MKS INSTRUMENTS INC

Form 4 May 11, 2017

FORM 4

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

OMB 3235

Check this box if no longer STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

Number: 3235-0287 Expires: January 31, 2005

OMB APPROVAL

if no longer subject to Section 16. Form 4 or

P OF Estimated average

5. Relationship of Reporting Person(s) to

(Check all applicable)

Issuer

SECURITIES SECURITIES

burden hours per response... 0.5

Form 5 obligations may continue. *See* Instruction

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

2. Issuer Name and Ticker or Trading

MKS INSTRUMENTS INC [MKSI]

Symbol

1(b).

(Print or Type Responses)

BERTUCCI JOHN R

1. Name and Address of Reporting Person *

(Last)	(First)	(Middle)	3. Date of	of Earliest T	ransaction			`	••		
2 TECH DRIVE			(Month/Day/Year) 05/10/2017				-	X Director Officer (give below)	title 0ther (specify below)		
	(Street)	Street) 4. If Amendment, Date Original Filed(Month/Day/Year)				1	6. Individual or Joint/Group Filing(Check Applicable Line) _X_Form filed by One Reporting Person				
ANDOVE	R, MA 01810					Form filed by More than One Reporting Person					
(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned											
1.Title of Security (Instr. 3)	2. Transaction Dat (Month/Day/Year) 05/10/2017		Date, if	3. Transactic Code (Instr. 8)	4. Securities on Disposed of (Instr. 3, 4 and Amount 1,988.812	of (D)	Price	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)	
Stock	33,137,231,			·	1,500,012	11	_			By Claire R. Bertucci	
Stock								158,441	I	2016 Qualified Annuity Trust	
Common Stock								68,000	I	By Claire R. Bertucci	

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			2016 Second Qualified Annuity Trust
Common Stock	169,722	I	By John R. Bertucci 2016 Qualified Annuity Trust
Common Stock	38,782	I	By John R. Bertucci 2016 Second Qualified Annuity Trust
Common Stock	79,400	I	By Spouse

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	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	cisable and	7. Titl	le and	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transacti	onNumber Expiration Date		Amou	int of	Derivative	Deriv	
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Under	rlying	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivativ	e		Secur	ities	(Instr. 5)	Bene
Derivative					Securities		(Instr. 3 and 4)		Own		
	Security				Acquired						Follo
					(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						
					4, and 5)						
									Amount		
									or		
						Date Exercisable	Expiration Date	Title N	Number		
									of		
				Code V	(A) (D)				Shares		

Reporting Owners

Reporting Owner Name / Address

Director 10% Owner Officer Other

BERTUCCI JOHN R 2 TECH DRIVE X ANDOVER, MA 01810

Signatures

/s/ M. Kathryn Rickards, attorney-in-fact 05/11/2017

**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).
- 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.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.

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