

24 AOUT 2022

NOTICE OF CLASS ACTION MEMORANDUM

DATE: AUGUST 15, 2022

SECURITY DESCRIPTION: GENERAL ELECTRIC CO /CHF/

ISIN: US3696041033

HEARING DATE: N/A

EXCLUSION DATE: N/A

PROOF OF CLAIM DEADLINE: OCTOBER 19, 2022

Enclosed for your consideration is a Notice of Pendency of Class Action, Proposed Settlement of Class Action, and Proof of Claim involving the above-mentioned security. Kindly note that if you wish to participate in the settlement, please complete the enclosed Proof of Claim and forward it together with any Supporting documentation if required, postmarked no later than: **OCTOBER 19, 2022**, to the following address.

CLAIMS ADMINISTRATOR:

**GENERAL ELECTRIC Fair Fund
Post Office Box 6978
Syracuse, NY 13217-6978
Telephone Number: 800-511-6120
Website: www.GEfairfund.com**

Contact your account representative if you require additional information relating to activity within your account during the class action period.

**Kind Regards,
Corporate Actions/Reorganization Department**

UNITED STATES OF AMERICA
SECURITIES AND EXCHANGE COMMISSION
ADMINISTRATIVE PROCEEDING
In the Matter of General Electric Company
File No. 3-20165
GE FAIR FUND NOTICE

Dear Investor:

This letter is to inform you of the existence of the General Electric Company ("GE") Fair Fund (the "GEFF") established by the U.S. Securities and Exchange Commission ("SEC") for the benefit of investors harmed by GE's alleged failure to disclose material information to investors related to two of its key reportable segments during the period from 2015 through 2017. The GEFF will compensate investors who purchased GE common stock between October 16, 2015 and January 16, 2018. If you acquired shares of GE common stock during this time period, you may be eligible to receive compensation in accordance with the provisions of GEFF's Distribution Plan approved by the SEC.

On the reverse side of this letter, a formal notice provides additional information regarding the GEFF. Please review the notice in detail and follow the instructions regarding how to apply for a recovery.

If you have any questions regarding the GEFF, please contact the Fund Administrator at www.GEfairfund.com or using one of the other methods detailed in the notice.

Sincerely,

RCB Fund Services LLC
GE Fair Fund Administrator

UNITED STATES OF AMERICA
SECURITIES AND EXCHANGE COMMISSION
ADMINISTRATIVE PROCEEDING
In the Matter of General Electric Company
FILE NO. 3-20165
GE FAIR FUND NOTICE



Fair Fund to Compensate Certain Investors in General Electric Common Stock

NOTICE: *The General Electric Company ("GE") Fair Fund ("GEFF") was established by the United States Securities and Exchange Commission ("SEC") to distribute the \$200 million in civil money penalties paid by GE to settle the SEC's charges for failing to disclose material information relating to its power and insurance businesses. The GEFF is intended to compensate investors who purchased shares of GE common stock through a U.S. stock exchange between October 16, 2015 and January 16, 2018. The compensation program is governed by a Plan of Distribution ("Plan") approved by the SEC on May 5, 2022. A copy of the Plan, which contains a description of eligibility and all conditions concerning participation in the distribution, can be found at: GEfairfund.com or sec.gov.*

Who is Eligible to Participate in the Fair Fund?

Any person or entity that purchased shares of GE common stock on a U.S. stock exchange during the period from October 16, 2015 through January 16, 2018, may be eligible for compensation from the GEFF subject to certain other eligibility limitations described in the Plan.

Eligible Security

General Electric Common Stock– (GE) CUSIP: 369604103

Determination of Recovery Amount

The amount of compensation shall be determined by reference to the plan of allocation included in the Plan and will vary based on the exact dates of transactions in GE common stock during the relevant period, the number of shares of GE common stock purchased and/or sold, and the total dollar value of eligible claims submitted to the GEFF.

If the sum of all approved claims exceeds the monies available for distribution, payments will be made on a *pro rata* basis, determined by the ratio of each approved claim to the aggregate amount of all approved claims. Consistent with the purpose of Section 21(d)(4) of the Securities and Exchange Act of 1934, no funds distributed from the GEFF may be used for payment of attorneys' fees or expenses.

How to Apply?

In order to be eligible for a recovery, you must submit a completed claim form and supporting documentation on or before the claims deadline. **The simplest and fastest way to participate is to file a claim online through the GEFF website: GEfairfund.com.** If for any reason you are not able to utilize the online filing portal, you may download and print a copy of the claim form from the website and mail the completed claim form to the GEFF at the address shown below. You may also ask the Fund Administrator to mail you a claim form by calling the toll free number (800) 511-6120, or by sending an email request to: info@GEfairfund.com

Claim Filing Deadline

Claim forms must be postmarked or submitted online no later than midnight EST on OCTOBER 19, 2022. If you need assistance in completing the claim form, please contact the Fund Administrator or visit GEfairfund.com.

APPLY NOW!

GE Fair Fund
P.O. Box 6978, Syracuse, NY 13217-6978

**THIS CLAIM FORM MUST
BE POSTMARKED ON OR
BEFORE 10/19/22**

UNITED STATES OF AMERICA
SECURITIES AND EXCHANGE COMMISSION
**GE FAIR FUND
CLAIM FORM**



Claim Forms may be submitted online by visiting the GE Fair Fund website. If you wish to complete and mail a paper Claim Form, please mail the Claim Form to GE Fair Fund, P.O. Box 6978, Syracuse, NY 13217-6978. If you need assistance in completing the Claim Form or if you have any questions, please contact our customer service department at (800) 511-6120 or visit the GE Fair Fund website at: www.GEfairfund.com.

INFORMATION ABOUT THE CLAIMANT

1. Beneficial Owner Information:

Name of Beneficial Owner: _____
First, Middle, Last or Entity Name (if the Beneficial Owner is a corporation, trust, estate, etc.)

Name of Joint Beneficial Owner, if any: _____
First, Middle, Last

If loss occurred in an IRA, name of **current** custodian: _____ Account # _____

2. Mailing / Contact Information:

Attention: _____

Mailing Address: _____

City: _____ State: _____ Zip Code: _____

Foreign Province: _____ Foreign Postal Code: _____

Country (if other than the United States): _____

Daytime Phone Number: _____ Cell Phone Number: _____

E-Mail Address: _____ Joint/Alternate Email: _____

3. Enter Social Security Number or Tax Identification Number ("EIN") in the appropriate box below.

SSN: Joint SSN: EIN:

If you are not a U.S. citizen, please include a copy of your passport or other identification.

Country: ID Type: ID #

4. Claimant Account Type (check appropriate box below):

Account Type: ☐ Individual / IRA ☐ Partnership ☐ Estate ☐ Trust ☐ LLC

☐ Joint Owners ☐ Corporation ☐ UGMA ☐ Other: _____

If you have investments through more than one Account Type, you must complete a separate Claim Form for each Account Type.

TRANSACTION INFORMATION

YOU MUST SUBMIT DOCUMENTATION TO SUPPORT THE INFORMATION BELOW. FAILURE TO PROVIDE PROPER DOCUMENTATION MAY RESULT IN THE REJECTION OF YOUR CLAIM.

5. GE COMMON STOCK HOLDINGS ON OCTOBER 15, 2015: _____

Enter total number of GE shares (CUSIP: 369604103) held as of the opening of trading on October 16, 2015. If none, write "0" or "Zero."

6. GE COMMON STOCK PURCHASES FROM OCTOBER 16, 2015 THROUGH APRIL 16, 2018:

List each purchase of GE common stock made after the opening of trading on October 16, 2015 through and including April 16, 2018. Please note that transactions in GE that were made pursuant to, or in connection with, a swap or another derivative instrument are not eligible.

Date(s) of Purchase (Trade Date) MM/DD/YYYY	Transaction Type Purchase <u>or</u> Transfer (Received)	Number of Shares Purchased <u>or</u> Transferred (Received)	Total Purchase Price	Cover a Short position? Y / N	Option Exercised or Assigned?*

7. GE COMMON STOCK SALES FROM OCTOBER 16, 2015 THROUGH APRIL 16, 2018:

List each sale and/or transfer of GE common stock made after the opening of trading on October 16, 2015 through and including April 16, 2018. Please note that transactions in GE common stock that were made pursuant to, or in connection with, a swap or another derivative instrument are not eligible.

Date(s) of Sale (Trade Date) MM/DD/YYYY	Transaction Type Sale <u>or</u> Transfer (Delivered)	Number of Shares Sold <u>or</u> Transferred (Delivered)	Total Sale Price	Short Sale? Y / N	Option Exercised or Assigned?*

* Options contracts to purchase or sell GE shares are not securities eligible for a recovery under the Plan. However, for purchases or sales of GE shares through the exercise of an option, the purchase/sale date is the exercise date of the call and the assignment date of the put, and the purchase/sale price is the strike price of the call at the time of exercise and the strike price of the put at the time of assignment.

8. GE COMMON STOCK HOLDINGS ON APRIL 16, 2018: _____

Enter total number of GE shares held as of the close of trading on April 16, 2018. If none, write "0" or "Zero."

9. PRIOR RECOVERY: Amount: _____ Source: _____

List the amount and source of any compensation that you received from another source (e.g., class action settlement) for losses from trading in GE common stock that resulted due to the same conduct described in the Order.

If you require additional space, please make copies of this schedule. Sign and print your name on each additional page.

You may also submit your claim form on-line by visiting our website: GEfairfund.com

CERTIFICATION AND RELEASE

Each of the undersigned represents and certifies UNDER PENALTY OF PERJURY that such person or entity:

1. Has provided accurate records pertaining to **all** transactions in GE common stock during the period from October 15, 2015 through April 16, 2018;
2. Is not and/or has not been:
 - a. The General Electric Company;
 - b. A current or former adviser or agent of the General Electric Company who participated in the conduct described in the Order;
 - c. A current or former employee of the General Electric Company or any of its affiliates who has been terminated for cause or has otherwise resigned, in connection with the conduct described in the Order;
 - d. A Person who served at any time from January 1, 2015, through the end of the Relevant Period as an officer or director of General Electric Company, or any subsidiary or affiliate of the General Electric Company;
 - e. A Person who, as of the Claims Bar Date, has been the subject of criminal charges related to the conduct described in the Order;
 - f. A firm, trust, corporation, or other entity in which General Electric Company and any assigns, creditors, heirs, distributees, spouses, parents, dependent children or controlled entities of any of the foregoing persons or entities has or had a controlling interest;
 - g. The Fund Administrator, its employees, and those persons assisting the Fund Administrator in its role as the Fund Administrator;
 - h. A purchaser or assignee of another Person's right to obtain a recovery from the Fair Fund for value; provided, however, that this provision shall not be construed to exclude those Persons who obtained such a right by gift, inheritance or devise.
3. Has not submitted any other claim covering the same transactions and holdings in GE common stock and knows of no other person having done so on the claimant's (claimants') behalf;
4. Agrees to provide such additional information with respect to the Claim Form as the SEC or the Fund Administrator may require;
5. Consents to the SEC's, the Fund Administrator's, and their respective agents' use of any of the information provided here including, but not limited to, Social Security Number (or Taxpayer Identification Number), address, telephone number, brokerage account and trading information in any way deemed appropriate in order to verify the claim or the claimant's identity; acknowledges that this information will not be sold to any third parties or used for any purpose other than the processing of this Claim Form;
6. If executing this Claim Form on behalf of a beneficial owner of the shares of GE common stock (e.g., person, corporation, partnership, trust), possesses all requisite power and authority to execute this Claim Form, to grant the release provided below, and to do all other things necessary and appropriate in connection with the submission of this Claim Form on behalf of the beneficial owner, with the same effect as if the beneficial owner were personally present and acting; and

I agree that under no circumstances shall the Fund Administrator or its agents incur any liability to me or to any other person if it makes a distribution in accordance with the list of Eligible Claimants as approved by the SEC and the Court and that I am enjoined from taking any action in contravention of this provision.

(continued on the next page)

(Certification and Release - continued from the previous page)

I (we) declare under penalty of perjury under the laws of the United States of America that the foregoing information supplied by the undersigned in this Claim Form is true, correct, and complete, and that all documents submitted in support of the foregoing information are true and correct copies of what they purport to be.

Executed this _____ day of _____, 202__ in _____, _____
(Date) (Month) (City) (State / Country)

Signature of Claimant	(Type /Print name of Claimant)
Signature of Joint Claimant	(Type / Print name of Joint Claimant)
Signature of Person signing on behalf of Claimant	(Type / print name of person signing on behalf of Claimant)
Capacity of person signing on behalf of Claimant (if other than an individual, e.g., Administrator, Executor, Trustee, President, Custodian, POA, etc.)	

- ☐ For legal representatives of the beneficial owner(s), you must provide proof of your authority to act on the beneficial owner's behalf with this Claim Form. Please check this box to indicate that you have attached documentation authorizing you to complete this Claim Form on behalf of the beneficial owner named above.

*Failure to sign the **Certification and Release** may result in a delay in processing or the rejection of your claim.*

How did you hear about the GE Fair Fund? (check one appropriate box below):

- ☐ Notice Received in the Mail or Email
- ☐ My Bank, Broker or Financial Institution
- ☐ Newspaper Ad
- ☐ Social Media
- ☐ Other: _____

CLAIM FORM INSTRUCTIONS

Information About the Claimant (Sections 1-4)

Please make sure you complete the requested information in Sections 1-4 in their entirety. The Claim Form must be completed by the beneficial owner of the shares of GE common stock (or his/her authorized legal representative) with respect to which the Claim Form is being filed. If there is more than one beneficial owner of the GE shares, all beneficial owners must be identified and all owners (or an authorized legal representative of such owners) must sign the Claim Form. Failure to provide any of the information requested may result in a delay in the processing of the claim or rejection of the claim.

Transaction Information (Sections 5-9)

In order to accurately compute the amount of your claim, we must have the information requested in this section. Please review and complete Sections 5-9 in their entirety, entering your relevant beginning and ending holdings of GE common stock, as well as all of your purchases and sales of GE common stock during the relevant period. If any of the transactions listed in Sections 6 or 7 were short sales or cover-short purchases, or transactions pursuant to the exercise/assignment of an options contract, please identify them for us.

Note: A Potential Claimant's Eligible Loss Amount will be reduced by the amount of any compensation for the loss that resulted from the conduct described in the complaint in this case that was received from another source (*e.g.*, class action settlement) to the extent it is known to the Fund Administrator. In addition, the GE Fair Fund cannot reimburse claimants for attorneys' fees or expenses incurred in connection with recovering their losses.

Supporting Documentation

Attach to your Claim Form documentation verifying the information provided in the Claim Form. Acceptable supporting documentation may include: (a) monthly account statements; (b) trade confirmation slips; (c) applicable year-end statement(s); (d) a signed letter from your broker on firm letterhead verifying the information you are providing; (e) a deposit or escrow receipt showing your holdings; or (f) other equivalent proof of your transactions.

Please be sure that the documentation confirms the details of your beginning and ending holdings in GE common stock (*i.e.*, your October 2015 brokerage statement showing all activity in your account relating to GE common stock and holding position in GE common stock; and your January 2018 and April 2018 brokerage statement showing all activity in your account relating to GE common stock and holding position in GE common stock at the end of the statement period), and all purchases and/or sales of GE common stock during the relevant period. Adequate identifying information (*i.e.*, your name and account number) must appear on all documentation submitted; handwritten modifications to the documentation or self-generated schedules or statements are not acceptable. Failure to provide full documentation for all requested holdings and transactions may delay the processing of or the invalidation of your claim.

Certification and Release (Pages 3-4)

You must read the Certification and Release and sign and date the signature page of the Claim Form. Your signature serves as a certification that the information provided in the Claim Form and any documentation provided in support of the Claim Form are true, accurate and complete.

- A legal representative of the beneficial owner(s) of GE (*e.g.*, executor, guardian, trustee, conservator, etc.) may sign the Certification and Release on behalf of the beneficial owner(s), as long as adequate proof of the representative's authority to act on behalf of the beneficial owner of GE common stock is provided with the Claim Form.
- If the shares of GE were jointly owned, all beneficial owners (or an authorized legal representative of such owners) must sign the Certification and Release.
- If the shares of GE were owned by an entity (*e.g.*, trust, estate, corporation, partnership, etc.) the Certification and Release must be signed by an individual authorized by such entity to execute the Claim Form, grant the certification and release provided, and to do all other things necessary in connection with the submission of the Claim Form. Please provide documentary evidence of the signer's authority with the Claim Form.

THIS CLAIM FORM MUST BE POSTMARKED ON OR BEFORE OCTOBER 19, 2022

REMINDER CHECKLIST

Before mailing your Claim Form, please read these reminders.

- 1) Your Claim Form must be submitted on-line or with a postmark on or before October 19, 2022. We cannot accept Claim Forms via email or fax. If you are submitting a paper Claim Form by mail, please direct the Claim Form to: **GE Fair Fund, P.O. Box 6978, Syracuse, NY 13217-6978**. If you wish to send your Claim Form via FedEx, UPS or a similar service, please direct the Claim Form to: **GE Fair Fund, c/o RCB Fund Services LLC, 17 Technology Place, Suite 1, East Syracuse, NY 13057**.

If you require proof of delivery, please use a service that provides tracking and delivery confirmation or submit your claim on our website.

- 2) If you submit your Claim electronically on our website, you **do not** need to mail us a hard copy.
- 3) Remember to carefully review and sign the Certification and Release beginning on page 3. If this Claim Form is being submitted on behalf of joint owners of GE common stock, then all owners must sign.
- 4) Remember to supply your Social Security Number or Tax Identification Number (or the foreign equivalents of such identifying information) and each joint owner's Social Security Number, if applicable. If you are not a U.S. citizen, please include a copy of your passport or other identification.
- 5) Be sure the required documentation is attached. All documentation must be legible and include your name, the account number, date of transaction, quantity, total transaction amount and security name or CUSIP. Do not send originals of any supporting documentation; **send copies**.
- 6) Be sure to keep copies of the completed Claim Form and supporting documentation for your records; we may not be able to supply them to you in the future.
- 7) You are responsible for notifying us of any changes in the information you submit, including changes of address or contact information. Please call us at (800) 511-6120 or email info@GEfairfund.com with your new contact information. Please include the Claim ID on any correspondence.

A Note about Providing your Social Security Number or Tax Identification Number:

We recognize the importance of keeping your personal information secure, and we do everything under our control to ensure this data is protected. We use the personal information that is collected only as necessary to administer your claim during the claim administration process. Your SSN or Tax ID is required before we are able to complete payments to eligible claimants.