

Werth Dennis L
Form 4
December 18, 2017

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
Werth Dennis L

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, SUITE 201

3. Date of Earliest Transaction (Month/Day/Year)
12/14/2017

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

Sr. VP, Business Units

(Street)

ANDOVER, MA 01810

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

(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 Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
Common Stock	12/14/2017		M		4,199	A	\$ 27.79
Common Stock	12/14/2017		S		1,617	D	\$ 95.615
Common Stock	12/14/2017		D ⁽¹⁾		1,220	D	\$ 95.65
Common Stock	12/14/2017		F ⁽²⁾		1,362	D	\$ 95.65
Common Stock	12/15/2017		M		5,911	A	\$ 27.89

Edgar Filing: Werth Dennis L - Form 4

Common Stock	12/15/2017	S	2,022	D	\$ 97.9	3,889	D	
Common Stock	12/15/2017	D ⁽¹⁾	1,682	D	\$ 98	2,207	D	
Common Stock	12/15/2017	F ⁽²⁾	2,207	D	\$ 98	0	D	
Common Stock						7,995.437	I	By The Werth Family Trust

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)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Appreciation Right	\$ 27.79	12/14/2017		M	4,199	<u>(3)</u>	05/17/2018	Common Stock	4,199
Stock Appreciation Right	\$ 27.89	12/15/2017		M	5,911	<u>(4)</u>	04/12/2019	Common Stock	5,911

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Werth Dennis L 2 TECH DRIVE SUITE 201			Sr. VP, Business Units	

ANDOVER, MA 01810

Signatures

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

12/18/2017

__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) Reflects the disposition of shares to the issuer deemed to occur upon the exercise of a stock appreciation right.
- (2) Shares have been withheld in satisfaction of reporting person's tax withholding obligations resulting from the exercise of stock appreciation rights.
- (3) The stock appreciation right became fully vested on March 31, 2014.
- (4) The stock appreciation right became fully vested on March 31, 2015.

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.