

MKS INSTRUMENTS INC

Form 3

March 06, 2014

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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 *

Â Quirk Brian Charles

(Last) (First) (Middle)

2 TECH DRIVE, SUITE 201

(Street)

ANDOVER,Â MAÂ 01810

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

03/01/2014

3. Issuer Name and Ticker or Trading Symbol
MKS INSTRUMENTS INC [MKSII]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

Sr. VP, Global Operations

5. 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**Table I - Non-Derivative Securities Beneficially Owned**1. Title of Security
(Instr. 4)2. Amount of Securities Beneficially Owned
(Instr. 4)3. Ownership Form:
Direct (D)
or Indirect (I)
(Instr. 5)4. Nature of Indirect Beneficial Ownership
(Instr. 5)

Common Stock

3,152.635

D Â

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

SEC 1473 (7-02)

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.

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)1. Title of Derivative Security
(Instr. 4)2. Date Exercisable and Expiration Date
(Month/Day/Year)

Date Exercisable

Expiration Date

3. Title and Amount of Securities Underlying Derivative Security
(Instr. 4)

Title

Amount or Number of

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:
Direct (D)
or Indirect6. Nature of Indirect Beneficial Ownership
(Instr. 5)

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				Shares		(I) (Instr. 5)	
Restricted Stock Unit	Â (1)	Â (1)	Common Stock	17,040.25	\$ (2)	D	Â
Restricted Stock Unit	Â (3)	Â (3)	Common Stock	14,428.831	\$ (2)	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Quirk Brian Charles 2 TECH DRIVE, SUITE 201 ANDOVER, MA 01810	Â	Â	Â Sr. VP, Global Operations	Â

Signatures

/s/Renee M.
Donlan POA 03/06/2014

Signature of Reporting Person Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(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 RSUs vest in equal annual installments over three years from the respective original grant date. The amount above comprises of:

(1) 2,113.136 which was granted on April 11, 2011; 4,938.407 which was granted on April 2, 2012; 3,962.536 which was granted on February 25, 2013; and 6,026.171 on February 10, 2014.

(2) Each restricted stock unit represents the contingent right to receive one share of common stock of MKS Instruments, Inc.

These RSUs are subject to the achievement of performance criteria determined in the first year of the grant and thereafter vests in equal

(3) annual installments of over three years from the respective original grant date. The amount above comprises of 5,389.575 which was granted on February 25, 2013 and 9,039.256 on February 10, 2014.

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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