BERTUCCI JOHN R

Form 4 May 04, 2018

FORM 4

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

OMB Number:

3235-0287

Expires:

5. Relationship of Reporting Person(s) to

(Check all applicable)

Issuer

January 31, 2005

0.5

Estimated average burden hours per

OMB APPROVAL

response...

if no longer subject to Section 16. Form 4 or Form 5 obligations

Check this box

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

2. Issuer Name and Ticker or Trading

3. Date of Earliest Transaction

MKS INSTRUMENTS INC [MKSI]

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

may continue. 30(h) of the Investment Company Act of 1940 See Instruction

Symbol

1(b).

(Last)

(Print or Type Responses)

BERTUCCI JOHN R

1. Name and Address of Reporting Person *

(First)

(Middle)

2 TECH DRIVE (Month/ 05/02/2		h/Day/Year) 2/2018					_X_ Director 10% Owner Officer (give title below) Other (specify below)				
			endment, Date Original nth/Day/Year)					6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person			
ANDOVER, 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 Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Trans. Code (Instr.	8)	4. Securitin(A) or Dis (D) (Instr. 3, 4)	sposed	l of	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)	
Common Stock	05/02/2018		G	V	60,996	D	\$ 0	0	I	By John R. Bertucci 2016 Qualified Annuity Trust (1)	
Common Stock	05/02/2018		G	V	68,336	D	\$ 0	0	I	By Claire R. Bertucci 2016 Qualified Annuity Trust (2)	

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Reminder: Report on a separate line for each class of securities bene	ction of are not	SEC 1474 (9-02)	
Common Stock Reminder: Report on a separate line for each class of securities benefits	186,505	I	By Spouse
Common Stock	27,782	I	By John R. Bertucci 2016 Second Qualified Annuity Trust
Common Stock	51,000	I	By Claire R. Bertucci 2016 Second Qualified Annuity Trust
Common Stock	197,248.102	D	

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

number.

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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. Transact Code (Instr. 8)	5. ionNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	7. Titl Amou Under Securi (Instr.	nt of lying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

Reporting Owners

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		

Reporting Owners 2

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BERTUCCI JOHN R 2 TECH DRIVE X ANDOVER, MA 01810

Signatures

/s/ M. Kathryn Rickards, attorney-in-fact 05/04/2018

**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).
- The reporting person's 2016 Grantor Retained Annuity Trust terminated. On May 2, 2018, 60,996 shares in this trust were transferred to (1) the reporting person's beneficiaries and the remaining 25,976 shares were distributed to the reporting person and are reported in this Form 4 as directly owned by the reporting person.
- The reporting person's spouse's 2016 Grantor Retained Annuity Trust terminated. On May 2, 2018, 68,336 shares in this trust were (2) transferred to the reporting person's spouse's beneficiaries and the remaining 19,355 shares were distributed to the reporting person's spouse and continue to be reported in this Form 4 as indirectly owned by the reporting person's spouse.

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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