

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>Strazik Scott</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% Owner <input checked="" type="checkbox"/> Officer (give title below) Other (specify) <u>Senior Vice President</u>
	3. Date of Earliest Transaction (Month/Day/Year) <u>05/10/2023</u>	
	4. If Amendment, Date of Original Filed (Month/Day/Year)	
Rule 10b5-1(c) Transaction Indication <input type="checkbox"/> Check this box to indicate that a transaction was made pursuant to a contract, instruction or written plan that is intended to satisfy the conditions of Rule 10b5-1(c). See Instruction 10.		

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	05/10/2023		M		31,848	A	\$0	52,301	D
Common Stock	05/10/2023		M		19,902	A	\$0	72,203	D
Common Stock	05/10/2023		M		76,731	A	\$0	148,934	D
Common Stock	05/10/2023		M		29,746	A	\$0	178,680	D
Common Stock	05/10/2023		M		9,334	A	\$0	188,014	D
Common Stock	05/10/2023		M		41,908	A	\$0	229,922	D
Common Stock	05/10/2023		S		173,873	D	\$99.56 ⁽¹⁾	56,049	D
Common Stock								9,580	I
Common Stock								5,239	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)
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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 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)		
Employee Stock Option (right to buy)	\$88.41	05/10/2023		M	11,848	(2) 03/19/2028	Common Stock	\$0	0		
Employee Stock Option (right to buy)	\$88.41	05/10/2023		M	19,902	(2) 03/19/2028	Common Stock	\$0	0		
Employee Stock Option (right to buy)	\$46.59	05/10/2023		M	76,731	(3) 12/21/2028	Common Stock	\$0	0		
Employee Stock Option (right to buy)	\$66.59	05/10/2023		M	29,746	(3) 03/19/2029	Common Stock	\$0	0		
Employee Stock Option (right to buy)	\$59.6	05/10/2023		M	9,334	(3) 04/11/2029	Common Stock	\$0	0		
Employee Stock Option (right to buy)	\$73.25	05/10/2023		M	41,908	(3) 03/02/2030	Common Stock	\$0	0		

Explanation of Responses:

- The price reported is a weighted average price. These shares were sold in multiple transactions ranging from \$99.27 to \$99.85, inclusive, in order to cover the option exercise price and in Reporting Person undertakes to provide to the Company, any security holder of the Company, or the staff of the Securities and Exchange Commission, upon request, full information regard purchased at each separate price within the range.
- The Employee Stock Options became exercisable in three equal installments, each on the first, second and third anniversary of the grant date.
- The Employee Stock Options became exercisable in two equal installments, each on the second and third anniversary of the grant date.

Remarks:

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

05/12/20

** 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).

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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