

Krishnamoorthy Raghu  
Form 3  
December 08, 2017

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104  
Expires: January 31, 2005  
Estimated average burden hours per response... 0.5

## 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 Krishnamoorthy Raghu  
(Last) (First) (Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)  
12/01/2017

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)

(Check all applicable)

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_\_X\_\_ Officer \_\_\_\_ Other  
(give title below) (specify below)  
Senior Vice President

6. Individual or Joint/Group Filing(Check Applicable Line)  
\_\_X\_\_ Form filed by One Reporting Person  
\_\_\_\_ Form filed by More than One Reporting Person

GENERAL ELECTRIC  
COMPANY,Â 41  
FARNSWORTH STREET  
(Street)

BOSTON,Â MAÂ 02210  
(City) (State) (Zip)

### 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

34,905

D Â

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  
(Instr. 4)

4. Conversion or Exercise Price of Derivative

5. Ownership Form of Derivative Security:

6. Nature of Indirect Beneficial Ownership  
(Instr. 5)

# Edgar Filing: Krishnamoorthy Raghu - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Restricted Stock Units	Â (2)	Â (2)	Common Stock	10,000	\$ (1)	D	Â
Restricted Stock Units	Â (3)	Â (3)	Common Stock	15,000	\$ (1)	D	Â
Restricted Stock Units	Â (4)	Â (4)	Common Stock	25,000	\$ (1)	D	Â
Restricted Stock Units	Â (5)	Â (5)	Common Stock	11,786	\$ (1)	D	Â
Employee Stock Option (right to buy) (6)	09/09/2009	09/09/2018	Common Stock	20,000	\$ 28.12	D	Â
Employee Stock Option (right to buy) (6)	06/09/2012	06/09/2021	Common Stock	150,000	\$ 18.58	D	Â
Employee Stock Option (right to buy) (6)	09/07/2013	09/07/2022	Common Stock	160,000	\$ 21.59	D	Â
Employee Stock Option (right to buy) (6)	09/13/2014	09/13/2023	Common Stock	150,000	\$ 23.78	D	Â
Employee Stock Option (right to buy) (6)	09/05/2015	09/05/2024	Common Stock	160,000	\$ 26.1	D	Â
Employee Stock Option (right to buy) (6)	09/11/2016	09/11/2025	Common Stock	160,000	\$ 24.95	D	Â
Employee Stock Option (right to buy) (6)	09/30/2017	09/30/2026	Common Stock	180,000	\$ 29.62	D	Â
Employee Stock Option (right to buy) (6)	11/17/2018	11/17/2027	Common Stock	82,500	\$ 18.21	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Krishnamoorthy Raghu GENERAL ELECTRIC COMPANY 41 FARNSWORTH STREET BOSTON,Â MAÂ 02210	Â	Â	Â Senior Vice President	Â

## Signatures

Brian Sandstrom on behalf of Raghu  
Krishnamoorthy

12/08/2017

\_\_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 on 7/25/2013; 10,000 units vested on 7/25/2014; 10,000 units vested on 7/25/2015; 10,000 units vested on 7/25/2016; 10,000 units vested on 7/25/2017; and 10,000 units are scheduled to vest on 7/25/2018.
- (3) 25,000 units granted on 9/11/2015; 5,000 units vested on 9/11/2016; 5,000 units vested on 9/11/2017; 5,000 units are scheduled to vest on 9/11/2018; 5,000 units are scheduled to vest on 9/11/2019; and 5,000 units are scheduled to vest on 9/11/2020.
- (4) 25,000 units granted on 2/10/2017; 5,000 units scheduled to vest on 2/10/2018; 5,000 units are scheduled to vest on 2/10/2019; 5,000 units are scheduled to vest on 2/10/2020; 5,000 units are scheduled to vest on 2/10/2021; 5,000 units are scheduled to vest on 2/10/2022.  
11,786 units granted on 11/17/2017; 2,357 units are scheduled to vest on 11/17/2018; 2,357 units are scheduled to vest on 11/17/2019;
- (5) 2,357 units are scheduled to vest on 11/17/2020; 2,357 units are scheduled to vest on 11/17/2021; 2,358 units are scheduled to vest on 11/17/2022.
- (6) The options become exercisable in five equal installments of 20% each beginning on the "Date Exercisable" shown to the right, and another 20% become exercisable 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.

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