

MKS INSTRUMENTS INC

Form 4

February 16, 2017

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 OF
SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section
30(h) of the Investment Company Act of 1940

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
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(Print or Type Responses)

1. Name and Address of Reporting Person *
Lee John Tseng-Chung

(Last) (First) (Middle)

2 TECH DRIVE

(Street)

ANDOVER, MA 01810

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol

MKS INSTRUMENTS INC [MKSI]

3. Date of Earliest Transaction
(Month/Day/Year)

02/15/2017

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

____ Director ____ 10% Owner
____X____ Officer (give title ____ Other (specify
below) below)

Sr. VP & COO

6. 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. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | | | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 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 | | | |
| Common Stock | 02/15/2017 | | M | | 3,780 | A 11 | 8,880.753 | D | |
| Common Stock | 02/15/2017 | | M | | 3,073 | A 11 | 11,953.753 | D | |
| Common Stock | 02/15/2017 | | M | | 5,217 | A 11 | 17,170.753 | D | |
| Common Stock | 02/15/2017 | | M | | 4,013 | A 11 | 21,183.753 | D | |
| Common Stock | 02/15/2017 | | F 2 | | 6,449 | D \$ 67.7 | 14,734.753 | D | |

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

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SEC 1474
(9-02)

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. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Security (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
| | | | | Code | V (A) (D) | Date Exercisable Expiration Date | Title Amount Number of Shares |
| Restricted Stock Unit | <u>(1)</u> | 02/15/2017 | | A | 11,078.287 | <u>(3)</u> <u>(3)</u> | Common Stock 11,078.287 |
| Restricted Stock Unit | <u>(1)</u> | 02/15/2017 | | A | 7,385.524 | <u>(4)</u> <u>(4)</u> | Common Stock 7,385.524 |
| Restricted Stock Unit | <u>(1)</u> | 02/15/2017 | | M | 3,780 | <u>(5)</u> <u>(5)</u> | Common Stock 3,780 |
| Restricted Stock Unit | <u>(1)</u> | 02/15/2017 | | M | 3,073 | <u>(6)</u> <u>(6)</u> | Common Stock 3,073 |
| Restricted Stock Unit | <u>(1)</u> | 02/15/2017 | | M | 5,217 | <u>(7)</u> <u>(7)</u> | Common Stock 5,217 |
| Restricted Stock Unit | <u>(1)</u> | 02/15/2017 | | M | 4,013 | <u>(8)</u> <u>(8)</u> | Common Stock 4,013 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|--------------|-------|
| | Director | 10% Owner | Officer | Other |
| Lee John Tseng-Chung 2 TECH DRIVE ANDOVER, MA 01810 | | | Sr. VP & COO | |

Signatures

/s/ M. Kathryn Rickards,
attorney-in-fact

02/16/2017

__Signature of Reporting Person

Date

Explanation of Responses:

* 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).

(1) Each restricted stock unit 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.

These RSUs are subject to the achievement of performance criteria determined in the first year of grant and thereafter vest in three equal

(3) annual installments beginning on February 15, 2018, 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, 2018, provided that if, in any vesting year, February 15th is not a business day, such vesting shall occur on the next business day.

These RSUs are subject to the achievement of performance criteria determined in the first year of grant and thereafter vest in three equal

(5) annual installments beginning on February 15, 2016, provided that if, in any vesting year, February 15th is not a business day, such vesting shall occur on the next business day.

(6) These RSUs vest in three equal annual installments commencing on February 15, 2016, provided that if, in any vesting year, February 15th is not a business day, such vesting shall occur on the next business day.

These RSUs are subject to the achievement of performance criteria determined in the first year of grant and thereafter vest in three equal

(7) annual installments beginning on February 15, 2017, provided that if, in any vesting year, February 15th is not a business day, such vesting shall occur on the next business day.

(8) These RSUs vest in three equal annual installments commencing on February 15, 2017, provided that if, in any vesting year, February 15th is not a business day, such vesting shall occur on the next business day.

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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