

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 *       |         | 2. Date of Event Requiring Statement | 3. Issuer Name <b>and</b> Ticker or Trading Symbol                         |  |
| Â Joyce David Leon                              |         | (Month/Day/Year)                     | GENERAL ELECTRIC CO [GE]   |  |
| (Last)  | (First) | (Middle)                             | 09/09/2016   |  |
| GENERAL ELECTRIC COMPANY,Â 41 FARNSWORTH STREET |         |                                      | 4. Relationship of Reporting Person(s) to Issuer                           | 5. If Amendment, Date Original Filed(Month/Day/Year)                   |
| (Street)  |         |                                      | (Check all applicable)   | 09/19/2016   |
| BOSTON,Â MAÂ 02210                              |         |                                      | <input type="checkbox"/> Director <input type="checkbox"/> 10% Owner       | 6. Individual or Joint/Group Filing(Check Applicable Line)             |
| (City)  | (State) | (Zip)                                | <input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other | <input checked="" type="checkbox"/> Form filed by One Reporting Person |
|   |         |                                      | (give title below) (specify below)   | <input type="checkbox"/> Form filed by More than One Reporting Person  |
|   |         |                                      | Vice Chairman  |  |

**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)<br>Title | Amount or Number of Shares | Price of Derivative Security | Derivative Security: Direct (D) or Indirect (I)<br>(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<br>GENERAL ELECTRIC COMPANY<br>41 FARNSWORTH STREET<br>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 sceduled 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.