FORM 4

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB Number: 3235-0287
Estimated average burden
hours per response: 0.5

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

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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*  BAGSHAW SETH H   |   |  |   |                                   |  | 2. Issuer Name <b>and</b> Ticker or Trading Symbol MKS INSTRUMENTS INC [ MKSI ]                          |     |  |   |                   |  |                       |                                    | 5. Relationship of Reporting Person<br>(Check all applicable)<br>Director<br>X Officer (give title   |   |       |  | ner<br>pecify  |  |
|--|---|--|---|-----------------------------------|--|--|-----|--|---|-------------------|--|-----------------------|------------------------------------|--|---|-------|--|--|--|
| (Last) (First) (Middle) C/O MKS INSTRUMENTS, INC. 2 TECH DRIVE, SUITE 201  |   |  |   |                                   |  | 3. Date of Earliest Transaction (Month/Day/Year) 01/21/2022  |     |  |   |                   |  |                       |                                    | Sr. VP, CFO & Treasurer  |   |       |  |  |  |
| (Street) ANDOVER MA 01810 (City) (State) (Zip)   |   |  |   |                                   | 4. If Amendment, Date of Original Filed (Month/Day/Year) |  |     |  |   |                   |  |                       | 6. Indiv                           | Individual or Joint/Group Filing (Check Applicable Line)  X Form filed by One Reporting Person  Form filed by More than One Reporting Person |   |       |  |  |  |
| Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned   |   |  |   |                                   |  |  |     |  |   |                   |  |                       |                                    |  |   |       |  |  |  |
| 1. Title of Security (Instr. 3)  2. Trans Date (Month/I  |   |  |   |                                   |  | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year   |     | Transaction Dis  |   |                   | urities Acquired (A) o<br>sed Of (D) (Instr. 3, 4 a                                  |                       |                                    |  |   | Form: |  | Nature of direct eneficial wnership nstr. 4)                       |  |
|  |   |  |   |                                   |  |  |     | Code   | v | Amount (A) or (D) |  | Price                 | Transaction(s)<br>(Instr. 3 and 4) |  |   |       | iiisti. 4)   |  |  |
| Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) |   |  |   |                                   |  |  |     |  |   |                   |  |                       |                                    |  |   |       |  |  |  |
| 1. Title of<br>Derivative<br>Security<br>(Instr. 3)  | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code (Instr. |  | 5. Number of<br>Derivative<br>Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and<br>5) |     | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |   |                   | 7. Title and Amoun<br>Securities Underlyi<br>Derivative Security<br>(Instr. 3 and 4) |                       | lying                              | 8. Price of<br>Derivative<br>Security<br>(Instr. 5)  | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s |       | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |
|  |   |  |   | Code                              | v  | (A)  | (D) | Date<br>Exercisab  |   | xpiration<br>ate  | Title  | Amou<br>Numb<br>Share | per of                             |  | (Instr. 4)  |       |  |  |  |
| Restricted<br>Stock Unit   | (1)   | 01/21/2022                                 |   | A                                 |  | 11,657.956   |     | (2)  |   | (2)               | Common<br>Stock  | 11,6                  | 57.956                             | (1)  | 38,208  | 3.599 | D  |  |  |

## **Explanation of Responses:**

- 1. Each restricted stock unit (RSU) represents the contingent right to receive one share of common stock of MKS Instruments, Inc.
- 2. These RSUs were subject to performance criteria, achievement of which was determined on January 21, 2022 and thereafter vest in three equal annual installments beginning on February 15, 2022, provided that if, in any vesting year, February 15th is not a business day, such vesting shall occur on the next business day.

/s/ M. Kathryn Rickards,

attorney-in-fact

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01/24/2022

\*\* 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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