

SEC Form 4

FORM 4

**UNITED STATES SECURITIES AND
 EXCHANGE COMMISSION**
 Washington, D.C. 20549

**STATEMENT OF CHANGES IN
 BENEFICIAL OWNERSHIP**

OMB APPROVED
OMB Number:
Estimated average burden hours per response:

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

Filed pursuant to Section 16(a) of the Securities
 Exchange Act of 1934
 or Section 30(h) of the Investment Company Act of
 1940

1. Name and Address of Reporting Person * <u>Timko Thomas S</u> (Last) (First) (Middle) GENERAL ELECTRIC COMPANY 5 NECCO STREET (Street) BOSTON MA 02210 (City) (State) (Zip)	2. Issuer Name and Ticker or Trading Symbol <u>GENERAL ELECTRIC CO [GE]</u>	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Or <input checked="" type="checkbox"/> Officer (give title below) Other (s) <u>Vice President</u>
	3. Date of Earliest Transaction (Month/Day/Year) <u>03/01/2023</u>	
4. If Amendment, Date of Original Filed (Month/Day/Year)		

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)
			Code	V	Amount	(A) or (D)	Price		
Common Stock	03/01/2023		M		3,417	A	\$0	28,846	D
Common Stock	03/01/2023		F		1,661	D	\$84.57	27,185	D
Common Stock								1,250	I

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
 (e.g., puts, calls, warrants, options, convertible securities)**

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	
				Code	V	(A)	(D)	Date Exercisable	Expiration Date				Title
Restricted Stock Units	(1)	03/01/2023		A		8,751		(2)	(2)	Common Stock	8,751	\$0	8,751
Restricted Stock Units	(1)	03/01/2023		M		3,417		03/01/2023	03/01/2023	Common Stock	3,417	\$0	3,417

Explanation of Responses:

- 1. Each Restricted Stock Unit represents a contingent right to receive one share of the issuer's common stock.
- 2. The Restricted Stock Units vest and the Employee Stock Options become exercisable, in two equal installments of 50% each, on the second and third anniversary of the grant date.

Remarks:

/s/ Brandon Smith, attorney in fact for Thomas S. Timko

03/02/23

** Signature of Reporting Person

Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

* If the form is filed by more than one reporting person, see Instruction 4 (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).

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person * <u>Strazik Scott</u> (Last) (First) (Middle) <u>GENERAL ELECTRIC COMPANY</u> <u>5 NECCO STREET</u> (Street) <u>BOSTON MA 02210</u> (City) (State) (Zip)	2. Issuer Name and Ticker or Trading Symbol <u>GENERAL ELECTRIC CO [GE]</u>	5. Relationship of Reporting Person(s) (Check all applicable) Director <input checked="" type="checkbox"/> Officer (give title below) <u>Senior Vice Pr</u>
	3. Date of Earliest Transaction (Month/Day/Year) <u>03/01/2023</u>	
4. If Amendment, Date of Original Filed (Month/Day/Year)		

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership For Direct (D) or Indirect (I) (Instr. 4)
			Code	V	Amount	(A) or (D)	Price		
Common Stock	03/01/2023		M		5,149	A	\$0	20,783	D
Common Stock	03/01/2023		F		2,518	D	\$84.57	18,265	D
Common Stock								9,587	I
Common Stock								5,243	I

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

1. Title of Security	2. Transaction Date	3. Transaction Code	3A Deemed Execution Date	4. Transaction Code	5. Number of Securities	6. Date Exercisable and Expiration Date	7. Title and Amount of Underlying Security	8. Price of Underlying Security	9. Number of Underlying Securities
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Derivative Security (Instr. 3)	Conversion or Exercise Price of Derivative	Date (Month/Day/Year)	Execution Date, (Month/Day/Year) (e.g.,	Transaction Code (Instr. 8)	Transaction Code V	Derivative Acquired (A) or Disposed of (D) (Instr. 2)(4 and 5)	Expiration Date (Month/Day/Year)	Date Exercisable	Expiration Date	Amount or Underlying Derivative Securities (Instr. 3 and 4)	Amount or Underlying Derivative Securities (Instr. 3 and 4)	Price of Derivative Security (Instr. 5)	Follow Reporting Person's Beneficial Ownership (Instr. 6)
Restricted Stock Units	(1)	03/01/2023		A	V	14,484		(2)	(2)	Common Stock	14,484	\$0	14
Employee Stock Option (right to buy)	\$2.85	03/01/2023		A	V	53,587		(2)	03/01/2023	Common Stock	53,587	\$0	53
Restricted Stock Units	(1)	03/01/2023		M	V	5,149		03/01/2023	03/01/2023	Common Stock	5,149	\$0	5

Explanation of Responses:

- Each Restricted Stock Unit represents a contingent right to receive one share of the issuer's common stock.
- The Restricted Stock Units vest and the Employee Stock Options become exercisable, in two equal installments of 50% each, on the second and third anniversary of the grant d

Remarks:

/s/ Brandon Smith, attorney in fact for Scott Strazik

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** Signature of Reporting Person

De

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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1. Name and Address of Reporting Person * <u>Stokes Russell</u> (Last) (First) (Middle) <u>GENERAL ELECTRIC COMPANY</u> <u>5 NECCO STREET</u> (Street) <u>BOSTON MA 02210</u> (City) (State) (Zip)	2. Issuer Name and Ticker or Trading Symbol <u>GENERAL ELECTRIC CO [GE]</u>	5. Relationship of Reporting Person(s) (Check all applicable) Director <input checked="" type="checkbox"/> Officer (give title below) <u>Senior Vice Pr</u>
	3. Date of Earliest Transaction (Month/Day/Year) <u>03/01/2023</u>	
4. If Amendment, Date of Original Filed (Month/Day/Year)		

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A Deemed Execution Date, if any (Month/Day/Year)	3. Derivative Securities Acquired, Disposed of, or Beneficially Owned (Instr. 8)	4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership For Direct (D) or Indirect (I) (Instr. 4)		
			Code (Instr. 8)	Amount (A) or (D)	Price			
Common Stock	03/01/2023		M	V	4,305	\$0	50,938	D
Common Stock	03/01/2023		F		2,033	\$84.57	48,905	D

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

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Owned Following Reporting Date (Instr. 6)	
				Code	V	(A)	(D)	Date Exercisable	Expiration Date				Title
Restricted Stock Units	(1)	03/01/2023		A		12,070		(2)	(2)	Common Stock	12,070	\$0	12
Employee Stock Option (right to buy)	\$82.85	03/01/2023		A		44,656		(2)	03/01/2023	Common Stock	44,656	\$0	44
Restricted Stock Units	(1)	03/01/2023		M		4,505		03/01/2023	03/01/2023	Common Stock	4,505	\$0	4

Explanation of Responses:

- Each Restricted Stock Unit represents a contingent right to receive one share of the issuer's common stock.
- The Restricted Stock Units vest and the Employee Stock Options become exercisable, in two equal installments of 50% each, on the second and third anniversary of the grant date.

Remarks:

/s/ Brandon Smith, attorney in fact for Russell Stokes

** Signature of Reporting Person

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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OMB /
OMB Number: Estimated average burden hours per response:

1. Name and Address of Reporting Person *	2. Issuer Name and Ticker or Trading Symbol	5. Relationship of Reporting Person(s) (Check all applicable)
<u>Slattery John S.</u>	<u>GENERAL ELECTRIC CO [GE]</u>	Director
	3. Date of Earliest Transaction (Month/Day/Year)	<input checked="" type="checkbox"/> Officer (give title below)

(Last) (First) (Middle)	03/01/2023	<input checked="" type="checkbox"/> Under (give title below) Executive Vice F
GENERAL ELECTRIC COMPANY 5 NECCO STREET	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (C) <input checked="" type="checkbox"/> Form filed by One Reporting Per Form filed by More than One Rep
(Street) BOSTON MA 02210		
(City) (State) (Zip)		

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership For Direct (D) or Indirect (I) (Instr. 4)
			Code	V	Amount	(A) or (D)	Price		
Common Stock	03/01/2023		M		7,723	A	\$0	14,636	D
Common Stock	03/01/2023		F		3,402	D	\$84.57	11,234	D

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

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 5)
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		
Restricted Stock Units	(1)	03/01/2023		A		7,242		(2)	(2)	Common Stock	7,242	\$0	7
Employee Stock Option (right to buy)	\$82.85	03/01/2023		A		26,794		(2)	03/01/2023	Common Stock	26,794	\$0	26
Restricted Stock Units	(1)	03/01/2023		M		7,723		03/01/2023	03/01/2023	Common Stock	7,723	\$0	7

Explanation of Responses:

- Each Restricted Stock Unit represents a contingent right to receive one share of the issuer's common stock.
- The Restricted Stock Units vest and the Employee Stock Options become exercisable, in two equal installments of 50% each, on the second and third anniversary of the grant date.

Remarks:

/s/ Brandon Smith, attorney in fact for John S. Slattery

** Signature of Reporting Person

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1. Name and Address of Reporting Person * <u>Holston Michael J</u> (Last) (First) (Middle) GENERAL ELECTRIC COMPANY 5 NECCO STREET (Street) BOSTON MA 02210 (City) (State) (Zip)	2. Issuer Name and Ticker or Trading Symbol <u>GENERAL ELECTRIC CO [GE]</u>	5. Relationship of Reporting Person(s) (Check all applicable) Director <input checked="" type="checkbox"/> Officer (give title below) <u>Senior Vice Pr</u>
	3. Date of Earliest Transaction (Month/Day/Year) <u>03/01/2023</u>	
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Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership For Direct (D) or Indirect (I) (Instr. 4)
			Code	V	Amount	(A) or (D)	Price		
Common Stock	03/01/2023		M		2,892	A	\$0	53,821	D
Common Stock	03/01/2023		F		1,372	D	\$84.57	52,449	D

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

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Owned Following Reporting Period (Instr. 5)	
				Code	V	(A)	(D)	Date Exercisable	Expiration Date				Title
Restricted Stock Units	(1)	03/01/2023		A		21,123		(2)	(2)	Common Stock	21,123	\$0	21
Employee Stock Option (right to buy)	\$82.85	03/01/2023		A		33,492		(2)	03/01/2033	Common Stock	33,492	\$0	33
Restricted Stock Units	(1)	03/01/2023		M		2,892		03/01/2023	03/01/2023	Common Stock	2,892	\$0	2

Explanation of Responses:

- Each Restricted Stock Unit represents a contingent right to receive one share of the issuer's common stock.
- The Restricted Stock Units vest and the Employee Stock Options become exercisable, in two equal installments of 50% each, on the second and third anniversary of the grant d

Remarks:

/s/ Brandon Smith, attorney in fact for Michael J. Holston

** Signature of Reporting Person

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1. Name and Address of Reporting Person * <u>Dybeck Happe Carolina</u> _____ (Last) (First) (Middle) <u>GENERAL ELECTRIC COMPANY</u> <u>5 NECCO STREET</u> _____ (Street) <u>BOSTON MA 02210</u> _____ (City) (State) (Zip)	2. Issuer Name and Ticker or Trading Symbol <u>GENERAL ELECTRIC CO [GE]</u>	5. Relationship of Reporting Person(s) (Check all applicable) Director <input checked="" type="checkbox"/> Officer (give title below) <u>Senior Vice Pr</u>
	3. Date of Earliest Transaction (Month/Day/Year) <u>03/01/2023</u>	
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1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Fo Direct (D) or Ind (I) (Instr. 4)
			Code	V	Amount	(A) or (D)	Price		
Common Stock	03/01/2023		M		5,257	A	\$0	8,684	D
Common Stock	03/01/2023		F		1,727	D	\$84.57	6,957	D

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Nur deriva Securi Benefi Ownet Follow Repor Trans: (Instr. 5)	
				Code	V	(A)	(D)	Date Exercisable	Expiration Date				Title
Restricted Stock Units	(1)	03/01/2023		A		12,070		(2)	(2)	Common Stock	12,070	\$0	12
Employee Stock Option (right to buy)	\$82.85	03/01/2023		A		44,656		(2)	03/01/2033	Common Stock	44,656	\$0	44
Restricted Stock Units	(1)	03/01/2023		M		5,257		03/01/2023	03/01/2023	Common Stock	5,257	\$0	5.

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)													
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned (Instr. 6)
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		
Restricted Stock Units	(1)	03/01/2023		A		20,519		(2)	(2)	Common Stock	20,519	\$0	20
Employee Stock Option (right to buy)	\$82.85	03/01/2023		A		31,259		(2)	03/01/2023	Common Stock	31,259	\$0	31
Restricted Stock Units	(1)	03/01/2023		M			3,154	03/01/2023	03/01/2023	Common Stock	3,154	\$0	3

Explanation of Responses:

- Each Restricted Stock Unit represents a contingent right to receive one share of the issuer's common stock.
- The Restricted Stock Units vest and the Employee Stock Options become exercisable, in two equal installments of 50% each, on the second and third anniversary of the grant d

Remarks:

/s/ Brandon Smith, attorney in fact for L. Kevin Cox

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** Signature of Reporting Person

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