| SEC Form 4 |
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### FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

# OMB APPROVAL

| OMB Number:         | 3235-0287 |
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| Estimated average b | urden     |
| hours per response: | 0.5       |

| 1. Name and Addre                                    | ess of Reporting Pers | on*      | 2. Issuer Name <b>and</b> Ticker or Trading Symbol<br><u>MKS INSTRUMENTS INC</u> [ MKSI ] | (Check            | 5. Relationship of Reporting Person(s) to Issu<br>(Check all applicable) |                 |  |  |  |
|--|-----------------------|----------|---|-------------------|--|-----------------|--|--|--|
|  | <u>SERVICE</u>        |          |   |                   | Director   | 10% Owner       |  |  |  |
|  |                       |          |   |                   | Officer (give title  | Other (specify  |  |  |  |
| (Last)   | (First)               | (Middle) | 3. Date of Earliest Transaction (Month/Day/Year)  |                   | below)   | below)          |  |  |  |
|  |                       |          | 11/04/2021  |                   |  |                 |  |  |  |
| C/O MKS INS.   | I RUMEN I S, INC      | •        |   |                   |  |                 |  |  |  |
| C/O MKS INSTRUMENTS, INC.<br>2 TECH DRIVE, SUITE 201 |                       |          |   | <u> </u>          |  |                 |  |  |  |
|  |                       |          | 4. If Amendment, Date of Original Filed (Month/Day/Year)                                  | 6. Indiv<br>Line) | vidual or Joint/Group Filing (Check Applicable                           |                 |  |  |  |
| (Street)   |                       |          |   | X                 | Form filed by One Rep  | orting Person   |  |  |  |
| ANDOVER  | MA                    | 01810    |   |                   | Form filed by More tha<br>Person   | n One Reporting |  |  |  |
| (City)   | (State)               | (Zip)    |   |                   |  |                 |  |  |  |

#### Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction<br>Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code (Instr.<br>8) |   |        |               |                           | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |  |
|---------------------------------|--|---|---|---|--------|---------------|---------------------------|--|--|---|--|--|
|                                 |  |   | Code                                    | v | Amount | (A) or<br>(D) | Price                     | Reported<br>Transaction(s)<br>(Instr. 3 and 4)                   |  |   |  |  |
| Common Stock                    | 11/04/2021                                 |   | s                                       |   | 3,000  | D             | \$155.1625 <sup>(1)</sup> | 97,000   | Ι  | By The<br>Gerald<br>G.<br>Colella<br>Living<br>Trust              |  |  |
| Common Stock                    |  |   |   |   |        |               |                           | 1,148.636  | D  |   |  |  |

# Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

|   | (c.g., p |   |  |   |   | its, cans, warrants, options, convertible securities) |   |     |                     |                    |   |  |   |  |  |  |
|---|----------|---|--|---|---|---|---|-----|---------------------|--------------------|---|--|---|--|--|--|
| Security or Exer<br>(Instr. 3) Price of<br>Derivation |          | 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.<br>8) |   | 5. Number<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3, 4<br>and 5) |     | Expiration Date     |                    | 7. Title and<br>Amount of<br>Securities<br>Underlying<br>Derivative<br>Security (Instr.<br>3 and 4) |  | 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)<br>(Instr. 4) | 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>Exercisable | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares |   |  |  |  |

Explanation of Responses:

1. This transaction was executed in multiple trades at prices ranging from \$153.03 to \$156.95. The price reported above reflects the weighted average sale price. The reporting person hereby undertakes to provide, upon request, the full information regarding the number of shares and prices at which the transaction was effected.

<u>/s/ M. Kathryn Rickards,</u> 11/05/2021

attorney-in-fact

\*\* 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.