

Stokes Russell  
Form 3  
September 11, 2018

**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 *		2. Date of Event Requiring Statement	3. Issuer Name and Ticker or Trading Symbol	
Stokes Russell		(Month/Day/Year)	GENERAL ELECTRIC CO [GE]	
(Last)	(First)	09/07/2018		
41 FARNSWORTH STREET			4. Relationship of Reporting Person(s) to Issuer	5. If Amendment, Date Original Filed(Month/Day/Year)
(Street)			(Check all applicable)	
BOSTON, MA 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
			Senior Vice President	

**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	181,894	D	

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. SEC 1473 (7-02)

**Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.**

**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 Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Title	Amount or Number of		

Edgar Filing: Stokes Russell - Form 3

				Shares		(I) (Instr. 5)	
Restricted Stock Units	Â <u>(2)</u>	Â <u>(2)</u>	Common Stock	15,000	\$ <u>(1)</u>	D	Â
Restricted Stock Units	Â <u>(3)</u>	Â <u>(3)</u>	Common Stock	14,400	\$ <u>(1)</u>	D	Â
Restricted Stock Units	Â <u>(4)</u>	Â <u>(4)</u>	Common Stock	16,000	\$ <u>(1)</u>	D	Â
Restricted Stock Units	Â <u>(5)</u>	Â <u>(5)</u>	Common Stock	32,000	\$ <u>(1)</u>	D	Â
Restricted Stock Units	Â <u>(6)</u>	Â <u>(6)</u>	Common Stock	22,400	\$ <u>(1)</u>	D	Â
Restricted Stock Units	Â <u>(7)</u>	Â <u>(7)</u>	Common Stock	116,700	\$ <u>(1)</u>	D	Â
Employee Stock Option (right to buy) <u>(8)</u>	09/09/2009	09/09/2018	Common Stock	12,500	\$ 28.12	D	Â
Employee Stock Option (right to buy) <u>(8)</u>	03/12/2010	03/12/2019	Common Stock	50,000	\$ 9.57	D	Â
Employee Stock Option (right to buy) <u>(8)</u>	07/23/2010	07/23/2019	Common Stock	50,000	\$ 11.95	D	Â
Employee Stock Option (right to buy) <u>(8)</u>	06/10/2011	06/10/2020	Common Stock	75,000	\$ 15.68	D	Â
Employee Stock Option (right to buy) <u>(8)</u>	06/09/2012	06/09/2021	Common Stock	100,000	\$ 18.58	D	Â
Employee Stock Option (right to buy) <u>(8)</u>	09/07/2013	09/07/2022	Common Stock	110,000	\$ 21.59	D	Â
Employee Stock Option (right to buy) <u>(8)</u>	09/13/2014	09/13/2023	Common Stock	125,000	\$ 23.78	D	Â
Employee Stock Option (right to buy) <u>(8)</u>	09/05/2015	09/05/2024	Common Stock	250,000	\$ 26.1	D	Â
Employee Stock Option (right to buy) <u>(8)</u>	09/11/2016	09/11/2025	Common Stock	117,000	\$ 24.95	D	Â
Employee Stock Option (right to buy) <u>(8)</u>	09/09/2017	09/09/2026	Common Stock	150,000	\$ 30.11	D	Â
Employee Stock Option (right to buy) <u>(8)</u>	09/06/2018	09/06/2027	Common Stock	200,000	\$ 24.92	D	Â
Employee Stock Option (right to buy) <u>(9)</u>	01/29/2019	01/29/2028	Common Stock	500,000	\$ 16.28	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Stokes Russell 41 FARNSWORTH STREET BOSTON, MA 02210	Â	Â	Â Senior Vice President	Â

## Signatures

Julia L. Chen on behalf of Russell  
Stokes 09/11/2018

\_\_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) 75,000 units granted on 7/24/2014; 15,000 units vested on 7/24/2015; 15,000 units vested on 7/24/2016; 15,000 units vested on 7/24/2017; 15,000 units vested on 7/24/2018; and 15,000 units are scheduled to vest on 7/24/2019.
- (3) 24,000 units granted on 9/11/2015; 4,800 units vested on 9/11/2016; 4,800 units vested on 9/11/2017; 4,800 units are scheduled to vest on 9/11/2018; 4,800 units are scheduled to vest on 9/11/2019; and 4,800 units are scheduled to vest on 9/11/2020.
- (4) 20,000 units granted on 9/9/2016; 4,000 units vested on 9/9/2017; 4,000 units are scheduled to vest on 9/9/2018; 4,000 units are scheduled to vest on 9/9/2019; 4,000 units are scheduled to vest on 9/9/2020; and 4,000 units are scheduled to vest on 9/9/2021.
- (5) 40,000 units granted on 2/10/2017; 8,000 units vested on 2/10/2018; 8,000 units are scheduled to vest on 2/10/2019; 8,000 units are scheduled to vest on 2/10/2020; 8,000 units are scheduled to vest on 2/10/2021; and 8,000 units are scheduled to vest on 2/10/2022.
- (6) 28,000 units granted on 9/6/2017; 5,600 units vested on 9/6/2018; 5,600 units are scheduled to vest on 9/6/2019; 5,600 units are scheduled to vest on 9/6/2020; 5,600 units are scheduled to vest on 9/6/2021; and 5,600 units are scheduled to vest on 9/6/2022.
- (7) 116,700 units granted on 2/26/2018; 38,900 units are scheduled to vest on 2/26/2019; 38,900 units are scheduled to vest on 2/26/2020; and 38,900 units are scheduled to vest on 2/26/2021.
- (8) The options become exercisable in five equal installments of 20% each beginning on the "Date Exercisable" shown to the right, and another 20% become exercisable each year thereafter.
- (9) The options become exercisable in one installment on 1/29/2021.

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.