

JULY 10, 2026

VIA EMAIL & CERTIFIED U.S. MAIL

TO

NYSE Regulation — Listed Company Compliance

**New York Stock Exchange**

11 Wall Street

New York, NY 10005

RE

**Inquiry and records request — GLAS listing review, FPI affirmation, Rule 10A-3, §314 related parties, ASC 810 deconsolidation, and disclosure correspondence**

Dear Listed Company Compliance and Records Custodian,

I write in good faith to request information, records, and clarification concerning the relationships among Dalton Investments, Rosenwald Capital Management, Kings Bay, Rosenwald Partners, Beach Front, and Glass House Brands. This is a broad inquiry because the publicly disclosed ownership, financing, personnel, family, advisory, real-estate, insurance, and governance relationships cross entity lines.

This letter does not accuse any person or entity of misconduct. It asks you to confirm, correct, or explain my understanding and to provide the records that permit an informed assessment. Where I rely on first-hand experience rather than a public filing, I say so expressly.

Please respond within 21 days. If you cannot complete the response in that period, identify what you can provide, designate a response coordinator, and give a firm production schedule. If a premise is wrong, please state the correction and provide the record that resolves it.

## **BASIS FOR INQUIRY**

- GLAS began NYSE trading after a June 2026 deconsolidation and submitted an FPI governance affirmation/certification. The request recognizes that some exchange regulatory records may be confidential.

## **REQUESTED RECORDS AND CLARIFICATION**

- Provide publicly releasable listing application, certification, FPI corporate-governance affirmation, governance-differences materials, deficiency or cure notices, and correspondence concerning GLAS.
- Provide correspondence or issue summaries concerning Rule 10A-3 audit-committee independence, Jocelyn Rosenwald, founder/family relationships, Dalton/RCM/Kings Bay, Beach Front, related-party oversight under §314, and the unresolved ITGC weakness.
- Provide correspondence concerning the GHR/NSJB deconsolidation, ASC 810, seller financing, retained economics, missing agreements, adult-use versus medical cannabis, DCC approvals, and continued-listing conditions.
- Identify the rules or policies governing public access to these records and any available appeal or reconsideration path for withheld material.

## **PROCESSING**

- If NYSE is not subject to FOIA for these records, treat this as a voluntary transparency request and produce any material that can lawfully be disclosed.
- If SEC holds responsive exchange submissions, identify the form, date, and SEC filing or contact through which they may be requested.

## **CLOSING**

I welcome straightforward explanations and corrections. Please do not answer only for the formal legal entity if responsive information is held by an affiliate or service provider. The purpose is to obtain a coherent account of the relationships and the records needed to understand who invested, who advised, who controlled, who was paid, who approved each transaction, and what was disclosed to clients, investors, auditors, exchanges, and regulators.

Respectfully,



**ABRAHAM ROSENWALD**

SELF-REPRESENTED PARTY

Appearing Pro Se

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