

NCI BUILDING SYSTEMS INC

Form 4

September 29, 2006

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

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

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
GINN A R JR

(Last) (First) (Middle)

10943 NORTH SAM HOUSTON
PARKWAY WEST

(Street)

HOUSTON, TX 77064

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
NCI BUILDING SYSTEMS INC
[NCS]

3. Date of Earliest Transaction
(Month/Day/Year)
09/27/2006

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) Chairman & CEO

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 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)
Common Stock, \$0.01 par value				(A) or (D)	Price		NCI 401(k) Plan ⁽¹⁾
Common Stock, \$0.01 par value	09/27/2006		M	1,800	A \$ 15.15	187,444	D
Common Stock, \$0.01 par	09/28/2006		M	1,376	A \$ 15.15	188,820	D

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value

Common Stock, \$0.01 par value	09/28/2006	M	1,429	A	\$ 17.5	190,249	D
Common Stock, \$0.01 par value	09/28/2006	M	2,423	A	\$ 20.64	192,672	D
Common Stock, \$0.01 par value	09/28/2006	M	2,760	A	\$ 18.12	195,432	D
Common Stock, \$0.01 par value	09/28/2006	M	2,912	A	\$ 29.2	198,344	D
Common Stock, \$0.01 par value	09/27/2006	S	200	D	\$ 60	198,144	D
Common Stock, \$0.01 par value	09/27/2006	S	100	D	\$ 60.01	198,044	D
Common Stock, \$0.01 par value	09/27/2006	S	400	D	\$ 60.02	197,644	D
Common Stock, \$0.01 par value	09/27/2006	S	200	D	\$ 60.04	197,444	D
Common Stock, \$0.01 par value	09/27/2006	S	400	D	\$ 60.05	197,044	D
Common Stock, \$0.01 par value	09/27/2006	S	300	D	\$ 60.06	196,744	D
Common Stock, \$0.01 par value	09/27/2006	S	200	D	\$ 60.07	196,544	D

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Common
Stock,
\$0.01 par
value

09/28/2006

S 10,900 D \$ 60 185,644 D

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

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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)	8. De Sec (In
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Option to purchase common stock	\$ 15.15	09/27/2006		M	1,800	<u>(2)</u>	12/14/2011	Common stock, \$0.01 par value	1,800
Option to purchase common stock	\$ 15.15	09/28/2006		M	1,376	<u>(2)</u>	12/14/2011	Common stock, \$0.01 par value	1,376
Option to purchase common stock	\$ 17.5	09/28/2006		M	1,429	<u>(3)</u>	06/14/2012	Common stock, \$0.01 par value	1,429
Option to purchase common stock	\$ 20.64	09/28/2006		M	2,423	<u>(4)</u>	12/14/2012	Common stock, \$0.01 par value	2,463
Option to purchase common stock	\$ 18.12	09/28/2006		M	2,760	<u>(5)</u>	06/14/2013	Common stock, \$0.01 par value	2,760
	\$ 29.2	09/28/2006		M	2,912	<u>(6)</u>	05/27/2014		2,912

Option to
purchase
common
stock

Common
stock,
\$0.01 par
value

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
GINN A R JR 10943 NORTH SAM HOUSTON PARKWAY WEST HOUSTON, TX 77064	X		Chairman & CEO	

Signatures

Frances Powell Hawes (by power of
attorney)

09/29/2006

__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) Holdings under 401(k) plan are reported as of September 27, 2006.
- (2) Options vest in four equal installments beginning on December 15, 2002.
- (3) Options vest in four equal installments beginning on June 15, 2003.
- (4) Options vest in four equal installments beginning on December 15, 2003.
- (5) Options vest in four equal installments beginning on June 15, 2004.
- (6) Options vest in four equal installments beginning on May 28, 2005.

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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