Instruction 1(b).

FORM 4

## **UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

| Washington, | D.C. | 20549 |
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| Check this box if no longer subject to Section 16. Form 4 or Form 5 | STATEMENT OF |
|---------------------------------------------------------------------|--------------|
| obligations may continue. See                                       |              |

## **CHANGES IN BENEFICIAL OWNERSHIP**

OMB APPROVAL 3235-0287 Estimated average burden hours per response: 0.5

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

| Name and Address of Reporting Person*     Warner Michelle M   |                                                                                     |                       |         |                             |                                                                                                                      | 2. Issuer Name and Ticker or Trading Symbol  MKS INSTRUMENTS INC [ MKSI ] |                                             |                                                                |                                                                |             |                                                                                                  |         |                                                             |                                                                                   | ieck all ap<br>X Dire                          | tionship of Reportir<br>all applicable)<br>Director |                                                                          | 10% O                                                              | wner |
|---------------------------------------------------------------|-------------------------------------------------------------------------------------|-----------------------|---------|-----------------------------|----------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------|---------------------------------------------|----------------------------------------------------------------|----------------------------------------------------------------|-------------|--------------------------------------------------------------------------------------------------|---------|-------------------------------------------------------------|-----------------------------------------------------------------------------------|------------------------------------------------|-----------------------------------------------------|--------------------------------------------------------------------------|--------------------------------------------------------------------|------|
| (Last)                                                        | (Fir                                                                                | st) (t<br>MENTS, INC. | Middle) |                             | 3. Date of Earliest Transaction (Month/Day/Year)  05/11/2020  Officer (give title below)  below)  Other (specibelow) |                                                                           |                                             |                                                                |                                                                |             |                                                                                                  |         |                                                             |                                                                                   |                                                | specify                                             |                                                                          |                                                                    |      |
| 2 TECH DRIVE, SUITE 201                                       |                                                                                     |                       |         |                             | 4. If Amendment, Date of Original Filed (Month/Day/Year)                                                             |                                                                           |                                             |                                                                |                                                                |             |                                                                                                  |         | 6. Individual or Joint/Group Filing (Check Applicable Line) |                                                                                   |                                                |                                                     |                                                                          |                                                                    |      |
| (Street)                                                      | ER M                                                                                | A 0                   | 1810    |                             |                                                                                                                      |                                                                           |                                             |                                                                |                                                                |             |                                                                                                  |         | X For                                                       | Form filed by One Reporting Person  Form filed by More than One Reporting  Person |                                                |                                                     |                                                                          |                                                                    |      |
| (City)                                                        | (St                                                                                 | ate) (2               | Zip)    |                             |                                                                                                                      |                                                                           |                                             |                                                                |                                                                |             |                                                                                                  |         |                                                             |                                                                                   |                                                |                                                     |                                                                          |                                                                    |      |
|                                                               |                                                                                     | Table                 | I - No  | n-Deriva                    | tive S                                                                                                               | Secu                                                                      | rities                                      | Acq                                                            | uired,                                                         | , Dis       | posed of                                                                                         | , or I  | Bene                                                        | eficia                                                                            | lly Ow                                         | ned                                                 |                                                                          |                                                                    |      |
| 1. Title of Security (Instr. 3)  2. Transact Date (Month/Day) |                                                                                     |                       |         | Execution<br>y/Year) if any |                                                                                                                      |                                                                           | cution Date,                                |                                                                | 3. Transaction Code (Instr. 8)  4. Securitie Disposed Code (5) |             |                                                                                                  |         |                                                             | d Secu<br>Bene<br>Own                                                             | nount of<br>rities<br>ficially<br>ed Following | Form<br>(D) o                                       | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4)        | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4)  |      |
|                                                               |                                                                                     | Code V Amount (A) (D) |         |                             |                                                                                                                      |                                                                           |                                             | () or<br>()                                                    | Price                                                          | Trans       | Reported<br>Transaction(s)<br>(Instr. 3 and 4)                                                   |         |                                                             | (111511.4)                                                                        |                                                |                                                     |                                                                          |                                                                    |      |
| Common Stock 05/11/2                                          |                                                                                     |                       |         |                             | 2020                                                                                                                 |                                                                           |                                             | A <sup>(1)</sup>                                               |                                                                | 1,988.665 A |                                                                                                  | A       | (2)                                                         | 3,969.094                                                                         |                                                |                                                     | D                                                                        |                                                                    |      |
|                                                               |                                                                                     | Tal                   |         |                             |                                                                                                                      |                                                                           |                                             |                                                                | ,                                                              |             | osed of, convertib                                                                               |         |                                                             |                                                                                   | •                                              | ed                                                  |                                                                          |                                                                    |      |
| 1. Title of<br>Derivative<br>Security<br>(Instr. 3)           | rivative Conversion Date Execution Date, curity or Exercise (Month/Day/Year) if any |                       |         |                             | Transaction of Code (Instr. Derivativ                                                                                |                                                                           | vative<br>rities<br>nired<br>r<br>osed<br>) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                                                                |             | 7. Title and<br>Amount of<br>Securities<br>Underlying<br>Derivative<br>Security (Ins<br>3 and 4) |         | nstr.                                                       | 8. Price o<br>Derivative<br>Security<br>(Instr. 5)                                |                                                | e<br>s<br>ally<br>g                                 | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |      |
|                                                               |                                                                                     |                       |         |                             | Code                                                                                                                 | v                                                                         | (A)                                         | (D)                                                            | Date<br>Exercisable                                            |             | Expiration<br>Date                                                                               | ation o |                                                             | res                                                                               |                                                |                                                     |                                                                          |                                                                    |      |

## **Explanation of Responses:**

- 1. 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.

/s/ M. Kathryn Rickards, 05/12/2020 attorney-in-fact

\*\* Signature of Reporting Person Date

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

- \* 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.