

BERTUCCI JOHN R

Form 4

May 04, 2018

**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

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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
BERTUCCI JOHN R

2. Issuer Name **and** Ticker or Trading  
Symbol  
MKS INSTRUMENTS INC [MKSI]

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

(Last) (First) (Middle)

2 TECH DRIVE

3. Date of Earliest Transaction  
(Month/Day/Year)  
05/02/2018

☒ Director ☐ 10% Owner  
☐ Officer (give title below) ☐ Other (specify below)

(Street)

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

6. Individual or Joint/Group Filing(Check  
Applicable Line)

☒ Form filed by One Reporting Person  
☐ Form filed by More than One Reporting  
Person

ANDOVER, MA 01810

(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. 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)
Common Stock	05/02/2018		G	V 60,996 D \$ 0 0		I	
Common Stock	05/02/2018		G	V 68,336 D \$ 0 0		I	

By John R.  
Bertucci  
2016  
Qualified  
Annuity  
Trust <sup>(1)</sup>

By Claire  
R. Bertucci  
2016  
Qualified  
Annuity  
Trust <sup>(2)</sup>

# Edgar Filing: BERTUCCI JOHN R - Form 4

Common Stock	197,248.102	D	
Common Stock	51,000	I	By Claire R. Bertucci 2016 Second Qualified Annuity Trust
Common Stock	27,782	I	By John R. Bertucci 2016 Second Qualified Annuity Trust
Common Stock	186,505	I	By Spouse

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

**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 control number.**

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 Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr
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Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Code	V	(A)	(D)

## Reporting Owners

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

BERTUCCI JOHN R  
2 TECH DRIVE  
ANDOVER, MA 01810

X

## 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.

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