Source and evidence schedule

Date: July 10, 2026

This schedule identifies the source class behind the joint inquiry. It is not a representation that every question has already been proven.

A. First-hand source

F-1. Abraham Rosenwald statement, July 10, 2026

- Abraham is JBR IV’s husband and Jocelyn Rosenwald’s brother-in-law.
- Jocelyn is JBR III’s daughter and JBR IV’s sister.
- Abraham personally attended a Glass House Farms tour with Dalton CEO Sarah Alfandari, who brought a family member from France.
- Abraham understands that Alfandari, Steven Persky, Christopher Ha, Janet Hunpadongrat, and Anita Vora invested in Glass House.
- Abraham understands that Ha, Hunpadongrat, and Vora performed functions affecting RCM and Glass House finances.
- Abraham’s direct experience is that Beach Front and Glass House operated as a closely integrated network.

Use: personal observation and basis for requesting confirmation. If formal proof is required, use a signed declaration identifying dates, locations, participants, statements heard, and the basis for each understanding.

B. Adviser records

A-1. Dalton Investments, Inc. current Form ADV, CRD 308609, filed March 30, 2026

Supports:

- Sarah Alfandari: CEO, President, Director, control person.
- Christopher Ha: Secretary, CCO, Counsel, control person.
- Janet Hunpadongrat: Treasurer, COO, CFO, control person.
- JBR III: Chairman and CIO.
- Jocelyn Rosenwald: Director.
- RCM: majority owner.
- Beach Front Properties: related person.
- Current AUM, client categories, private funds, related persons, books and records.

Local source: /Users/icloudabe/GLAS_Rosenwald_Deep_Dive/sources/adv_308609.pdf

A-2. RCM current Form ADV, CRD 290118, filed June 29, 2026

Supports:

- Rosenwald Family Trust ownership.
- JBR III, Laura Rosenwald, Jill Rosenwald, Jocelyn Rosenwald, Anita Vora, and Christopher Ha roles.
- RCM management of Kings Bay and Rosenwald Partners.
- Kings Bay gross assets, owner count, related-person percentage, non-U.S. percentage, auditor, administrator, and custodians.
- Beach Front Properties related-person status.

Local source: /Users/icloudabe/GLAS_Rosenwald_Deep_Dive/sources/adv_290118.pdf

A-3. Legacy Dalton ADV, CRD 109538

Supports historical Steven Persky/Persky Financial ownership and control, predecessor governance, Beach Front relationships, and adviser history.

Local source: /Users/icloudabe/GLAS_Rosenwald_Deep_Dive/sources/dalton_adv_109538.pdf

A-4. Legacy RCM ADV, CRD 104630

Supports historical Beach Front fund family, Rosenwald Partners, related-person structures, and the 2006 NFA disclosure.

Local source: /Users/icloudabe/GLAS_Rosenwald_Deep_Dive/sources/rcm_adv_104630.pdf

C. Glass House issuer filings

G-1. Historical Form 20-F, accession 0001104659-22-131139

Supports:

- RCM advisory relationship with the Jocelyn May Rosenwald Trust.
- Trust's historic Glass House holdings.
- Kings Bay note history.
- Beach Front loans, consulting, real estate, and related-party arrangements.

G-2. FY2021 financial statements, accession 0001104659-22-036647, Exhibit 99.1

Supports:

- Kings Bay 6% / March 2023 note terms.
- Note balances and conversion.
- Security and UCC-3 termination.
- Beach Front $2 million / 15% note and conversion.

G-3. FY2025 Form 40-F package, accession 0001848731-26-000015

Supports:

- Related-party consulting, insurance, leases, preferred dividends, and Series E participation.
- ICFR/ITGC disclosures.
- Founder voting power and governance.

G-4. Q1 2026 6-K package, accession 0001848731-26-000025

Supports continuing related-party amounts and unresolved controls.

G-5. June 17, 2026 deconsolidation 6-K, accession 0001104659-26-074968

Supports:

- NSJB 100 Class A voting units / 10% economics.
- GLAS subsidiary 900 Exchangeable Units / 90% economics.
- Purchase Note financing.
- LLC and protection rights.
- Missing Consulting Services Agreement and note details.
- Pro forma accounting and arithmetic questions.

D. Canadian reporting

C-1. Official SEDI-derived JBR III transaction records

Supports Kings Bay and JBR IV Trust Glass House positions, control-or-direction reporting, trades, and reported balances.

Local sources: /Users/icloudabe/law_firm_associations/sedi_official/SEDI_JBR3_ITD_fulltext.txt /Users/icloudabe/law_firm_associations/SEDI_JROSENW003_transaction_detail_20260702_raw.txt

E. Corporate and regulatory records

E-1. California SOS

Supports Beach Front Properties active status, formation date, registered agent, identified joint ventures, and manager/member records available in Statements of Information.

E-2. California UCC portal

Supports financing-statement leads. An active filing does not prove default, balance, or enforceability.

E-3. DCC compliance records

Supports the public citation-and-fine row for CCL21-0005116. Full findings and amount require the citation packet.

E-4. DCC and local license records

Needed to identify owners, financial-interest holders, approvals, and the GHR/NSJB ownership transition.

F. Diligence bundles reviewed

1. /Users/icloudabe/Downloads/GLASSHOUSE_MASTER_DILIGENCE_BINDER_2026-07-10(1).pdf
2. /Users/icloudabe/GLASSHOUSE_DILIGENCE_FULL_BUNDLE_2026-07-10
3. /Users/icloudabe/GLAS_Rosenwald_Deep_Dive
4. /Users/icloudabe/GLAS_Diligence_Package

G. Evidence-status rules

- Public filing: may be stated as a filing fact.

- First-hand observation: attribute to Abraham.
- User understanding about another person’s investment or role: request confirmation; do not call it established unless corroborated.
- Inference: explain the factual basis and frame it as a question.
- Negative public search: never treat as proof of absence.
- Allegation in a complaint: label as allegation and identify procedural status.
- Missing document: identify as a gap, not evidence of concealment.