

Form 5500 Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Annual Return/Report of Employee Benefit Plan This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code). <p style="text-align: center;">▶ Complete all entries in accordance with the instructions to the Form 5500.</p>	OMB Nos. 1210-0110 1210-0089 <div style="text-align: center; font-size: 1.2em; font-weight: bold;">2020</div> This Form is Open to Public Inspection
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Part I	Annual Report Identification Information
For calendar plan year 2020 or fiscal plan year beginning <u>01/01/2020</u> and ending <u>12/31/2020</u>	
A This return/report is for:	☐ a multiemployer plan ☐ a multiple-employer plan (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.) ☒ a single-employer plan ☐ a DFE (specify) _____
B This return/report is:	☐ the first return/report ☐ the final return/report ☐ an amended return/report ☐ a short plan year return/report (less than 12 months)
C If the plan is a collectively-bargained plan, check here.	☒
D Check box if filing under:	☒ Form 5558 ☐ automatic extension ☐ the DFVC program ☐ special extension (enter description)

Part II	Basic Plan Information —enter all requested information				
1a Name of plan <u>CORNERSTONE BUILDING BRANDS 401(K) PROFIT SHARING PLAN</u>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">1b Three-digit plan number (PN) ▶</td> <td style="width: 20%; text-align: center;"><u>001</u></td> </tr> <tr> <td colspan="2">1c Effective date of plan <u>01/15/1992</u></td> </tr> </table>	1b Three-digit plan number (PN) ▶	<u>001</u>	1c Effective date of plan <u>01/15/1992</u>	
1b Three-digit plan number (PN) ▶	<u>001</u>				
1c Effective date of plan <u>01/15/1992</u>					
2a Plan sponsor's name (employer, if for a single-employer plan) Mailing address (include room, apt., suite no. and street, or P.O. Box) City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions) <u>CORNERSTONE BUILDING BRANDS, INC.</u> <u>10943 N. SAM HOUSTON PARKWAY WEST</u> <u>HOUSTON, TX 77064</u>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>2b Employer Identification Number (EIN) <u>76-0127701</u></td> </tr> <tr> <td>2c Plan Sponsor's telephone number <u>281-897-7511</u></td> </tr> <tr> <td>2d Business code (see instructions) <u>332300</u></td> </tr> </table>	2b Employer Identification Number (EIN) <u>76-0127701</u>	2c Plan Sponsor's telephone number <u>281-897-7511</u>	2d Business code (see instructions) <u>332300</u>	
2b Employer Identification Number (EIN) <u>76-0127701</u>					
2c Plan Sponsor's telephone number <u>281-897-7511</u>					
2d Business code (see instructions) <u>332300</u>					

Caution: A penalty for the late or incomplete filing of this return/report will be assessed unless reasonable cause is established.

Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including accompanying schedules, statements and attachments, as well as the electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct, and complete.

SIGN HERE	Filed with authorized/valid electronic signature.	06/25/2021	KATY THEROUX
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE			
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE

For Paperwork Reduction Act Notice, see the Instructions for Form 5500.

Form 5500 (2020)
v. 200204

3a Plan administrator's name and address ☒ Same as Plan Sponsor		3b Administrator's EIN	
		3c Administrator's telephone number	
4 If the name and/or EIN of the plan sponsor or the plan name has changed since the last return/report filed for this plan, enter the plan sponsor's name, EIN, the plan name and the plan number from the last return/report: a Sponsor's name CORNERSTONE BUILDING BRANDS, INC. c Plan Name NCI 401(K) PROFIT SHARING PLAN		4b EIN 76-0127701 4d PN 001	
5 Total number of participants at the beginning of the plan year		5	5469
6 Number of participants as of the end of the plan year unless otherwise stated (welfare plans complete only lines 6a(1) , 6a(2) , 6b , 6c , and 6d).			
a(1) Total number of active participants at the beginning of the plan year.....		6a(1)	4698
a(2) Total number of active participants at the end of the plan year		6a(2)	17814
b Retired or separated participants receiving benefits.....		6b	31
c Other retired or separated participants entitled to future benefits		6c	2437
d Subtotal. Add lines 6a(2) , 6b , and 6c		6d	20282
e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.		6e	13
f Total. Add lines 6d and 6e		6f	20295
g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)		6g	10095
h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested		6h	4
7 Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item).....		7	
8a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions: 2E 2F 2G 2J 2K 2T 3D 3H			
b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:			
9a Plan funding arrangement (check all that apply) (1) ☐ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor		9b Plan benefit arrangement (check all that apply) (1) ☐ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor	
10 Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)			
a Pension Schedules (1) ☒ R (Retirement Plan Information) (2) ☐ MB (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary (3) ☐ SB (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary		b General Schedules (1) ☒ H (Financial Information) (2) ☐ I (Financial Information – Small Plan) (3) ☐ 0 A (Insurance Information) (4) ☒ C (Service Provider Information) (5) ☒ D (DFE/Participating Plan Information) (6) ☐ G (Financial Transaction Schedules)	

Part III Form M-1 Compliance Information (to be completed by welfare benefit plans)

11a If the plan provides welfare benefits, was the plan subject to the Form M-1 filing requirements during the plan year? (See instructions and 29 CFR 2520.101-2.) ☐ Yes ☐ No

If "Yes" is checked, complete lines 11b and 11c.

11b Is the plan currently in compliance with the Form M-1 filing requirements? (See instructions and 29 CFR 2520.101-2.) ☐ Yes ☐ No

11c Enter the Receipt Confirmation Code for the 2020 Form M-1 annual report. If the plan was not required to file the 2020 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code _____

SCHEDULE C (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Service Provider Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ File as an attachment to Form 5500.	OMB No. 1210-0110
		2020
		This Form is Open to Public Inspection.

For calendar plan year 2020 or fiscal plan year beginning 01/01/2020 and ending 12/31/2020		
A Name of plan CORNERSTONE BUILDING BRANDS 401(K) PROFIT SHARING PLAN	B Three-digit plan number (PN) ▶	001
C Plan sponsor's name as shown on line 2a of Form 5500 CORNERSTONE BUILDING BRANDS, INC.	D Employer Identification Number (EIN) 76-0127701	

Part I	Service Provider Information (see instructions)
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You must complete this Part, in accordance with the instructions, to report the information required for **each person** who received, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of monetary value) in connection with services rendered to the plan or the person's position with the plan during the plan year. If a person received **only** eligible indirect compensation for which the plan received the required disclosures, you are required to answer line 1 but are not required to include that person when completing the remainder of this Part.

1 Information on Persons Receiving Only Eligible Indirect Compensation

- a** Check "Yes" or "No" to indicate whether you are excluding a person from the remainder of this Part because they received only eligible indirect compensation for which the plan received the required disclosures (see instructions for definitions and conditions).. ☒ Yes ☐ No
- b** If you answered line 1a "Yes," enter the name and EIN or address of each person providing the required disclosures for the service providers who received only eligible indirect compensation. Complete as many entries as needed (see instructions).

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL
04-2647786

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

FIDELITY INVESTMENTS INSTITUTIONAL

04-2647786

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
37 64 65 71	RECORDKEEPER	445384	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☐ No ☒

(a) Enter name and EIN or address (see instructions)

COOK STREET CONSULTING, INC.

84-0854432

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
16 27	INVESTMENT ADVISOR	128591	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

ACM

01-0724563

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
10	ACCOUNTANT/A UDITOR	58940	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

ALVAREZ & MARSAL TAXAND, LLC

56-2409465

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
16	CONSULTANT	29355	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

RISK COMPLIANCE PERFORMANCE

27-4064715

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
38 49	OTHER SERVICES	24875	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

STRATEGIC ADVISORS, INC.

04-2654524

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
27	ADVISOR	22626	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received \$1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	

Part II Service Providers Who Fail or Refuse to Provide Information

4 Provide, to the extent possible, the following information for each service provider who failed or refused to provide the information necessary to complete this Schedule.

(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide

Part III Termination Information on Accountants and Enrolled Actuaries (see instructions)
(complete as many entries as needed)

a Name:	ACM, LLP	b EIN:	01-0724563
c Position:			
d Address:		e Telephone:	

Explanation: DUE TO MERGER OF FIRMS

a Name:		b EIN:	
c Position:			
d Address:		e Telephone:	

Explanation:

a Name:		b EIN:	
c Position:			
d Address:		e Telephone:	

Explanation:

a Name:		b EIN:	
c Position:			
d Address:		e Telephone:	

Explanation:

a Name:		b EIN:	
c Position:			
d Address:		e Telephone:	

Explanation:

<div>SCHEDULE D (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration</div>	<div>DFE/Participating Plan Information</div> <div>This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).</div> <div>▶ File as an attachment to Form 5500.</div>	<div>OMB No. 1210-0110</div> <div>2020</div> <div>This Form is Open to Public Inspection.</div>
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For calendar plan year 2020 or fiscal plan year beginning 01/01/2020 and ending 12/31/2020		
A Name of plan CORNERSTONE BUILDING BRANDS 401(K) PROFIT SHARING PLAN	B Three-digit plan number (PN) ▶	001
C Plan or DFE sponsor's name as shown on line 2a of Form 5500 CORNERSTONE BUILDING BRANDS, INC.	D Employer Identification Number (EIN) 76-0127701	

Part I	Information on interests in MTIAs, CCTs, PSAs, and 103-12 IEs (to be completed by plans and DFEs) (Complete as many entries as needed to report all interests in DFEs)
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a Name of MTIA, CCT, PSA, or 103-12 IE: WELLS FARGO STABLE RETURN FUND N		
b Name of sponsor of entity listed in (a): WELLS FARGO BANK, N.A.		
c EIN-PN 41-6202499-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: WF STABLE VALUE E		
b Name of sponsor of entity listed in (a): WELLS FARGO BANK, N.A.		
c EIN-PN 52-2250951-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 90673139
a Name of MTIA, CCT, PSA, or 103-12 IE:		
b Name of sponsor of entity listed in (a):		
c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
a Name of MTIA, CCT, PSA, or 103-12 IE:		
b Name of sponsor of entity listed in (a):		
c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
a Name of MTIA, CCT, PSA, or 103-12 IE:		
b Name of sponsor of entity listed in (a):		
c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
a Name of MTIA, CCT, PSA, or 103-12 IE:		
b Name of sponsor of entity listed in (a):		
c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
a Name of MTIA, CCT, PSA, or 103-12 IE:		
b Name of sponsor of entity listed in (a):		
c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
a Name of MTIA, CCT, PSA, or 103-12 IE:		
b Name of sponsor of entity listed in (a):		
c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
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103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
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103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
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103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
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code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)

Part II Information on Participating Plans (to be completed by DFEs)

(Complete as many entries as needed to report all participating plans)

a Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
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plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN

SCHEDULE H (Form 5500) <small>Department of the Treasury Internal Revenue Service</small> <small>Department of Labor Employee Benefits Security Administration</small> <small>Pension Benefit Guaranty Corporation</small>	Financial Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code). ► File as an attachment to Form 5500.	OMB No. 1210-0110 2020 This Form is Open to Public Inspection
For calendar plan year 2020 or fiscal plan year beginning 01/01/2020 and ending 12/31/2020		
A Name of plan CORNERSTONE BUILDING BRANDS 401(K) PROFIT SHARING PLAN	B Three-digit plan number (PN) ►	001
C Plan sponsor's name as shown on line 2a of Form 5500 CORNERSTONE BUILDING BRANDS, INC.	D Employer Identification Number (EIN) 76-0127701	

Part I	Asset and Liability Statement		
1 Current value of plan assets and liabilities at the beginning and end of the plan year. Combine the value of plan assets held in more than one trust. Report the value of the plan's interest in a commingled fund containing the assets of more than one plan on a line-by-line basis unless the value is reportable on lines 1c(9) through 1c(14). Do not enter the value of that portion of an insurance contract which guarantees, during this plan year, to pay a specific dollar benefit at a future date. Round off amounts to the nearest dollar. MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 1b(1), 1b(2), 1c(8), 1g, 1h, and 1i. CCTs, PSAs, and 103-12 IEs also do not complete lines 1d and 1e. See instructions.			
Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash.....		1a 0	0
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions		1b(1) 3431921	212898
(2) Participant contributions.....		1b(2) 150885	0
(3) Other		1b(3) 528923354	0
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)		1c(1) 0	0
(2) U.S. Government securities		1c(2) 0	0
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred		1c(3)(A) 0	0
(B) All other.....		1c(3)(B) 0	0
(4) Corporate stocks (other than employer securities):			
(A) Preferred		1c(4)(A) 0	0
(B) Common		1c(4)(B) 0	0
(5) Partnership/joint venture interests		1c(5) 0	0
(6) Real estate (other than employer real property)		1c(6) 0	0
(7) Loans (other than to participants).....		1c(7) 0	0
(8) Participant loans		1c(8) 7668665	13660154
(9) Value of interest in common/collective trusts		1c(9) 44516726	90673139
(10) Value of interest in pooled separate accounts		1c(10) 0	0
(11) Value of interest in master trust investment accounts		1c(11) 0	0
(12) Value of interest in 103-12 investment entities		1c(12) 0	0
(13) Value of interest in registered investment companies (e.g., mutual funds)		1c(13) 9024	499309929
(14) Value of funds held in insurance company general account (unallocated contracts).....		1c(14) 0	0
(15) Other.....		1c(15) 0	0

		(a) Beginning of Year	(b) End of Year
1d Employer-related investments:			
(1) Employer securities.....	1d(1)	7986030	8253674
(2) Employer real property.....	1d(2)	0	0
e Buildings and other property used in plan operation	1e	0	0
f Total assets (add all amounts in lines 1a through 1e)	1f	592686605	612109794
Liabilities			
g Benefit claims payable	1g	0	0
h Operating payables	1h	0	0
i Acquisition indebtedness.....	1i	0	0
j Other liabilities.....	1j	0	0
k Total liabilities (add all amounts in lines 1g through 1j)	1k	0	0
Net Assets			
l Net assets (subtract line 1k from line 1f)	1l	592686605	612109794

Part II Income and Expense Statement

2 Plan income, expenses, and changes in net assets for the year. Include all income and expenses of the plan, including any trust(s) or separately maintained fund(s) and any payments/receipts to/from insurance carriers. Round off amounts to the nearest dollar. MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 2a, 2b(1)(E), 2e, 2f, and 2g.

		(a) Amount	(b) Total
Income			
a Contributions:			
(1) Received or receivable in cash from: (A) Employers	2a(1)(A)	18090924	
(B) Participants	2a(1)(B)	34375220	
(C) Others (including rollovers).....	2a(1)(C)	3947464	
(2) Noncash contributions	2a(2)	0	56413608
(3) Total contributions. Add lines 2a(1)(A) , (B) , (C) , and line 2a(2)	2a(3)		
b Earnings on investments:			
(1) Interest:			
(A) Interest-bearing cash (including money market accounts and certificates of deposit).....	2b(1)(A)	7173	
(B) U.S. Government securities	2b(1)(B)	0	
(C) Corporate debt instruments	2b(1)(C)	0	
(D) Loans (other than to participants)	2b(1)(D)	0	
(E) Participant loans.....	2b(1)(E)	892973	
(F) Other	2b(1)(F)	1981745	
(G) Total interest. Add lines 2b(1)(A) through (F)	2b(1)(G)		2881891
(2) Dividends: (A) Preferred stock.....	2b(2)(A)	0	
(B) Common stock	2b(2)(B)	2827	
(C) Registered investment company shares (e.g. mutual funds).....	2b(2)(C)	3710790	
(D) Total dividends. Add lines 2b(2)(A) , (B) , and (C)	2b(2)(D)		3713617
(3) Rents	2b(3)		0
(4) Net gain (loss) on sale of assets: (A) Aggregate proceeds	2b(4)(A)	8061462	
(B) Aggregate carrying amount (see instructions).....	2b(4)(B)	9029466	
(C) Subtract line 2b(4)(B) from line 2b(4)(A) and enter result	2b(4)(C)		-968004
(5) Unrealized appreciation (depreciation) of assets: (A) Real estate	2b(5)(A)	0	
(B) Other	2b(5)(B)	2685660	
(C) Total unrealized appreciation of assets. Add lines 2b(5)(A) and (B)	2b(5)(C)		2685660

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts.....	2b(6)		1963474
(7) Net investment gain (loss) from pooled separate accounts.....	2b(7)		0
(8) Net investment gain (loss) from master trust investment accounts	2b(8)		0
(9) Net investment gain (loss) from 103-12 investment entities	2b(9)		0
(10) Net investment gain (loss) from registered investment companies (e.g., mutual funds)	2b(10)		57876445
c Other income	2c		3922311
d Total income. Add all income amounts in column (b) and enter total.....	2d		128489002

Expenses**e** Benefit payment and payments to provide benefits:

(1) Directly to participants or beneficiaries, including direct rollovers.....	2e(1)	107315958	
(2) To insurance carriers for the provision of benefits	2e(2)	0	
(3) Other.....	2e(3)	0	
(4) Total benefit payments. Add lines 2e(1) through (3)	2e(4)		107315958
f Corrective distributions (see instructions)	2f		0
g Certain deemed distributions of participant loans (see instructions).....	2g		1015713
h Interest expense.....	2h		0
i Administrative expenses: (1) Professional fees	2i(1)	0	
(2) Contract administrator fees	2i(2)	0	
(3) Investment advisory and management fees	2i(3)	22626	
(4) Other.....	2i(4)	711516	
(5) Total administrative expenses. Add lines 2i(1) through (4)	2i(5)		734142
j Total expenses. Add all expense amounts in column (b) and enter total.....	2j		109065813

Net Income and Reconciliation

k Net income (loss). Subtract line 2j from line 2d	2k		19423189
l Transfers of assets:			
(1) To this plan.....	2l(1)		0
(2) From this plan	2l(2)		0

Part III Accountant's Opinion

3 Complete lines 3a through 3c if the opinion of an independent qualified public accountant is attached to this Form 5500. Complete line 3d if an opinion is not attached.

a The attached opinion of an independent qualified public accountant for this plan is (see instructions):

(1) ☒ Unmodified (2) ☐ Qualified (3) ☐ Disclaimer (4) ☐ Adverse

b Check the appropriate box(es) to indicate whether the IQPA performed an ERISA section 103(a)(3)(C) audit. Check both boxes (1) and (2) if the audit was performed pursuant to both 29 CFR 2520.103-8 and 29 CFR 2520.103-12(d). Check box (3) if pursuant to neither.

(1) ☐ DOL Regulation 2520.103-8 (2) ☐ DOL Regulation 2520.103-12(d) (3) ☒ neither DOL Regulation 2520.103-8 nor DOL Regulation 2520.103-12(d).

c Enter the name and EIN of the accountant (or accounting firm) below:

(1) Name: **HANCOCK ASKEW & CO., LLP**

(2) EIN: **58-0662558**

d The opinion of an independent qualified public accountant is **not attached** because:

(1) ☐ This form is filed for a CCT, PSA, or MTIA. (2) ☐ It will be attached to the next Form 5500 pursuant to 29 CFR 2520.104-50.

Part IV Compliance Questions

4 CCTs and PSAs do not complete Part IV. MTIAs, 103-12 IEs, and GIAs do not complete lines 4a, 4e, 4f, 4g, 4h, 4k, 4m, 4n, or 5. 103-12 IEs also do not complete lines 4j and 4l. MTIAs also do not complete line 4l.

During the plan year:

a Was there a failure to transmit to the plan any participant contributions within the time

period described in 29 CFR 2510.3-102? Continue to answer "Yes" for any prior year failures until fully corrected. (See instructions and DOL's Voluntary Fiduciary Correction Program.)

	Yes	No	Amount
4a	X		14714494

	Yes	No	Amount
b Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.)			
4b		X	
c Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.)			
4c		X	
d Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.)			
4d		X	
e Was this plan covered by a fidelity bond?	X		30000000
f Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?		X	
4f		X	
g Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser?			
4g		X	
h Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser?			
4h		X	
i Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.)	X		
4i	X		
j Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked and see instructions for format requirements.)			
4j		X	
k Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?			
4k		X	
l Has the plan failed to provide any benefit when due under the plan?			
4l		X	
m If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)			
4m	X		
n If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3.			
4n	X		

5a Has a resolution to terminate the plan been adopted during the plan year or any prior plan year? ☐ Yes ☒ No
If "Yes," enter the amount of any plan assets that reverted to the employer this year _____.

5b If, during this plan year, any assets or liabilities were transferred from this plan to another plan(s), identify the plan(s) to which assets or liabilities were transferred. (See instructions.)

5b(1) Name of plan(s)	5b(2) EIN(s)	5b(3) PN(s)

5c Was the plan a defined benefit plan covered under the PBGC insurance program at any time during this plan year? (See ERISA section 4021 and instructions.) ☐ Yes ☐ No ☐ Not determined
If "Yes" is checked, enter the My PAA confirmation number from the PBGC premium filing for this plan year _____.

<div>SCHEDULE R (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation</div>	<div>Retirement Plan Information</div> <div>This schedule is required to be filed under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code).</div> <div>▶ File as an attachment to Form 5500.</div>	<div>OMB No. 1210-0110</div> <div>2020</div> <div>This Form is Open to Public Inspection.</div>
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For calendar plan year 2020 or fiscal plan year beginning 01/01/2020 and ending 12/31/2020

<div>A Name of plan CORNERSTONE BUILDING BRANDS 401(K) PROFIT SHARING PLAN</div>	<div>B Three-digit plan number (PN) ▶ 001</div>
<div>C Plan sponsor's name as shown on line 2a of Form 5500 CORNERSTONE BUILDING BRANDS, INC.</div>	<div>D Employer Identification Number (EIN) 76-0127701</div>

Part I	Distributions
--------	---------------

All references to distributions relate only to payments of benefits during the plan year.

<div>1 Total value of distributions paid in property other than in cash or the forms of property specified in the instructions.....</div>	<div>1</div>
<div>2 Enter the EIN(s) of payor(s) who paid benefits on behalf of the plan to participants or beneficiaries during the year (if more than two, enter EINs of the two payors who paid the greatest dollar amounts of benefits): EIN(s): 04-6568107</div>	
<div>Profit-sharing plans, ESOPs, and stock bonus plans, skip line 3.</div>	
<div>3 Number of participants (living or deceased) whose benefits were distributed in a single sum, during the plan year</div>	<div>3</div>

Part II	Funding Information (If the plan is not subject to the minimum funding requirements of section 412 of the Internal Revenue Code or ERISA section 302, skip this Part.)
---------	--

<div>4 Is the plan administrator making an election under Code section 412(d)(2) or ERISA section 302(d)(2)?</div>	<div>☐ Yes ☐ No ☐ N/A</div>
<div>If the plan is a defined benefit plan, go to line 8.</div>	
<div>5 If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions and enter the date of the ruling letter granting the waiver. Date: Month _____ Day _____ Year _____ If you completed line 5, complete lines 3, 9, and 10 of Schedule MB and do not complete the remainder of this schedule.</div>	
<div>6 a Enter the minimum required contribution for this plan year (include any prior year accumulated funding deficiency not waived)</div>	<div>6a</div>
<div>b Enter the amount contributed by the employer to the plan for this plan year</div>	<div>6b</div>
<div>c Subtract the amount in line 6b from the amount in line 6a. Enter the result (enter a minus sign to the left of a negative amount).....</div>	<div>6c</div>
<div>If you completed line 6c, skip lines 8 and 9.</div>	
<div>7 Will the minimum funding amount reported on line 6c be met by the funding deadline?</div>	<div>☐ Yes ☐ No ☐ N/A</div>
<div>8 If a change in actuarial cost method was made for this plan year pursuant to a revenue procedure or other authority providing automatic approval for the change or a class ruling letter, does the plan sponsor or plan administrator agree with the change?</div>	<div>☐ Yes ☐ No ☐ N/A</div>

Part III	Amendments
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<div>9 If this is a defined benefit pension plan, were any amendments adopted during this plan year that increased or decreased the value of benefits? If yes, check the appropriate box. If no, check the "No" box.....</div>	<div>☐ Increase ☐ Decrease ☐ Both ☐ No</div>
--	--

Part IV	ESOPs (see instructions). If this is not a plan described under section 409(a) or 4975(e)(7) of the Internal Revenue Code, skip this Part.
---------	--

<div>10 Were unallocated employer securities or proceeds from the sale of unallocated securities used to repay any exempt loan?</div>	<div>☐ Yes ☐ No</div>
<div>11 a Does the ESOP hold any preferred stock?</div>	<div>☐ Yes ☐ No</div>
<div>b If the ESOP has an outstanding exempt loan with the employer as lender, is such loan part of a "back-to-back" loan? (See instructions for definition of "back-to-back" loan.)</div>	<div>☐ Yes ☐ No</div>
<div>12 Does the ESOP hold any stock that is not readily tradable on an established securities market?</div>	<div>☐ Yes ☐ No</div>

For Paperwork Reduction Act Notice, see the Instructions for Form 5500.

Schedule R (Form 5500) 2020
v. 200204

Part V Additional Information for Multiemployer Defined Benefit Pension Plans

13 Enter the following information for each employer that contributed more than 5% of total contributions to the plan during the plan year (measured in dollars). See instructions. *Complete as many entries as needed to report all applicable employers.*

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

- 14** Enter the number of deferred vested and retired participants (inactive participants), as of the beginning of the plan year, whose contributing employer is no longer making contributions to the plan for:

a The current plan year. Check the box to indicate the counting method used to determine the number of inactive participants: ☐ last contributing employer ☐ alternative ☐ reasonable approximation (see instructions for required attachment).....

b The plan year immediately preceding the current plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment).....

c The second preceding plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment).....

14a	
14b	
14c	

- 15** Enter the ratio of the number of participants under the plan on whose behalf no employer had an obligation to make an employer contribution during the current plan year to:

a The corresponding number for the plan year immediately preceding the current plan year.....

b The corresponding number for the second preceding plan year.....

15a	
15b	

- 16** Information with respect to any employers who withdrew from the plan during the preceding plan year:

a Enter the number of employers who withdrew during the preceding plan year.....

b If line 16a is greater than 0, enter the aggregate amount of withdrawal liability assessed or estimated to be assessed against such withdrawn employers.....

16a	
16b	

- 17** If assets and liabilities from another plan have been transferred to or merged with this plan during the plan year, check box and see instructions regarding supplemental information to be included as an attachment. ☐

Part VI Additional Information for Single-Employer and Multiemployer Defined Benefit Pension Plans

- 18** If any liabilities to participants or their beneficiaries under the plan as of the end of the plan year consist (in whole or in part) of liabilities to such participants and beneficiaries under two or more pension plans as of immediately before such plan year, check box and see instructions regarding supplemental information to be included as an attachment..... ☐

- 19** If the total number of participants is 1,000 or more, complete lines (a) through (c)

a Enter the percentage of plan assets held as:
 Stock: _____% Investment-Grade Debt: _____% High-Yield Debt: _____% Real Estate: _____% Other: _____%

b Provide the average duration of the combined investment-grade and high-yield debt:
☐ 0-3 years ☐ 3-6 years ☐ 6-9 years ☐ 9-12 years ☐ 12-15 years ☐ 15-18 years ☐ 18-21 years ☐ 21 years or more

c What duration measure was used to calculate line 19(b)?
☐ Effective duration ☐ Macaulay duration ☐ Modified duration ☐ Other (specify): _____

- 20 PBGC missed contribution reporting requirements.** If this is a multiemployer plan or a single-employer plan that is not covered by PBGC, skip line 20.

a Is the amount of unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40 greater than zero? ☐ Yes ☐ No

b If line 20a is "Yes," has PBGC been notified as required by ERISA sections 4043(c)(5) and/or 303(k)(4)? Check the applicable box:
☐ Yes.
☐ No. Reporting was waived under 29 CFR 4043.25(c)(2) because contributions equal to or exceeding the unpaid minimum required contribution were made by the 30th day after the due date.
☐ No. The 30-day period referenced in 29 CFR 4043.25(c)(2) has not yet ended, and the sponsor intends to make a contribution equal to or exceeding the unpaid minimum required contribution by the 30th day after the due date.
☐ No. Other. Provide explanation _____

**CORNERSTONE BUILDING BRANDS 401(K) PROFIT
SHARING PLAN**

**FINANCIAL STATEMENTS AND SUPPLEMENTAL SCHEDULES
WITH INDEPENDENT AUDITOR'S REPORT**

As of and for the Years Ended December 31, 2020 and 2019

CORNERSTONE BUILDING BRANDS 401(K) PROFIT SHARING PLAN

December 31, 2020 and 2019

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*All other schedules required by Section 2520.103-10 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974 have been omitted because they are not applicable.



Independent Auditor's Report

The Benefits Committee, Plan Administrator and Plan Participants
Cornerstone Building Brands 401(k) Profit Sharing Plan

We have audited the accompanying financial statements of the Cornerstone Building Brands 401(k) Profit Sharing Plan (formerly the NCI 401(k) Profit Sharing Plan) (the Plan), which comprise the statement of net assets available for benefits as of December 31, 2020, and the related statement of changes in net assets available for benefits for the year then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the net assets available for benefits of the Plan as of December 31, 2020, and the changes in net assets available for benefits for the year then ended, in conformity with accounting principles generally accepted in the United States of America.

Report on Supplementary Information

Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The supplemental schedule of assets (held at end of year) as of December 31, 2020, and schedule of delinquent participant contributions for the year then ended are presented for the purpose of additional analysis and are not a required part of the financial statements but are supplementary information required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974. Such information is the responsibility of the Plan's management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the financial statements as a whole.

Hancock Askew & Co., LLP

Peachtree Corners, Georgia
June 22, 2021

Cornerstone Building Brands 401(k) Profit Sharing Plan
Statements of Net Assets Available for Benefits
December 31, 2020 and 2019

	<u>2020</u>	<u>2019</u>
Assets:		
Investments, at fair value (See Notes 3 and 4):		
Mutual funds	\$ 499,309,929	\$ 9,024
Common collective trust	90,673,139	44,516,726
Cornerstone Building Brands Stock Fund	8,253,674	7,986,030
Total investments	<u>598,236,742</u>	<u>52,511,780</u>
Receivables:		
Participants' contributions	-	150,885
Employer contributions	212,898	3,431,921
Participant notes receivable	13,660,154	7,668,665
Pending cash settlement receivable (See Note 1)	-	245,834,623
Total receivables	<u>13,873,052</u>	<u>257,086,094</u>
Net assets available for benefits	<u><u>\$ 612,109,794</u></u>	<u><u>\$ 309,597,874</u></u>

The accompanying notes are an integral part of these financial statements.

Cornerstone Building Brands 401(k) Profit Sharing Plan
Statements of Changes in Net Assets Available for Benefits
Years Ended December 31, 2020 and 2019

	2020	2019
Additions to net assets attributed to:		
Investment income:		
Interest and dividends	\$ 5,702,535	\$ 4,181,149
Net appreciation in fair value of investments	65,479,886	48,181,323
Total net investment income	71,182,421	52,362,472
Interest income on notes receivable from participants	892,973	461,904
Contributions:		
Participant	34,375,220	16,692,262
Employer	18,090,924	7,980,583
Rollover	3,947,464	1,386,533
Total contributions	56,413,608	26,059,378
Total additions	128,489,002	78,883,754
Deductions to net assets attributed to:		
Benefits paid directly to participants	108,331,671	41,321,851
Administrative expenses	734,142	711,165
Total deductions	109,065,813	42,033,016
Net increase in net assets, before transfers	19,423,189	36,850,738
Transfers in (See Note 1)	283,088,731	-
Net increase in net assets, after transfers	302,511,920	36,850,738
Net assets available for benefits:		
Beginning of the year	309,597,874	272,747,136
End of the year	\$ 612,109,794	\$ 309,597,874

The accompanying notes are an integral part of these financial statements.

Cornerstone Building Brands 401(k) Profit Sharing Plan
Notes to Financial Statements
December 31, 2020 and 2019

Note 1: Description of the Plan

The following description of the Cornerstone Building Brands 401(k) Profit Sharing Plan (formerly the NCI 401(k) Profit Sharing Plan) (the “Plan”) provides only general information. Participants should refer to the Summary Plan Description and Plan document, which are available from the Plan administrator, for a more complete description of the Plan’s provisions.

General

The Plan, established January 15, 1992, is a defined contribution plan covering all eligible employees (at least eighteen years of age or older, effective January 1, 2020) of Cornerstone Building Brands, Inc., formerly NCI Building Systems, Inc., and its affiliates (the “Company”, the “Employer” or “Plan Sponsor”).

The trustee and recordkeeper of the Plan were Wells Fargo Bank, N.A. (“Wells Fargo”) through December 31, 2019. Effective January 1, 2020, the trustee and recordkeeper were changed to Fidelity Management Trust Company (“Fidelity”). In preparation for the transition to Fidelity, the majority of the investments held at Wells Fargo were liquidated and held as a pending cash settlement receivable of \$245,834,623 as of December 31, 2019.

The Plan has been amended from time to time. Effective January 1, 2016, the Plan was amended and restated in the form of a volume submitter plan sponsored by Wells Fargo Bank, N.A. As amended, the Plan reflected the most recent statutory and regulatory changes applicable to plans maintained under sections 401(a) and 401(k) of the Internal Revenue Code. Effective January 1, 2020, in conjunction with the change in trustee and recordkeeper to Fidelity, the Plan was restated to a Fidelity Volume Submitter Plan Document (“Fidelity Document”), that is designed to comply with the provisions of the Internal Revenue Code Economic Growth and Tax Relief Reconciliation Act of 2001 (“EGTRRA”).

The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974 (“ERISA”), as amended.

Effective January 1, 2020, the Environmental Materials, LLC 401(k) Plan (“Environmental Materials Plan”) and the Ply Gem 401(k) Savings Plan (“prior plan” or “Ply Gem Plan”) were merged into the Plan. In order to facilitate this transition, participants of the Environmental Materials Plan were not able to enroll, direct or diversify investments to their accounts, or obtain a loan or distribution from their Environmental Materials Plan accounts from December 27, 2019, through the week of January 19, 2020. The participants of the Ply Gem Plan were not able to enroll, direct or diversify investments to their accounts, or obtain a loan or distribution from their Ply Gem Plan accounts from December 18, 2019, through the week of January 19, 2020. Participant balances from the Environmental Materials Plan and Ply Gem Plan of approximately \$9,547,000 and \$264,673,000, respectively, and loan balances of \$264,000 and \$8,604,000, respectively, were transferred into the Plan in January 2020.

On March 27, 2020, the Coronavirus Aid, Relief, and Economic Security Act (“CARES Act”) was passed into law. The CARES Act expands the ability of certain 401(k) plan participants to withdraw, penalty free, funds from their vested retirement plan accounts, increases the participant loan limit, and delays loan repayments for up to one year, subject to the certain participant eligibility criteria. The Plan adopted certain provisions of the CARES Act and will subsequently amend the Plan to incorporate these provisions.

Automatic Enrollment

Prior to January 1, 2020, eligible employees hired on or following January 1, 2017 and whose Plan entry date was on or following March 1, 2017, were automatically enrolled in the Plan and deemed to have elected a deferral rate of 3% of their pre-tax annual compensation, unless the employee affirmatively elected not to participate or elected a different deferral rate. Effective January 1, 2020, the Plan was restated and the automatic enrollment provision was eliminated.

Cornerstone Building Brands 401(k) Profit Sharing Plan
Notes to Financial Statements
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Contributions

Effective January 1, 2020, participants may contribute on a pre-tax or after-tax Roth basis a minimum of 1% up to a maximum of 75% of their compensation (as defined by the Plan), limited to the maximum limit determined annually by the Internal Revenue Service. Prior to January 1, 2020, participants could contribute on a pre-tax or after-tax Roth basis a minimum of 1% up to a maximum of 50% of their annual compensation, limited to the maximum limit determined annually by the Internal Revenue Service. Effective January 1, 2019, the Company executed a resolution to remove the 7% highly compensated employee limit for deferrals (formerly limited to deferring a maximum of 7% of their annual compensation) and removed the availability of flat dollar contributions elections. Effective January 1, 2020, a voluntary auto-increase feature has been added allowing participants to designate a 1 percent to 3 percent automatic annual contribution increase to their accounts.

Effective January 1, 2020, the Plan Sponsor will contribute a Safe Harbor match of 100 percent of the first 3 percent of pay contributed by participants and 50 percent of the next 2 percent of pay contributed and will contribute the match on a pay-period basis. The Company may also make a discretionary matching contribution in an amount determined by the Plan Sponsor for non-collectively bargained employees, not to exceed 4 percent of pay contributed to the Plan. Collectively bargained employees receive a non-discretionary match of the same percentage as the non-collectively bargained employees. Additionally, certain collectively bargained employees receive a non-discretionary, non-elective contribution of 4 percent of their gross pay in lieu of a pension accrual. For the years ended December 31, 2020 and 2019, the Company made discretionary and non-discretionary matching contributions totaling \$17,878,026 and \$7,766,172, respectively, of which \$3,217,510, is included in Employer contributions receivable as of December 31, 2019. For the years ended December 31, 2020 and 2019, the Company made non-discretionary non-elective contributions totaling \$212,898 and \$214,411, respectively, which are included in Employer contributions receivable as of December 31, 2020 and 2019, respectively.

Participants direct the investment of their contributions, as well as the Company's contribution, into various investment options offered by the Plan. The Plan currently offers a variety of mutual funds (including unitized portfolios), common collective trust funds, and the Cornerstone Building Brands Stock Fund ("the Cornerstone Stock Fund") as investment options for participants.

Participant Accounts

Each participant's account is credited with the participant's contribution, the Company's contribution and the Plan's earnings, and is charged with withdrawals and an allocation of Plan losses and certain administrative expenses such as participant loan fees, express mailing charges on requested distributions, frequent trading fees and recordkeeping fees. The benefit to which a participant is entitled is the benefit that can be provided from the participant's vested account balance.

Effective January 1, 2020, Roth in-plan conversions are now permitted.

Vesting and Forfeitures

Participants are immediately vested in their voluntary contributions plus earnings thereon. Participants are vested in the Company's discretionary and non-discretionary contribution portions of their accounts plus earnings thereon based on "years of service" as that term is defined in the Plan document. Participants are fully vested in the Company's contributions upon completion of three years of service. In addition, vesting schedules for certain Employer contributions made to the Environmental Materials Plan and the Ply Gem Plan, that merged into the Plan, remain in place. Effective January 1, 2020, a safe harbor match has been added to the Plan in which participants are 100% vested. All participants who were actively employed on January 1, 2020 had their accounts fully vested.

Cornerstone Building Brands 401(k) Profit Sharing Plan
Notes to Financial Statements
December 31, 2020 and 2019

A participant becomes fully vested upon death, becoming disabled (as defined in the Plan) or attaining age 65; otherwise, the non-vested balance is forfeited upon termination of service. Forfeitures may be used to pay for Plan administrative expenses and to reduce Employer contributions. At December 31, 2020 and 2019, forfeited, non-vested accounts totaled approximately \$316,000 and \$222,000, respectively. For the years ended December 31, 2020 and 2019, Plan fees totaling approximately \$257,000 and \$239,000, respectively, were paid from forfeited, non-vested accounts, approximately \$937,000 was used to offset Employer contributions for 2020, and no forfeitures were used to offset Employer contributions for 2019.

Payment of Benefits

Upon termination of service, a participant may elect to receive partial, lump-sum or installment amounts equal to the vested value of the participant's account, shares of the Company's common stock at the value of the Cornerstone Stock Fund, or continue in the trust in such a manner as though the participant had not terminated (if the participant's account balance is greater than \$5,000, excluding rollover contributions), subject to minimum distribution rules as described in the Plan document. Participants over the age of 59 1/2 may make in-service withdrawals of the vested value of their accounts. Distributions prior to the age of 59 1/2 are also permitted for hardship withdrawals in the event of an immediate and heavy financial need, as defined in the Plan document.

Participant Notes Receivable

Participants may borrow from their fund accounts a minimum of \$1,000 up to a maximum of \$50,000, or 50% of their vested account balances, whichever is less. The loans are secured by the balances in the participants' accounts and bear interest at rates that are commensurate with local prevailing rates as determined by the Plan administrator. Interest rates on outstanding participant notes receivable ranged from 3.25% to 10.25% at December 31, 2020 and 4.25% to 10.25% at December 31, 2019. Principal and interest payments occur ratably through regular bi-weekly payroll deductions over a period not to exceed five years, unless the notes receivable were used to purchase a primary residence in which case the note receivable terms may exceed five years.

Effective January 1, 2019, the Company executed a resolution to limit the number of loans a participant can hold to one outstanding loan at a time; and to remove the loan requirement for hardship withdrawals.

Plan Termination

Although it has not expressed an intention to do so, the Company has the right under the Plan to discontinue its contributions at any time and to terminate the Plan, subject to the provisions of ERISA. In the event of Plan termination, participants will become 100% vested in their accounts.

Note 2: Summary of Significant Accounting Policies

Basis of Accounting

The financial statements of the Plan are prepared on the accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America ("U.S. GAAP").

Use of Estimates

The preparation of financial statements in conformity with U.S. GAAP requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities, disclosure of contingent assets and liabilities at the date of the financial statements, and the changes in net assets available for benefits during the reporting period. Actual results could differ from those estimates.

Cornerstone Building Brands 401(k) Profit Sharing Plan
Notes to Financial Statements
December 31, 2020 and 2019

Concentrations, Risks and Uncertainties

The Plan invests in various investment securities. Investment securities are exposed to various risks such as interest rate, market, and credit risks. Due to the level of risk associated with certain investment securities, it is at least reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect participants' account balances and the amounts reported in the Statements of Net Assets Available for Benefits and the Statements of Changes in Net Assets Available for Benefits.

The Plan's investments in the Wells Fargo Stable Return Fund, Cornerstone Small Cap Equity Fund and the Cornerstone Large Cap Equity Fund represented 15.16 percent, 12.02 percent and 21.64 percent, respectively, of the Plan's total investment balance at December 31, 2020. The Plan's investment in the Wells Fargo Stable Return Fund represented 14.92 percent of the Plan's total investment balance plus the pending cash settlement receivable balance at December 31, 2019.

In January 2020, the World Health Organization declared the outbreak of a novel coronavirus (COVID-19) as a "Public Health Emergency of International Concern," which continues to spread throughout the world and has adversely impacted global commercial activity and contributed to volatility in financial markets. The coronavirus outbreak and government responses are creating disruption in global supply chains and adversely impacting many industries. The outbreak could have a continued impact on economic and market conditions and trigger a period of global economic slowdown. The rapid development and fluidity of this situation precludes any prediction as to the ultimate impact of the coronavirus outbreak. Nevertheless, the outbreak presents uncertainty and risk with respect to the Plan, its investment performance, and overall financial results.

Valuation of Investments and Income Recognition

The Plan's investments are reported at fair value. Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. Certain Plan investments are reported at fair value, with fair value measured using the net asset value per share as a practical expedient. See Notes 3 and 4 for discussion of fair value measurements.

Net appreciation in fair value of investments includes capital gains, realized gains and losses on investments sold during the year and unrealized appreciation of investments held at the end of the year. Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded on the accrual basis. Dividends are recorded on the ex-dividend date.

Participant Notes Receivable

Participant notes receivable are measured at their unpaid principal balance and any accrued, unpaid interest was de minimis. Delinquent participant loans are reclassified as distributions based upon the terms of the Plan document. No allowance for credit losses was recorded as of December 31, 2020 and 2019.

Payment of Benefits

Benefit payments to participants are recorded upon distribution.

Cornerstone Building Brands 401(k) Profit Sharing Plan
Notes to Financial Statements
December 31, 2020 and 2019

Administrative Expenses

Certain expenses of maintaining the Plan are paid directly by the Company and are excluded from these financial statements. Fees related to the administration of notes receivable from participants are charged directly to the participant's account and are included in administrative expenses. Investment related expenses are included in net appreciation in fair value of investments. Effective January 1, 2020, the annual plan recordkeeping fee of \$43 per participant is paid by Plan participants via an automatic quarterly deduction and investment consulting fees are paid quarterly from forfeitures.

Prior to January 1, 2020, recordkeeping fees of nine basis points were allocated to participant accounts based upon account balances and were included in net appreciation in fair value of investments.

Expense Offset Arrangements

Prior to January 1, 2020, fees incurred by the Plan for investment management services or recordkeeping were included in net appreciation in fair value of investments, as they were paid through revenue sharing, rather than by direct payment.

Note 3: Fair Value Measurements

ASC 820 defines fair value and establishes a framework for measuring fair value. That framework provides a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (Level 1 measurements) and the lowest priority to unobservable inputs (Level 3 measurements). The three levels of the fair value hierarchy are described below:

Level 1 Inputs to the valuation methodology are unadjusted quoted prices for identical assets or liabilities in active markets that the Plan has the ability to access.

Level 2 Inputs to the valuation methodology include: 1) quoted prices for similar assets or liabilities in active markets, 2) quoted prices for identical or similar assets or liabilities in inactive markets, 3) inputs other than quoted prices that are observable for the asset or liability, and 4) inputs that are derived principally from or corroborated by observable market data by correlation or other means. If the asset or liability has a specified (contractual) term, the *Level 2* input must be observable for substantially the full term of the asset or liability.

Level 3 Inputs to the valuation methodology are unobservable and significant to the fair value measurement.

An asset's or liability's fair value measurement level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Valuation techniques used maximize the use of observable inputs and minimize the use of unobservable inputs. In determining the fair value, the Plan generally uses the market approach. The market approach uses prices and other relevant data based on market transactions involving identical or comparable assets and liabilities.

Following is a description of the valuation methodologies used for assets measured at fair value. There have been no changes in the methodologies used at December 31, 2020 and 2019.

Mutual funds: Mutual funds held by the Plan are open-ended mutual funds that are registered with the Securities and Exchange Commission. These funds are required to publish their daily net asset value ("NAV") and to transact at that price. The mutual funds held by the plan are classified as Level 1 investments, except for the mutual funds which are part of unitized portfolios for which the NAV is calculated by dividing the sum of the values of the underlying funds comprising the portfolio by the outstanding units of the portfolio, representing Level 2 measurements. The values of the funds are determined using the daily closing prices as reported by the funds. The mutual funds held by the Plan are deemed to be actively traded (market approach).

Cornerstone Building Brands 401(k) Profit Sharing Plan
Notes to Financial Statements
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Cornerstone Building Brands Stock Fund ("Cornerstone Unitized Fund"): Prior to January 1, 2020, this unitized fund was valued at the NAV of units of the fund. The NAV, as provided by Wells Fargo, was used as a practical expedient to estimate fair value. The NAV was based on the fair value of the underlying investments held by the fund, which was comprised of the Cornerstone Building Brands stock ("Cornerstone Stock") and a money market fund.

Cornerstone Building Brands Stock Fund ("Cornerstone Stock Fund"): Effective January 1, 2020, the Cornerstone Stock Fund is only comprised of Cornerstone stock and is valued at the closing price reported on the active market on which the individual security is traded.

Common collective trust: This fund, which is a stable value fund, is valued at the NAV of units of the collective trust. The NAV, as provided by Fidelity and Wells Fargo in 2020 and 2019, respectively, is used as a practical expedient to estimate fair value. The NAV is based on the fair value of the underlying investments held by the fund, less its liabilities.

The methods described above may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, while the Plan believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

The following tables set forth by level, within the fair value hierarchy, the Plan's investments at fair value as of December 31, 2020 and 2019:

Assets at Fair Value as of December 31, 2020				
	Level 1	Level 2	Level 3	Total
Mutual funds	\$ 203,285,763	\$ 296,024,166	\$ -	\$ 499,309,929
Cornerstone Stock Fund	8,253,674	-	-	8,253,674
Total assets in the fair value hierarchy	\$ 211,539,437	\$ 296,024,166	\$ -	\$ 507,563,603

Investments measured at net asset value (a):

Common collective trust	90,673,139
Total investments measured at net asset value	90,673,139
Investments at fair value	<u>\$ 598,236,742</u>

Assets at Fair Value as of December 31, 2019				
	Level 1	Level 2	Level 3	Total
Mutual funds	\$ -	\$ 9,024	\$ -	\$ 9,024
Total assets in the fair value hierarchy	\$ -	\$ 9,024	\$ -	\$ 9,024

Investments measured at net asset value (a):

Common collective trust	44,516,726
Cornerstone Unitized Fund	7,986,030
Total investments measured at net asset value	52,502,756
Investments at fair value	<u>\$ 52,511,780</u>

(a) *In accordance with Subtopic ASC 820-10, certain investments that were measured at net asset value per share (or its equivalent) have not been classified in the fair value hierarchy. The fair value amounts presented in this table are intended to permit reconciliation of the fair value hierarchy to the line items presented in the Statement of Net Assets Available for Benefits.*

Cornerstone Building Brands 401(k) Profit Sharing Plan
Notes to Financial Statements
December 31, 2020 and 2019

Note 4: Fair Value of Investments in Entities that Use NAV

The following table sets forth a summary of the Plan's investments with a reported NAV as of December 31, 2020 and 2019:

	Fair Value Estimated Using NAV per Share		Unfunded Commitment	Redemption Frequency	Other Redemption Restrictions	Redemption Notice Period
	December 31, 2020	December 31, 2019				
Common collective trust	\$ 90,673,139	\$ 44,516,726	None	Daily	None	12 months
Cornerstone Unitized Fund (a)	-	7,986,030	None	Daily	None	None

(a) *Established to provide employees an opportunity to share in the successes of the Company, and prior to January 1, 2020, included investments in the Cornerstone stock and a money market fund. Effective January 1, 2020 as a result of the conversion to Fidelity, the Cornerstone Stock Fund is only comprised of Cornerstone stock and is valued at the closing price reported on the active market on which the individual security is traded. Therefore, it is shown as a Level 1 investment and excluded from the NAV table at December 31, 2020.*

Note 5: Related Party Transactions

Certain Plan investments are shares of a collective fund managed by Wells Fargo, and mutual funds managed by Fidelity. Additionally, the Plan invests in shares of the Company's common stock and issues participant notes receivable. Such transactions qualify as party-in-interest transactions. These transactions are exempt from the ERISA prohibited transaction rules; thus, these transactions are permitted.

The Plan incurs expenses related to general administration. The Plan Sponsor pays certain expenses and accounting fees on behalf of the Plan.

Effective January 1, 2020, the Plan invests in the Cornerstone Stock Fund, which is comprised only of the Cornerstone Stock. The Plan held 889,405 shares of the Cornerstone Stock Fund, valued at \$8,253,674 at December 31, 2020. Prior to January 1, 2020, the Plan invested in the Cornerstone Unitized Fund, which was comprised of the Cornerstone stock and a money market fund. The Plan held 8,952,617 units of the Cornerstone Unitized Fund, valued at \$7,986,030 at December 31, 2019 (comprised of 929,321 shares of the Cornerstone stock, valued at \$7,908,515, and a money market fund valued at \$77,515). During the year ended December 31, 2020, purchases and sales of shares of the Cornerstone stock by the Plan totaled \$6,592,333 and \$8,061,462, respectively, and during the year ended December 31, 2019, purchases and sales of shares of the Cornerstone stock by the Plan totaled \$5,162,196 and \$3,538,516, respectively. For the years ended December 31, 2020 and 2019, the Plan had earnings of \$1,736,773 and \$1,580,642 on the shares of the Cornerstone Stock Fund and units of the Cornerstone Unitized Fund, respectively. These transactions qualify as party-in-interest transactions, which are exempt from prohibited transaction rules.

Cornerstone Building Brands 401(k) Profit Sharing Plan
Notes to Financial Statements
December 31, 2020 and 2019

Note 6: Plan Tax Status

The Plan, as amended and restated effective January 1, 2020, is a Volume Submitter Profit Sharing Plan with CODA (volume submitter plan) that is designed to comply with provisions of EGTRRA. Such volume submitter plans are pre-approved by the Internal Revenue Service (“IRS”) by reference to the Cumulative List of Changes in Plan Qualification Requirements (the “Cumulative List”) provided under EGTRRA. Accordingly, the Plan was eligible for a six-year remedial amendment cycle. Because the Plan is a volume submitter plan, the Company is not authorized to amend the Plan except to comply with changes in the Cumulative List. The Fidelity Document received a favorable advisory letter from the IRS dated March 31, 2014. Prior to January 1, 2020, the Plan was based on a volume submitter plan under Wells Fargo, which held a favorable advisory letter from the IRS dated March 31, 2014.

U.S. GAAP requires Plan management to evaluate tax positions taken by the Plan and recognize a tax liability if the Plan has taken an uncertain tax position that more likely than not would not be sustained upon examination by the IRS. Plan management has analyzed the tax positions taken by the Plan, and has concluded that as of December 31, 2020 and 2019, there are no uncertain positions taken or expected to be taken. The Plan has not recognized any interest or penalties related to uncertain tax positions. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress.

Note 7: Delinquent Participant Contributions

A contribution for the final pay period in 2019 could not be funded to Fidelity until January 24, 2020, due to the transition blackout period. The Plan Sponsor has determined this is not a prohibited transaction; however, the Company calculated and remitted the lost earnings for the contributions totaling \$199,739 for this time period under the Voluntary Fiduciary Correction Plan (“VFCP”).

The Company determined that it erroneously failed to remit participant contributions totaling \$3,357,792 to the Plan on a timely basis (within seven days) for the year ended December 31, 2018. While making the corrections for these late contributions, the Company determined that all contributions over five days late would be corrected, and therefore, the total amount to be corrected for the year ended December 31, 2018 increased to \$5,354,066. The Company corrected this under the VFCP in 2020.

The Ply Gem Plan had late contributions and loan repayments totaling \$3,311,198 for the 2018 plan year, late contributions and loan repayments totaling \$892,296 for the 2017 plan year, and late contributions and loan repayments totaling \$2,312,610 for the 2016 plan year. These amounts include additional late contributions and loan repayments identified after the 2019 Schedule of Delinquent Contributions was finalized. The reason for the additional late deferrals and loan repayments was that the initial Schedule of Delinquent Contributions only included amounts that were remitted after eleven to thirteen business days after the payroll date, and the revised Schedule of Delinquent Contributions included all remittances made after seven business days. The Company has completed the process of filing under the VFCP for each of these late contributions. See the accompanying supplemental Schedule of Delinquent Participant Contributions. There were delinquent contributions identified (and not reported on the 2019 Schedule of Delinquent Participant Contributions) for the 2019 plan year. This 2019 correction includes late payments for the blackout period mentioned in Note 1 for the merger. The Company has completed the process of filing under the VFCP for these delinquent contributions, which included late contributions and loan repayments totaling \$1,919,589 for the 2019 plan year. These amounts are shown as fully corrected on the 2020 Schedule of Delinquent Participant Contributions.

The Ply Gem Plan had additional late contributions and loan repayments totaling \$724,813 for the 2019 plan year, which have not yet been corrected. The Company is in the process of calculating and remitting lost earnings and filing under the VFCP. These amounts are listed as Contributions Not Corrected on the Schedule of Delinquent Participant Contributions.

The Environmental Materials Plan had late contributions and loan repayments totaling \$183 for the 2019 plan year. These were fully corrected outside of the VFCP during 2020.

Cornerstone Building Brands 401(k) Profit Sharing Plan
Notes to Financial Statements
December 31, 2020 and 2019

Note 8: Reconciliation of Financial Statements to Form 5500

The following is a reconciliation of net assets available for benefits per the financial statements as of December 31, 2020 and 2019, to the net assets on Form 5500:

	<u>2020</u>	<u>2019</u>
Net assets available for benefits per the financial statements	\$612,109,794	\$309,597,874
Transfers in from merged plans (a)	<u>-</u>	<u>283,088,731</u>
Net assets per Form 5500	<u>\$612,109,794</u>	<u>\$592,686,605</u>

The following is a reconciliation of the net increase in net assets available for benefits per the financial statements for the years ended December 31, 2020 and 2019, to the net income on Form 5500:

	<u>2020</u>	<u>2019</u>
Net increase in net assets available for benefits, after transfers, per the financial statements	\$302,511,920	\$ 36,850,738
Change in delinquent loans deemed distributions	-	349,347
Transfers in from merged plans (a)	<u>(283,088,731)</u>	<u>283,088,731</u>
Net income plus transfers per Form 5500	<u>\$ 19,423,189</u>	<u>\$320,288,816</u>

(a) The transfers out of these plans were reported on the 2019 Form 5500 for each of these plans in order to file a final Form 5500 for the respective plans. In order to be consistent, the transfers in were included on the Plan's 2019 Form 5500, but not included in the Plan's financial statements until 2020.

Note 9: Subsequent Events

Effective March 15, 2021, the Kleary Masonry 401(k) Plan & Trust was merged into the Plan. Assets of approximately \$465,000 were transferred into the Plan during 2021.

Plan management has evaluated all subsequent events, through June 22, 2021, which is the date the financial statements were available to be issued.

Supplemental Schedule
Cornerstone Building Brands 401(k) Profit Sharing Plan
EIN: 76-0127701; PN: 001
Schedule H, Line 4a – Schedule of Delinquent Participant Contributions
As of December 31, 2020

Participant Contributions Transferred Late to Plan		Total that Constitute Nonexempt Prohibited Transactions					
Check here if Late Participant Loan Repayments are included: ☒		Contributions Not Corrected		Contributions Corrected Outside VFCP		Contributions Pending Correction in VFCP	Total Fully Corrected Under VFCP and PTE 2002-51
2019*	\$ 199,739	\$ -		\$ -		-	\$ 199,739
2019*	2,644,585	724,813	***	183	*****	-	1,919,589 **
2018*	5,354,066	-		-		-	5,354,066
2018*	3,311,198	-		-		-	3,311,198 **
2017*	892,296	-		-		-	892,296 **
2016*	2,312,610	-		-		-	2,312,610 **

* Indicates a party-in-interest as defined by ERISA

** Related to the Ply Gem Plan which was merged into the Plan. Amounts include late deferrals shown on the Ply Gem Plan's 2019 financial statements and loan repayments not previously reported on the Ply Gem Plan's 2019 financial statements. The 2019 deferrals and loan repayments were not previously reported on the 2019 financial statements for the Ply Gem Plan.

*** Related to the Ply Gem Plan which was merged into the Plan. This includes \$622,443 of late contributions as shown on the 2019 financial statements of the Ply Gem Plan as well as loan amounts of \$102,370. The Company is in the process of calculating and remitting lost earnings and filing under the VFCP.

**** Related to the Environmental Materials Plan, which merged into the Plan. Amount was fully corrected outside of the VFCP in 2020.

See Independent Auditor's Report

Supplemental Schedule
Cornerstone Building Brands 401(k) Profit Sharing Plan
EIN: 76-0127701; PN: 001
Schedule H, Line 4i – Schedule of Assets (Held at End of Year)
As of December 31, 2020

(a)	(b)	(c)	(d)	(e)
		Description of Investment Including		
		Maturity Date, Rate of Interest,		
Identity of Issue, Borrower, Lessor or Similar Party		Collateral, Par or Maturity Value	Cost	Current Value
		Wells Fargo Stable Value Fund E	Common collective trust	** 90,673,139
* Cornerstone Building Brands Stock Fund		Common stock	**	8,253,674
Vanguard Treasury Money Market		Mutual Fund	**	3,844,894
Vanguard Institutional Target Retirement Income		Mutual Fund	**	3,447,798
Vanguard Institutional Target Retirement 2015		Mutual Fund	**	4,235,165
Vanguard Institutional Target Retirement 2020		Mutual Fund	**	14,120,082
Vanguard Institutional Target Retirement 2025		Mutual Fund	**	21,235,491
Vanguard Institutional Target Retirement 2030		Mutual Fund	**	29,123,651
Vanguard Institutional Target Retirement 2035		Mutual Fund	**	20,034,650
Vanguard Institutional Target Retirement 2040		Mutual Fund	**	19,163,215
Vanguard Institutional Target Retirement 2045		Mutual Fund	**	10,640,363
Vanguard Institutional Target Retirement 2050		Mutual Fund	**	11,183,818
Vanguard Institutional Target Retirement 2055		Mutual Fund	**	4,920,046
Vanguard Institutional Target Retirement 2060		Mutual Fund	**	3,167,321
Vanguard Institutional Target Retirement 2065		Mutual Fund	**	775,470
Vanguard TL International Bond Index Ad		Mutual Fund	**	938,634
DFA Global Real Estate Fund		Mutual Fund	**	1,417,863
* Fidelity Government Money Market Fund		Mutual Fund	**	3,437
* Fidelity U.S. Bond Index Fund		Mutual Fund	**	8,227,983
* Fidelity Total Market Index Fund		Mutual Fund	**	41,246,020
* Fidelity Total International Index Fund		Mutual Fund	**	5,559,862
Cornerstone Fixed Income Fund:				
Frost Low Duration Bond Inst		Mutual Fund	**	10,970,845
* Fidelity U.S. Bond Index		Mutual Fund	**	7,248,594
PGIM Total Return Bond R6		Mutual Fund	**	7,248,594
* Fidelity Inflation-Prot BD Index		Mutual Fund	**	4,309,976
Eaton Vance Income Fund of Boston I		Mutual Fund	**	5,093,607
Vanguard Total Intl BD IDX Admiral		Mutual Fund	**	4,309,975
				39,181,591
Cornerstone U.S. Large Cap Equity Fund:				
MFS Value R4		Mutual Fund	**	42,725,099
* Fidelity 500 Index		Mutual Fund	**	44,019,799
T. Rowe Price Lrg CP GR I		Mutual Fund	**	42,725,099
				129,469,997

* Indicates a party-in-interest as defined by ERISA

** Cost information is not presented because all investments are participant directed

See Independent Auditor's Report

Supplemental Schedule
Cornerstone Building Brands 401(k) Profit Sharing Plan
EIN: 76-0127701; PN: 001
Schedule H, Line 4i – Schedule of Assets (Held at End of Year) (Continued)
As of December 31, 2020

(a)	(b)	(c)	(d)	(e)
Identity of Issue, Borrower, Lessor or Similar Party	Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Cost	Current Value	
Cornerstone U.S. Small/Mid Cap Equity Fund:				
* Fidelity Mid Cap Index	Mutual Fund	**	35,960,629	
Victory Sycamore Small Company Opp I	Mutual Fund	**	17,980,314	
Hood River Small-Cap Growth Retirement	Mutual Fund	**	17,980,314	
			71,921,257	
Cornerstone International Equity Fund:				
* Fidelity Total International Index Fund	Mutual Fund	**	27,725,660	
American Funds Europacific Growth R6	Mutual Fund	**	27,725,661	
			55,451,321	
* Participant loans	Loans to participants bearing interest at rates ranging from 3.25% to 10.25% and maturing through 2039	-	13,660,154	
			\$ 611,896,896	

* Indicates a party-in-interest as defined by ERISA

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Supplemental Schedule
Cornerstone Building Brands 401(k) Profit Sharing Plan
EIN: 76-0127701; PN: 001
Schedule H, Line 4i – Schedule of Assets (Held at End of Year)
As of December 31, 2020

(a)	(b)	(c)	(d)	(e)
		Description of Investment Including		
		Maturity Date, Rate of Interest,		
Identity of Issue, Borrower, Lessor or Similar Party		Collateral, Par or Maturity Value	Cost	Current Value
		Wells Fargo Stable Value Fund E	Common collective trust	** 90,673,139
* Cornerstone Building Brands Stock Fund		Common stock	**	8,253,674
Vanguard Treasury Money Market		Mutual Fund	**	3,844,894
Vanguard Institutional Target Retirement Income		Mutual Fund	**	3,447,798
Vanguard Institutional Target Retirement 2015		Mutual Fund	**	4,235,165
Vanguard Institutional Target Retirement 2020		Mutual Fund	**	14,120,082
Vanguard Institutional Target Retirement 2025		Mutual Fund	**	21,235,491
Vanguard Institutional Target Retirement 2030		Mutual Fund	**	29,123,651
Vanguard Institutional Target Retirement 2035		Mutual Fund	**	20,034,650
Vanguard Institutional Target Retirement 2040		Mutual Fund	**	19,163,215
Vanguard Institutional Target Retirement 2045		Mutual Fund	**	10,640,363
Vanguard Institutional Target Retirement 2050		Mutual Fund	**	11,183,818
Vanguard Institutional Target Retirement 2055		Mutual Fund	**	4,920,046
Vanguard Institutional Target Retirement 2060		Mutual Fund	**	3,167,321
Vanguard Institutional Target Retirement 2065		Mutual Fund	**	775,470
Vanguard TL International Bond Index Ad		Mutual Fund	**	938,634
DFA Global Real Estate Fund		Mutual Fund	**	1,417,863
* Fidelity Government Money Market Fund		Mutual Fund	**	3,437
* Fidelity U.S. Bond Index Fund		Mutual Fund	**	8,227,983
* Fidelity Total Market Index Fund		Mutual Fund	**	41,246,020
* Fidelity Total International Index Fund		Mutual Fund	**	5,559,862
Cornerstone Fixed Income Fund:				
Frost Low Duration Bond Inst		Mutual Fund	**	10,970,845
* Fidelity U.S. Bond Index		Mutual Fund	**	7,248,594
PGIM Total Return Bond R6		Mutual Fund	**	7,248,594
* Fidelity Inflation-Prot BD Index		Mutual Fund	**	4,309,976
Eaton Vance Income Fund of Boston I		Mutual Fund	**	5,093,607
Vanguard Total Intl BD IDX Admiral		Mutual Fund	**	4,309,975
				39,181,591
Cornerstone U.S. Large Cap Equity Fund:				
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* Fidelity 500 Index		Mutual Fund	**	44,019,799
T. Rowe Price Lrg CP GR I		Mutual Fund	**	42,725,099
				129,469,997

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See Independent Auditor's Report

Supplemental Schedule
Cornerstone Building Brands 401(k) Profit Sharing Plan
EIN: 76-0127701; PN: 001
Schedule H, Line 4i – Schedule of Assets (Held at End of Year) (Continued)
As of December 31, 2020

(a)	(b)	(c)	(d)	(e)
Identity of Issue, Borrower, Lessor or Similar Party	Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Cost	Current Value	
Cornerstone U.S. Small/Mid Cap Equity Fund:				
* Fidelity Mid Cap Index	Mutual Fund	**	35,960,629	
Victory Sycamore Small Company Opp I	Mutual Fund	**	17,980,314	
Hood River Small-Cap Growth Retirement	Mutual Fund	**	17,980,314	
			71,921,257	
Cornerstone International Equity Fund:				
* Fidelity Total International Index Fund	Mutual Fund	**	27,725,660	
American Funds Europacific Growth R6	Mutual Fund	**	27,725,661	
			55,451,321	
* Participant loans	Loans to participants bearing interest at rates ranging from 3.25% to 10.25% and maturing through 2039	-	13,660,154	
			\$ 611,896,896	

* Indicates a party-in-interest as defined by ERISA

** Cost information is not presented because all investments are participant directed

See Independent Auditor's Report

Supplemental Schedule
Cornerstone Building Brands 401(k) Profit Sharing Plan
EIN: 76-0127701; PN: 001
Schedule H, Line 4a – Schedule of Delinquent Participant Contributions
As of December 31, 2020

Participant Contributions Transferred Late to Plan		Total that Constitute Nonexempt Prohibited Transactions				
Check here if Late Participant Loan Repayments are included: ☒		Contributions Not Corrected		Contributions Corrected Outside VFCP	Contributions Pending Correction in VFCP	Total Fully Corrected Under VFCP and PTE 2002-51
2019*	\$ 199,739	\$ -		\$ -	-	\$ 199,739
2019*	2,644,585	724,813	***	183	*****	1,919,589 **
2018*	5,354,066	-		-	-	5,354,066
2018*	3,311,198	-		-	-	3,311,198 **
2017*	892,296	-		-	-	892,296 **
2016*	2,312,610	-		-	-	2,312,610 **

* Indicates a party-in-interest as defined by ERISA

** Related to the Ply Gem Plan which was merged into the Plan. Amounts include late deferrals shown on the Ply Gem Plan's 2019 financial statements and loan repayments not previously reported on the Ply Gem Plan's 2019 financial statements. The 2019 deferrals and loan repayments were not previously reported on the 2019 financial statements for the Ply Gem Plan.

*** Related to the Ply Gem Plan which was merged into the Plan. This includes \$622,443 of late contributions as shown on the 2019 financial statements of the Ply Gem Plan as well as loan amounts of \$102,370. The Company is in the process of calculating and remitting lost earnings and filing under the VFCP.

**** Related to the Environmental Materials Plan, which merged into the Plan. Amount was fully corrected outside of the VFCP in 2020.

See Independent Auditor's Report