SEC Form 4

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

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

to Section 16.	. Form 4 or Form 5 ay continue. See b).		Filed pursuant to Section 16(a) of the Securities Exchange Act of 193 or Section 30(h) of the Investment Company Act of 1940	4	Estimated av hours per re	verage burden sponse: 0.5
1. Name and Address of Reporting Person [*] <u>Warner Michelle M</u>		g Person [*]	2. Issuer Name and Ticker or Trading Symbol <u>MKS INSTRUMENTS INC</u> [MKSI]	5. Relationship of (Check all applica X Director	ble)	10% Owner
(Last) C/O MKS INS		·	3. Date of Earliest Transaction (Month/Day/Year) 05/11/2021	- Officer (g below)	jive title	Other (specify below)
2 TECH DRIVE, SUITE 201			4. If Amendment, Date of Original Filed (Month/Day/Year)	Line)	•	g (Check Applicable
(Street)	МА	01810			d by One Rep	•
			—	Person	d by More that	n One Reporting
(City)	(State)	(Zip)	arivative Securities Acquired Disposed of or Rene			

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)			4. Securities A Disposed Of (1 5)		3, 4 and	5. Amount of Securities Beneficially Owned Following Reported	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)		(1130.4)
Common Stock	05/11/2021		A ⁽¹⁾		1,146.789	Α	(2)	5,115.883	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		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)	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				

Explanation of Responses:

1. These restricted stock units become fully vested on the day prior to the first annual meeting of shareholders following the date of grant (or if no such meeting is held within 13 months after the date of grant, on the 13 month anniversary of the date of grant).

2. Each restricted stock unit represents the contingent right to receive one share of common stock of MKS Instruments, Inc.

/s/ M. Kathryn Rickards,

attorney-in-fact

05/12/2021

** 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.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.