

Executive Branch Personnel

Public Financial Disclosure Report:

Periodic Transaction Report (OGE Form 278-T)

Filer's Information

BARTON, CONSTANCE A

Director, Office of Standard Contract Management, Department of Energy

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ BARTON, CONSTANCE A [electronically signed on 03/16/2021 by BARTON, CONSTANCE A in Integrity.gov]

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Stewart, Yvonne R, Certifying Official [electronically signed on 05/14/2021 by Stewart, Yvonne R in Integrity.gov]

Other review conducted by

/s/ Stewart, Yvonne R, Ethics Official [electronically signed on 05/14/2021 by Stewart, Yvonne R in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 05/14/2021

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(05/14/2021, Stewart, Yvonne R): 208: Hypower Fuel, Ascent Solar Technologies, FuelCell Energy, Plug Power, Bloom Energy, 3D Systems, Alaska Pacific Energy Corp., Barrel Energy, Allied Energy

Transactions

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
1	INCT	Sale	02/05/2021	No	\$1,001 - \$15,000
2	InCapta, Inc. (INCT)	Purchase	02/08/2021	No	\$1,001 - \$15,000
3	INCT	Sale	02/11/2021	No	\$1,001 - \$15,000
4	OneLink Corporation (OLNK)	Purchase	02/11/2021	No	\$1,001 - \$15,000
5	InCapta, Inc. (INCT)	Purchase	02/19/2021	No	\$1,001 - \$15,000
6	Cyclo3pss Corporation (CYPS)	Purchase	03/10/2021	No	\$1,001 - \$15,000
7	Ascent Solar Technologies, Inc. (ASTI)	Purchase	03/10/2021	No	\$1,001 - \$15,000
8	Hypower Fuel, Inc. (HYPF)	Purchase	03/10/2021	No	\$1,001 - \$15,000
9	InCapta, Inc. (INCT)	Purchase	03/10/2021	No	\$1,001 - \$15,000
10	Indo Global Exchange(s) PTE, Ltd. (IGEX)	Purchase	03/10/2021	No	\$1,001 - \$15,000
11	Hypower Fuel, Inc. (HYPF)	Purchase	03/10/2021	No	\$1,001 - \$15,000
12	Express, Inc. (EXPR)	Purchase	01/28/2021	No	\$1,001 - \$15,000
13	BLIAQ	Purchase	01/28/2021	No	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
14	Alaska Pacific Energy Corp. (ASKE)	Purchase	01/28/2021	No	\$1,001 - \$15,000
15	ASTI	Sale	01/28/2021	No	\$1,001 - \$15,000
16	INCT	Sale	01/28/2021	No	\$1,001 - \$15,000
17	VPER	Sale	01/28/2021	No	\$1,001 - \$15,000
18	INTK	Sale	01/28/2021	No	\$1,001 - \$15,000
19	FBCD	Sale	01/28/2021	No	\$1,001 - \$15,000
20	EXPR	Sale	01/28/2021	No	\$1,001 - \$15,000
21	Barrel Energy, Inc. (BRLL)	Purchase	01/28/2021	No	\$1,001 - \$15,000
22	BRLL	Sale	01/29/2021	No	\$1,001 - \$15,000
23	Hypower Fuel, Inc. (HYPF)	Purchase	01/29/2021	No	\$1,001 - \$15,000
24	InCapta, Inc. (INCT)	Purchase	01/29/2021	No	\$1,001 - \$15,000
25	Barrel Energy, Inc. (BRLL)	Purchase	01/29/2021	No	\$1,001 - \$15,000
26	AMC Entertainment Holdings, Inc. (AMC)	Purchase	01/29/2021	No	\$1,001 - \$15,000
27	HYPF	Sale	01/27/2021	No	\$1,001 - \$15,000
28	HYPF	Sale	01/27/2021	No	\$1,001 - \$15,000
29	HYPF	Sale	01/27/2021	No	\$1,001 - \$15,000
30	INCT	Sale	01/27/2021	No	\$1,001 - \$15,000
31	INCT	Sale	01/27/2021	No	\$1,001 - \$15,000
32	FCEL	Sale	01/27/2021	No	\$1,001 - \$15,000
33	CNET	Sale	01/27/2021	No	\$1,001 - \$15,000
34	EXPR	Sale	01/27/2021	No	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
35	InCapta, Inc. (INCT)	Purchase	01/27/2021	No	\$1,001 - \$15,000
36	Viper Networks, Inc. (VPER)	Purchase	01/27/2021	No	\$1,001 - \$15,000
37	Allied Energy, Inc. (AGGI)	Purchase	01/27/2021	No	\$1,001 - \$15,000
38	ASTI	Sale	01/27/2021	No	\$1,001 - \$15,000
39	FBC Holding, Inc. (FBCD)	Purchase	01/27/2021	No	\$1,001 - \$15,000
40	AMC Entertainment Holdings, Inc. (AMC)	Purchase	01/27/2021	No	\$1,001 - \$15,000
41	AMC	Sale	01/27/2021	No	\$1,001 - \$15,000
42	WATT	Sale	01/27/2021	No	\$1,001 - \$15,000
43	First Colombia Gold Corp. (FCGD)	Purchase	01/27/2021	No	\$1,001 - \$15,000
44	Ascent Solar Technologies, Inc. (ASTI)	Purchase	01/27/2021	No	\$1,001 - \$15,000
45	AMC Entertainment Holdings, Inc. (AMC)	Purchase	01/27/2021	No	\$1,001 - \$15,000
46	Industrial Nanotech, Inc. (INTK)	Purchase	01/27/2021	No	\$1,001 - \$15,000
47	ASTI	Sale	01/25/2021	No	\$1,001 - \$15,000
48	Express, Inc. (EXPR)	Purchase	01/25/2021	No	\$1,001 - \$15,000
49	Energous Corp. (WATT)	Purchase	01/25/2021	No	\$1,001 - \$15,000
50	Ascent Solar Technologies, Inc. (ASTI)	Purchase	01/25/2021	No	\$1,001 - \$15,000
51	Atossa Therapeutics, Inc. (ATOS)	Purchase	01/25/2021	No	\$1,001 - \$15,000
52	Hypower Fuel, Inc. (HYPF)	Purchase	01/25/2021	No	\$1,001 - \$15,000
53	GameStop Corp. (GME)	Purchase	01/25/2021	No	\$1,001 - \$15,000
54	GME	Sale	01/25/2021	No	\$1,001 - \$15,000
55	InCapta, Inc. (INCT)	Purchase	01/25/2021	No	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
56	ATOS	Sale	01/25/2021	No	\$1,001 - \$15,000
57	PLUG	Sale	01/25/2021	No	\$1,001 - \$15,000
58	FuelCell Energy, Inc. (FCEL)	Purchase	01/08/2021	No	\$1,001 - \$15,000
59	Bloom Energy Corporation (BE)	Purchase	01/08/2021	No	\$1,001 - \$15,000
60	3D Systems Corp. (DDD)	Purchase	01/08/2021	No	\$1,001 - \$15,000
61	Plug Power, Inc. (PLUG)	Purchase	01/08/2021	No	\$1,001 - \$15,000
62	ZW Data Action Technologies Inc. (CNET)	Purchase	01/12/2021	No	\$1,001 - \$15,000
63	BE	Sale	01/13/2021	No	\$1,001 - \$15,000
64	Ascent Solar Technologies, Inc. (ASTI)	Purchase	01/14/2021	No	\$1,001 - \$15,000
65	Ascent Solar Technologies, Inc. (ASTI)	Purchase	01/19/2021	No	\$1,001 - \$15,000
66	Ascent Solar Technologies, Inc. (ASTI)	Purchase	01/19/2021	No	\$1,001 - \$15,000
67	ASTI	Sale	01/21/2021	No	\$1,001 - \$15,000
68	Ascent Solar Technologies, Inc. (ASTI)	Purchase	01/21/2021	No	\$1,001 - \$15,000
69	DDD	Sale	01/21/2021	No	\$1,001 - \$15,000
70	ASTI	Sale	01/21/2021	No	\$1,001 - \$15,000
71	Ascent Solar Technologies, Inc. (ASTI)	Purchase	01/21/2021	No	\$1,001 - \$15,000

Endnotes

Summary of Contents

The 278-T discloses purchases, sales, or exchanges of securities in excess of \$1,000 made on behalf of the filer, the filer's spouse, or dependent child. Transactions are required to be disclosed within 30 days of receiving notification of a transaction but not later than 45 days after the transaction. Filers need not disclose (1) mutual funds and

other excepted investment funds; (2) certificates of deposit, savings or checking accounts, and money market accounts; (3) U.S. Treasury bills, notes, and bonds; (4) Thrift Savings Plan accounts; (5) real property; and (6) transactions that are solely by and between the filer, the filer's spouse, and the filer's dependent children.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. Failure to provide the requested information may result in separation, disciplinary action, or civil action. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record; (9) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.
