u>(2)</u>	Common Stock	10,000	\$ <u>(1)</u>	D	Â
Restricted Stock Units	Â <u>(3)</u>	Â <u>(3)</u>	Common Stock	60,000	\$ <u>(1)</u>	D	Â
Restricted Stock Units	Â <u>(4)</u>	Â <u>(4)</u>	Common Stock	40,000	\$ <u>(1)</u>	D	Â
Restricted Stock Units	Â <u>(5)</u>	Â <u>(5)</u>	Common Stock	29,600	\$ <u>(1)</u>	D	Â
Restricted Stock Units	Â <u>(6)(9)</u>	Â <u>(6)</u>	Common Stock	150,000	\$ <u>(1)</u>	D	Â
Restricted Stock Units	Â <u>(7)</u>	Â <u>(7)</u>	Common Stock	27,000	\$ <u>(1)</u>	D	Â
Employee Stock Options (right to buy) <u>(8)</u>	09/07/2006	09/07/2017	Common Stock	55,000	\$ 38.75	D	Â
Employee Stock Options (right to buy) <u>(8)</u>	09/09/2009	09/09/2018	Common Stock	100,000	\$ 28.12	D	Â
Employee Stock Options (right to buy) <u>(8)</u>	03/12/2010	03/12/2019	Common Stock	400,000	\$ 9.57	D	Â
Employee Stock Options (right to buy) <u>(8)</u>	07/23/2010	07/23/2019	Common Stock	500,000	\$ 11.95	D	Â
Employee Stock Options (right to buy) <u>(8)</u>	06/10/2011	06/10/2020	Common Stock	650,000	\$ 15.68	D	Â
Employee Stock Options (right to buy) <u>(8)</u>	06/09/2012	06/09/2021	Common Stock	700,000	\$ 18.58	D	Â
Employee Stock Options (right to buy) <u>(8)</u>	09/07/2013	09/07/2022	Common Stock	700,000	\$ 21.59	D	Â
Employee Stock Options (right to buy) <u>(8)</u>	09/13/2014	09/13/2023	Common Stock	500,000	\$ 23.78	D	Â
Employee Stock Options (right to buy) <u>(8)</u>	09/05/2015	09/05/2024	Common Stock	550,000	\$ 26.1	D	Â
Employee Stock Options (right to buy) <u>(8)</u>	09/11/2016	09/11/2025	Common Stock	184,000	\$ 24.95	D	Â
Employee Stock Option (right to buy) <u>(8)</u>	09/09/2017	09/09/2026	Common Stock	200,000	\$ 30.11	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Joyce David Leon GENERAL ELECTRIC COMPANY 41 FARNSWORTH STREET BOSTON, MA 02210	Â	Â	Â Vice Chairman	Â

Signatures

Brian Sandstrom on behalf of David L. Joyce 11/28/2016

__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) 1-for-1
- (2) 50,000 units granted 07/27/2012; 10,000 units vested on 07/27/2013 ; 10,000 units vested on 07/27/2014 ; 10,000 vested on 07/27/2015; 10,000 vested on 07/27/2016 and 10,000 are scheduled to vest on 07/27/2017.
- (3) 100,000 units granted 07/24/2014; 20,000 units vested on 07/24/2015; 20,000 units vested on 07/24/2016 ; 20,000 are scheduled to vest on 07/24/2017; 20,000 are scheduled to vest on 07/24/2018 and 20,000 are scheduled to vest on 07/24/2019.
- (4) 50,000 units granted 09/11/2015; 10,000 units vested on 9/11/2016; 10,000 units are scheduled to vest on 09/11/2017; 10,000 units are scheduled to vest on 09/11/2018; 10,000 are scheduled to vest on 09/11/2019; and 10,000 are scheduled to vest on 09/11/2020.
- (5) 37,000 units granted 9/11/2015; 7,400 units vested on 9/11/2016; 7,400 units are scheduled to vest on 9/11/2017; 7,400 units are scheduled to vest on 9/11/2018; 7,400 units are scheduled to vest on 9/11/2019; and 7,400 units are scheduled to vest on 9/11/2020.
- (6) 150,000 units granted 07/28/2016; 150,000 units are scheduled to vest on 12/31/2019.
- (7) 27,000 units granted on 9/9/2016; 5,400 units are scheduled to vest on 9/9/2017; 5,400 units are scheduled to vest on 9/9/2018; 5,400 units are scheduled to vest on 9/9/2019; 5,400 units are scheduled to vest on 9/9/2020; and 5,400 units are scheduled to vest on 9/9/2021.
- (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.
- (9) Grant not previously reported. This amended Form 3 also removes a previously reported 53,000 Restricted Stock Unit grant which was characterized as a Restricted Stock Unit in error. The 53,000 grant is a Performance Share Unit not realized until certain performance measures are met.

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.