

BERTUCCI JOHN R  
Form 4  
October 11, 2018

**FORM 4**

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

OMB APPROVAL

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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 \*  
BERTUCCI JOHN R

(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)

10/09/2018

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

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

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	(D)	Price
Common Stock	10/09/2018		G	V	13,732	D	\$ 0 0
Common Stock	10/09/2018		G	V	28,250	D	\$ 0 0

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



## Edgar Filing: BERTUCCI JOHN R - Form 4

The reporting person's 2016 Second Grantor Retained Annuity Trust terminated. On October 9, 2018, 13,732 shares in this trust were transferred to the reporting person's beneficiaries and the remaining 14,050 shares were distributed to the reporting person and are reported in this Form 4 as directly owned by the reporting person.

- (2) The reporting person's spouse's 2016 Second Grantor Retained Annuity Trust terminated. On October 9, 2018, 28,250 shares in this trust were transferred to the reporting person's spouse's beneficiaries and the remaining 22,750 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.