MKS INSTRUMENTS, INC.
CORPORATE SOCIAL RESPONSIBILITY
A FOUNDATION OF INTEGRITY & TRUST
At MKS, our vision is to enable technologies that transform our world. We have a long history of leveraging our collective curiosity to understand and develop solutions that enable progress, as well as enabling economic development, by solving the technology challenges of tomorrow.

The MKS mission is to be the innovation leader and trusted partner who pushes the boundaries of possibility. Our success has been built upon our ability to work closely with our customers to understand their critical issues and then develop the appropriate solutions together.

Relationships matter, and we build ours on a solid foundation of integrity and trust. How we run our business, including our Corporate Social Responsibility (CSR) activities, is directly related to our core values and our stakeholder expectations. Our MKS CSR Management System helps guide how we deliver on our objectives in an ethical and sustainable way for our employees, customers, suppliers and shareholders. It outlines our CSR governance structure, how we manage our CSR program, our high-level focus areas, and our annual CSR strategy process. We ensure these activities are aligned and supported across our organization. Our four guiding principles of “win as a team,” “innovation is a core capability,” “enabling sustainable & profitable growth,” and “own it” are the values that we aspire to live and work by every day.

Our leadership approach is based on our commitment to conduct business with the highest standards of integrity.

“Our leadership approach is based on our commitment to conduct business with the highest standards of integrity.”

John T.C. Lee
President & Chief Executive Officer
At MKS, we have a long history of leveraging our collective curiosity to understand and develop solutions that are at the core of many key technological innovations. These innovations have driven accelerated roadmaps for Semiconductor, Industrial, Life and Health Sciences, Research and Defense markets.

**LEADING THE WAY THROUGH INNOVATION**

Innovation is our underlying growth engine. Inventions lead to new product introductions, which lead to design wins, which lead to long-term revenue. Our relentless focus on innovation starts with taking the time to truly understand our customers’ most complex problems—then designing innovative solutions to solve them.

**INTEGRITY STARTS WITH TRUST**

When our customers have a complex problem to solve, they turn to MKS as a trusted partner. We’re proud of the strong relationships we’ve thoughtfully cultivated over years of technical and application collaboration. Because of this solid foundation built on mutual trust, our customers, who have strong pipelines, engage us in their new programs. We consider this a high honor.

We also partner closely with our suppliers. It’s the way we do business and it’s our investment in ensuring that our supply chain can deliver critical products when our customers need them.

**PUSHING THE BOUNDARIES OF POSSIBILITY**

The solutions we create bring the future to life—that’s what pushing the boundaries of possibilities is all about. Today’s most exciting technologies, such as 5G, artificial intelligence, augmented reality, and autonomous vehicles, are all enabled by our broad portfolio of vacuum products, power solutions, gas delivery, plasma generation, ozone solutions, lasers, photonics, precision optics, motion, and PCB laser processing.
MEET OUR LEADERS

MKS has a strong, diverse leadership team driving our organization to enable technologies that transform our world. We have been recognized for our commitment to advancing women’s representation on Boards of Directors and our Lead Director is a woman. We also value racial diversity. The MKS Board of Directors is comprised of 50% female members and is 25% racially diverse.

Executive Team

MKS Fellows

- Jim Kafka  
  CTO, Lasers
- Jan Kleinert  
  Research Director, Equipment & Solutions
- Mike L’Bassi  
  Senior Director of Engineering, Flow Solutions
- Christiane Le Tiec  
  CTO, Plasma and Reactive Gas Solutions
- Aaron Radomski  
  CTO, Power Solutions
- Phil Sullivan*  
  CTO, Pressure and Vacuum Measurement Solutions

* Retired
Board of Directors

- **Rajeev Batra**
  President, Siemens Digital Industries U.S.

- **Peter J. Cannone, III**
  President and Chief Executive Officer, Demand Science Group

- **Gerald G. Colella (Chairman)**
  Former Chief Executive Officer, MKS Instruments, Inc.

- **Joseph B. Donahue**
  Former Executive Vice President and Chief Operating Officer, TE Connectivity Ltd.

- **John T.C. Lee**
  President and Chief Executive Officer, MKS Instruments, Inc.

- **Jacqueline F. Moloney (Lead Director)**
  Chancellor, University of Massachusetts, Lowell

- **Elizabeth A. Mora**
  Former Chief Administrative Officer, The Charles Stark Draper Laboratory, Inc.

- **Michelle M. Warner**
  Principal, MMW Advisors, LLC

The Boston Club’s 2019 Census, *Measuring Success*, acknowledges MKS as a leader in the number of women holding Board of Director positions among Massachusetts public companies.

### Skill/Competency

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<th>R. Batra</th>
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VALUES DERIVED FROM OUR GUIDING PRINCIPLES

At MKS, we follow four guiding principles—the values that we aspire to live and work by every day. As our business continues to evolve, these guiding principles of Grow, Win, Innovate, and Own ensure the protection of our company culture where all employees understand what is important to our success.

**GROW**
We strive to deliver sustainable and profitable growth by focusing on three key areas: solving our customers most critical problems, identifying and investing in high growth areas, and leading in financial performance.

**WIN**
We believe in the power of collaboration. To win as a team, we think holistically for the enterprise, then for each employee’s organization, and then for the individual. Our people make the difference between a good company and a great company. We strive to be a great company by investing in the development of our people, honoring mutual respect and constructive candor, and a deep commitment to diversity and inclusion.

**INNOVATE**
Innovation requires a blend of curiosity and courage. We empower our people to question, challenge, and think beyond what we’ve always done. “What if” is a welcome phrase at MKS. Our teams are always exploring new ideas and ways of thinking that can drive accelerated cadence and breakthroughs, and we stay vigilant for new opportunities and for potential disruptions.

**OWN**
Each and every team member is an owner—we all have a stake in the Company’s success, and our commitment to our customers and suppliers. We focus on being accountable at both the team and individual level and practice disciplined improvement at every turn to ensure we bring our best game every day.
KEY STAKEHOLDER RELATIONSHIPS

Relationships matter, and we build ours on a solid foundation of integrity and trust. How we run our business, including our Corporate Social Responsibility (CSR) activities, is directly related to our core values and our stakeholder expectations.

Our values help guide how we deliver on our objectives in an ethical and sustainable way for our employees, customers, suppliers and shareholders. We ensure these activities are aligned and supported across our organization.

CUSTOMERS—When customers have complex problems to solve, they turn to us for solutions. We have a long history of partnering with our customers and have cultivated a culture of technical and application collaboration. We’re engaged in our customers’ strong pipelines and new programs.

EMPLOYEES—One difference between a good and a great company is the people. We invest in empowering our people to be leaders and thinkers who push the envelope on new ideas and innovation. We honor mutual respect and constructive candor and are committed to diversity and inclusion. Our dedicated and talented team differentiates us and gives us a competitive advantage.

SUPPLIERS—We also partner closely with our suppliers. It’s the way we do business and it’s our investment in ensuring that our supply chain can deliver critical products when our customers need them.

SHAREHOLDERS—Our shareholders have invested in MKS and it is our goal to deliver sustainable and profitable results.
SHAPING INDUSTRIES THROUGH OUR INNOVATIVE SOLUTIONS

We have a proud history of innovations and inventions that have shaped the evolution of the key industries we serve. Our ability to understand customers’ strategic objectives and apply leading-edge science, engineering and technology has consistently led to breakthroughs that have changed what is possible.

MKS is focused on leveraging our collective curiosity to understand and develop solutions that enable progress, enable economic development, and solve the technology challenges facing today’s industries. Our success is built upon our ability to work closely with our customers to understand their critical issues and develop innovative solutions together. We also provide services relating to the maintenance and repair of our products, installation services and training.

**Unlocking the Future of Electronics**
MKS products are used for fabricating semiconductor devices in four broad processes: deposition, removal, patterning, and modification of electrical properties. Ultra-thin layers, smaller critical dimensions, new materials, 3D structures, and higher yield drive the ongoing need for tighter process measurement and control.

**Enabling Precision Applications in Industry**
MKS products are used in diverse industrial applications, such as glass coating, laser marking, measurement and scribing, natural gas and oil production, environmental monitoring and electronic thin films, including flat panel displays, light emitting diodes, solar cells and data storage media.

**Discovering New Approaches to Treating Disease**
MKS products are used in a diverse array of life and health sciences applications including bio-imaging, medical instrument sterilization, medical device manufacturing, analytical, diagnostic and surgical instrumentation, consumable medical supply manufacturing and pharmaceutical production.

**Advancing the Essential Theories of Physics & Chemistry**
MKS products are used by government, university and industrial labs for R&D applications involving materials science, physical chemistry, photonics, optics and electronics materials. Additionally, our products are used for monitoring and defense applications, including surveillance, imaging and infrastructure protection.
Ensuring Compliance Across the Supply Chain

A critical part of our strategy is cultivating strong relationships with our supply chain. As part of our responsible and sustainable sourcing strategy, we formalize, standardize and clearly communicate our expectations for suppliers, including how we expect to work together. Our goal is to create a partnership that supports responsible and ethical business practices, conduct, and compliance with applicable laws and regulations. It’s better for our workers, our businesses, and our environment.

RBA Code of Conduct

MKS has adopted the industry standard Responsible Business Alliance (“RBA”) Code of Conduct as its Supplier Code of Conduct. The Supplier Code of Conduct provides standards and guidelines of conduct for all suppliers doing business with any MKS company worldwide. MKS’ reputation is built on honesty, integrity, quality and trust. We expect our supply chain partners to conduct themselves in the same manner, regardless of local business practices or social customs.

Supplier Code of Conduct Compliance Reporting

MKS suppliers may report any violations or suspected violations of the MKS Supplier Code of Conduct through an MKS Supply Chain Manager or the MKS Compliance Hotline:

- +1-800-826-6762 when calling from the U.S.
- See www.mksinst.com/supplier-compliance-reporting for local access codes and dialing instructions when calling from outside of the U.S.
- Or use www.mksinst.com.alertline.com

Conflict Minerals

MKS is committed to identifying any of its suppliers who source Conflict Minerals from the Democratic Republic of the Congo (DRC) region from conflict sources. We expect our suppliers to partner with us in this endeavor regardless of whether they are subject to the Conflict Minerals Rule by providing us with all necessary declarations.

“Our goal is to create a partnership that supports responsible and ethical business practices, conduct, and compliance with applicable laws and regulations.”
HIGHEST STANDARDS OF INTEGRITY IN OUR BUSINESS ETHICS

At MKS, we are committed to conducting business with the highest standards of integrity. The MKS Code of Business Conduct and Ethics (“MKS Code of Conduct”) reflects that commitment with respect to our employees, business partners, and the community. It ensures we are delivering on this commitment every day, with every interaction we have with our customers, suppliers and colleagues.

**Compliance with Laws, Rules and Regulations**

We must ensure that our employees, officers and directors comply with all laws, rules and regulations applicable to the Company wherever we do business. This requires the use of good judgement and common sense, and we provide annual training to all employees. In situations where there may be uncertainty about the right decision or course of action, our managers, Human Resources or Legal Departments are available to provide guidance.

**Data Privacy**

As a global business, MKS is subject to various data privacy laws and regulations. We collect and process personal data as needed and take appropriate measures to safeguard the security and confidentiality of company records containing personal data. We believe that the safeguarding of personal data helps maintain trust in MKS and its products and services.

**Antitrust and Anticompetition**

At MKS, we have achieved our position as a market leader by outperforming the competition honestly and fairly. As a global company, we recognize that our business activities are subject to competition and fairness laws everywhere around the globe where we operate. Antitrust and anticompetition laws prohibit inappropriate activities to preserve a market dynamic that encourages innovation. We are committed to ensuring that we operate ethically and in compliance with all applicable antitrust and anticompetition laws.

**Honest and Ethical Fair Dealing**

We are committed to dealing honestly, ethically and fairly with our suppliers, customers, competitors and employees. Statements regarding MKS products and services must not be untrue, misleading, deceptive or fraudulent. The MKS Code of Conduct provides that we must never take unfair advantage of anyone through manipulation, concealment, abuse of privileged information, misrepresentation of material facts or any other unfair dealing practice.

**Preventing Bribery and Corruption**

As a global company, we take our obligation to comply with international anti-corruption laws seriously. Bribes and kickbacks are criminal acts, strictly prohibited by law. The MKS Code of Conduct provides that MKS employees may never offer, give, solicit or receive any form of bribe or kickback directly or indirectly, or make a corrupt payment to foreign government officials, including employees of state-owned enterprises, foreign political parties or candidates, or public international organizations.
**Whistle-Blower Hotline**

As provided in the MKS Code of Conduct, any employee who knows or believes that any employee, officer, director or representative of the Company has engaged or is engaging in conduct that violates MKS’ Code of Conduct may report that activity, on a confidential basis, through the MKS Compliance Hotline: toll-free +1-800-826-6762, or online at www.mksinst.alertline.com.

**MKS Labor Policy**

MKS is committed to upholding the human rights of workers, and to treat them with dignity and respect as understood by the international community. This applies to all workers including temporary, migrant, student, contract, direct employees, and any other type of worker.

**Equal Employment Opportunity**

MKS is committed to providing fair and equal opportunity for employment and advancement to all employees and applicants of the Company. We recruit, transfer, assign, promote and compensate employees on the basis of qualifications, merit, and competence. Employment practices shall not be influenced nor affected by virtue of an applicant’s or employee’s race, color, creed, religion, sex (including pregnancy), national origin, citizenship status, sexual orientation, age, gender identity, marital status, veteran or disability status, genetic information or any other characteristic protected by law.

**Americans With Disabilities Act**

MKS provides reasonable accommodation(s) to qualified applicants and employees with disabilities or perceived disabilities so that they may perform the essential job duties of the position, as long as the accommodation does not result in undue hardship for the Company. Employees are expected to engage in an interactive process to determine what, if any, reasonable accommodation will be made based on the individual circumstances and a case-by-case evaluation.

**Harassment/Sexual Harassment Prevention**

MKS is committed to providing a work environment that is free from harassment based on race, color, religion, gender, sexual orientation, gender identity, national origin, age, disability, marital status, veteran status, pregnancy, genetic information or any other characteristic protected by law, including sexual harassment.

**Workplace Violence**

MKS is committed to maintaining a work environment that is free from violence. Under no circumstances shall an employee bring any sort of weapon onto MKS property. Violent, threatening or intimidating behavior by any employee will not be tolerated and will be dealt with by the Company in the strictest manner up to and including termination. MKS has zero tolerance for this type of behavior.

**Human Trafficking and Slavery**

MKS is committed to conducting business in an ethical and responsible manner and has a zero-tolerance policy relating to human trafficking and forced labor. MKS is committed to maintaining and improving its systems and processes to ensure it complies with all national and international rules and regulations regarding human trafficking and any type of forced labor. MKS has taken certain steps to mitigate the risk of human trafficking and forced labor in its own operations and supply chain, including, adopting and maintaining codes of business conduct and certain other related policies.
COMMITMENT TO OUR PEOPLE

At MKS, we believe our employees are the greatest investment in our future success. We continually invest in developing our people, encouraging mutual respect, new thinking and new opportunities. Our dedicated, talented and creative team of employees enable MKS to provide an exceptional customer experience—they are our competitive advantage.

Development

Our performance management process includes performance feedback and career development discussions that are dynamic and actionable throughout the year. We conduct annual succession planning for key positions. In 2020 we developed a new course for all people leaders to reinforce our focus on employee engagement, change management and leadership excellence. We rolled out a cohort-based diversity training course for our top 125 leaders. We are enhancing our line leadership program that emphasizes management basics and compliance to local laws and customs. In 2021 we will introduce a program for accelerated leadership development of high potential employees. We provide significant financial support for college education to help further the careers of our entire workforce. In addition, we offer access to online learning for all employees in local languages.

Employee Engagement

MKS will roll out a global employee engagement survey in 2021. In 2020, MKS conducted a number of check-ins through employee surveys, to help management understand the challenges and opportunities created by working from home during COVID-19. This provided valuable feedback on how employees were handling the changes and how management could increase engagement with employees. Based on the survey, we offered training courses focused on working and managing remotely. In addition, we conducted a summer pilot of a “no meetings Friday” policy. After a follow-on survey, the decision was made to implement “no meetings Friday” for the remainder of COVID-19. Since the onset of the COVID-19 pandemic, CEO John Lee has provided regular written and video communications to the global workforce, initially weekly and more recently biweekly. MKS also established a formal mechanism for employees to share concerns and questions and receive answers related to the COVID-19 pandemic. An online site was created to provide regular updates by location, as well as updates on company communication, videos from leaders and updates on new policies, such as Flexible Work. Executive management conducts quarterly calls with employees around the world to help ensure employees are connected to the progress of the company.

Compensation Philosophy

MKS is committed to providing total compensation packages that attract, motivate, and retain our talented employees. Additionally, MKS is committed to recognizing and rewarding an individual’s sustained performance, results and the skills and competencies needed and valued by MKS. We are committed to ensuring that our total compensation packages are externally competitive while supporting business plans and strategies.

Health and Wellness Program

MKS understands the importance of the health and wellness of our employees and their families. We offer all MKS employees and eligible family members a full range of health and wellness programs, as well as many clinical and administrative services, through the Employee Assistance Plan (EAP) Health Advocate. Eligible family members include spouses, dependent children, parents and parents-in-law.
Open Door Policy

Our people are a top priority, and our Open Door Policy helps ensure that all voices will be heard. This policy is incorporated into all our employee handbooks and is part of other important policies such as Equal Employment Opportunity and Harassment Prevention. Our Open Door Policy has both formal and informal communication options. As part of this policy, we encourage employees to reach out to any member of management or Human Resources to raise concerns or complaints. We encourage all employees to talk problems over with their direct manager first. However, in difficult situations it may be challenging for an employee to approach his or her immediate manager directly. In these cases, the employee may approach Human Resources or any member of management up to and including the President and CEO. For all cases, Human Resources will use discretion in deciding whether to refer the matter back to the employee’s immediate manager or to take other appropriate action. In all cases, employee concerns will be handled in a timely manner and confidentiality will be maintained to the maximum extent possible. In addition, in certain countries, employees may also have access to Workers’ Council and/or union representation.

Diversity, Equity and Inclusion

“Our commitment to diversity, equity and inclusion is core to our culture.”

We believe that diversity of gender, race, ethnicity, sexual orientation, culture, education, background and experience fuels innovation and results as well as enables our employees to succeed. Our Board of Directors is comprised of 38% female members, is 25% racially diverse, and our Lead Director is a woman. We have been recognized for our commitment to advancing women’s representation on the boards of directors of public companies. In addition, our Executive Team is comprised of 20% female members and is 20% racially diverse. In 2020, as part of our commitment to diversity, equity and inclusion, over 120 of our leaders around the world completed a six-week diversity, equity and inclusion program hosted by a consulting firm recognized as best-in-class in the area of diversity, equity and inclusion capability building. We plan to expand the diversity, equity and inclusion program to our next level of leaders as well as offer diversity, equity and inclusion training for all employees in 2021. We also proactively provide our hiring managers with diverse candidate slates in our employee recruiting process.
COMMITMENT TO OUR ENVIRONMENT & COMMUNITY

Our vision is to enable technologies that transform our world. How we do that is important to us. The key areas of sustainable business practices, green energy development and philanthropy are part of the essential framework in how we manage and operate the Company.

Sustainable Business Practices

**CSR Management System**
Our CSR Management System helps guide how we deliver on our objectives in an ethical and sustainable way, for our employees, customers, suppliers and shareholders. It outlines our CSR governance structure, how we manage our CSR program, our high-level focus areas, and our annual CSR strategy process.

**Environment, Health and Safety**
Environmental health and safety considerations are fundamental to our business practices, and we are compliant with the applicable regulations wherever we operate. MKS provides mandatory EHS training to ensure all employees are provided with the knowledge to perform their jobs safely.

**Quality Policy**
We are committed to continuous improvement by fostering a world-class quality culture that:
- Solves problems with data-driven solutions
- Drives accountability and ownership by all employees
- Collaborates with our colleagues, supplier partners and customers

**Product Environmental Compliance**
We are committed to comply with all applicable product environmental laws and regulations as per the application of the following council directives:
- CE marking (EMC, LVD, MD, RoHS, etc.)
- REACH (Registration, Evaluation, & Analysis of Chemicals) Regulation EC 1907/2006, Article 33
- China CCC Mark

**Product Safety and Certifications**
MKS products are designed, manufactured and tested for safety to conform with essential requirements of relevant directives/standards, customer requirements, product-specific regulations, and/or other applicable safety testing standards.
- Electromagnetic Compatibility Directive (EMCD) - 2014/30/EU
- Low Voltage Directive (LVD) - 2014/35/EU
- European Pressure Equipment Directive (PED) - 2014/68/EU
- Machinery Directive - 2006/42/EC
- Restriction of Hazardous Substances Directive (RoHS)—2011/65/EU
- MKS RoHS Position Statement
- Product-specific regulations (NRTL, ETL, UL, CSA, Semi)
- Other applicable safety testing standards (OSHA/CDRH)

**ISO Standards**
- Quality Management System is compliant with the ISO 9001-2015, and 26 sites are certified to ISO 9001-2015
- 5 sites are certified to ISO 14001-2015

**Materials Sourcing**
We rely on a multi-tier supplier network to deliver material, components and subsystems to our wide range of finished products. We work for full transparency with our direct suppliers to provide required declarations and disclosures relative to sourced materials. We also expect our suppliers to pass this requirement on to their suppliers. This is specifically emphasized for Conflict Materials as defined under Section 1502 of the 2010 Dodd-Frank Wall Street Reform and Consumer Protection Act (Conflict Minerals Rule).
Supporting Green Energy Development

Support for the environment is important to us, especially in the products that we bring to market. MKS manufactures products that are sold in these four applications:

**CLEAN ENERGY**

Our flow, valve, and pressure measurement products, mass spectrometers, lasers, photonics components, and solar simulators are used by thin film manufacturers to optimize processes in the fabrication of photovoltaic solar cells and solar panels.

**ENVIRONMENTAL & SUSTAINABLE**

Our gas analyzers, mass spectrometers, and automation and control products are used for measuring gases and pollutants, toxic chemicals and warfare agents, power generation, process monitoring and analytics to help ensure regulatory compliance, safety and security, and energy efficiency.

**SUSTAINABLE MKS PRODUCTS**

Our ozone systems are used in the photoresist strip market as an environmentally friendly alternative to aggressive acid mixes; flow, valve and pressure products offer various solutions in reducing power consumption; precision lasers increase product manufacturing efficiency; and high-density interconnect (HDI) drilling offers significant weight/footprint savings.

**COMPREHENSIVE SERVICE & REPAIR**

Our service and repair programs help to maximize the value and longevity of our products. With 18 Service Centers around the globe, we are able to extend equipment lifetime, drive predictability and ensure our customers have improved productivity with increased uptime and tool availability.

Philanthropy and Volunteerism

MKS has over 90 global sites, all empowered to give back to the communities where our employees live and work. Continuing our effort to reach out to women and minorities in STEM fields, our Equipment and Solutions Division co-sponsors the Northwest branch of the Conference on Undergraduate Women in Physics (CUWiP) at the University of Washington in Seattle.

The spirit of charitable contribution runs deep at MKS, as our Company and our employees make financial donations in local communities. During the COVID-19 crisis, our US employees donated $32,000 to support the efforts of the United Way in our local communities. MKS matched our employee giving dollar for dollar.

From food, clothing and toy drives to donations of school supplies, our employees continually contribute to their communities with in-kind donations. Some have made it a group activity by teaming up to repair homes in their area. For example, the annual Fix-Up Festival in Bozeman, Montana brings the community together for one day each year to provide minor repairs for low-income neighbors, making their homes safer, more accessible, and more energy efficient. In the spirit of neighbors helping neighbors, homeowners receive labor and materials at no cost thanks to the contributions and support of local area sponsors and businesses.
MKS INSTRUMENTS, INC. is a global provider of instruments, subsystems and process control solutions that measure, monitor, deliver, analyze, power and control critical parameters of advanced manufacturing processes to improve process performance and productivity for our customers.

Our products are derived from our core competencies in pressure measurement and control, flow measurement and control, gas and vapor delivery, gas composition analysis, electronic control technology, reactive gas generation and delivery, power generation and delivery, vacuum technology, lasers, photonics, optics, precision motion control, vibration control and laser-based manufacturing systems solutions.

We also provide services relating to the maintenance and repair of our products, installation services and training. Our primary served markets include semiconductor, industrial technologies, life and health sciences, research and defense.

Additional information can be found at www.MKSPORT.com.

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Specifications are subject to change without notice.