SEC Form 4

FORM 4

obligations may continue. See Instruction 1(b).

Check this box if no longer subject to Section 16. Form 4 or Form 5

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL
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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 Addres	ss of Reporting Perso Robert	n*	2. Issuer Name and Ticker or Trading Symbol <u>MKS INSTRUMENTS INC</u> [MKSI]		tionship of Reporting Pers all applicable) Director Officer (give title	son(s) to Issuer 10% Owner Other (specify
(Last) (First) C/O MKS INSTRUMENTS, INC. 2 TECH DRIVE, SUITE 201		(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 02/15/2022		below) SVP & GM, V&A	below) Division
(Street) ANDOVER (City)	treet) NDOVER MA		4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line) X	idual or Joint/Group Filing Form filed by One Repo Form filed by More thar Person	orting Person

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. Transa Code (8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)		5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150.4)
Common Stock	02/15/2022		М		774	Α	(1)	4,436.1734	D	
Common Stock	02/15/2022		М		387	A	(1)	4,823.1734	D	
Common Stock	02/15/2022		F ⁽²⁾		342	D	\$152.55	4,481.1734	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. Transa Code (8)		of Deriv Secu Acqu (A) of Dispe of (D)	or oosed D) tr. 3, 4		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)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Restricted Stock Unit	(1)	02/15/2022		М			774	(3)	(3)	Common Stock	774	(1)	5,366.557	D	
Restricted Stock Unit	(1)	02/15/2022		М			387	(4)	(4)	Common Stock	387	(1)	4,979.557	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. This transaction was effected pursuant to a Rule 10b5-1 trading plan previously adopted by the reporting person.

3. These RSUs were subject to performance criteria, the 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.

4. These RSUs vest in three equal annual installments commencing 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

02/16/2022

** Signature of Reporting Person Date

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

 \star 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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