

JBR IV Trust - Master Evidence Binder

Exhibit C Public Records Compilation + Yearly Form ADVs + Supporting Evidence

Abraham Rosenwald, Self-Represented Defendant

May 25, 2026

JBR IV Trust — Master Evidence Binder

Matter: *Rosenwald v. Rosenwald*, FST-FA26-6078292-S (CT Superior Court, Stamford-Norwalk Judicial District) **Author:** Abraham Rosenwald, self-represented defendant **Binder assembled:** May 25, 2026 **Total documents:** 71 PDFs across 3 sections (~45 MB)

What’s in this binder

This binder assembles the complete documentary record supporting **Exhibit C — JBR IV Trust public records compilation** (the centerpiece document filed in the May 21, 2026 SGB exhibit set), organized into three sections:

- 1. **Section 01 — Primary Exhibit C** (the document being supported)
 - 2. **Section 02 — Yearly Form ADVs Pack** (the SEC filings that document the underlying RIA structure feeding the JBR IV Trust)
 - 3. **Section 03 — Supporting Evidence Binder** (Morgan Stanley statements, Haywood Securities records, CA subpoenas, related-trust corroboration, prior exhibit binders, forensic reports)
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Section 01 — Primary Exhibit C

Path: 01_PRIMARY_EXHIBIT_C/ **Count:** 1 PDF

Document	Description
Exhibit_C_JBR_IV_Trust_public_records_compilation.pdf	The May 21, 2026 SGB exhibit. The document this binder supports.

Section 02 — Yearly Form ADVs Pack

Path: 02_YEARLY_ADVs_PACK/ **Count:** 24 PDFs across 4 entities

The complete archive of SEC / FINRA / state-registered Form ADV filings for the four Registered Investment Adviser entities in the Dalton-Rosenwald chain that funds the JBR IV Trust. Each subfolder is one entity; filings are ordered chronologically.

A. Dalton Investments LLC — CRD 109538

Path: 02_YEARLY_ADVs_PACK/A_Dalton_Investments_LLC_CRD_109538/ **Count:** 7 PDFs

Filing Date	Document
2020-03-30	Filing 116305 — Part 1
2020-03-30	Filing 144689 — Part 1
2021-03-31	Filing 116305 — Part 1
2021-03-31	Filing 144689 — Part 1
2021-03-31	Part 2A — Brochure
2021-03-31	Part 2B — Supervised Persons
Current	Final Part 1 (combined latest-available)

B. Rosenwald Capital Management — NRD 290118

Path: 02_YEARLY_ADVs_PACK/B_Rosenwald_Capital_Management_NRD_290118/ **Count:** 12 PDFs

Filing Date	Document
2020-03-30	Filing 287079 v3
2020-03-30	Filing 287080 v4
2020-08-12	Filing 287079 v4 (amended)
2020-08-12	Filing 287080 v5 (amended)
2021-03-31	Filing 287079 v5
2021-03-31	Filing 287080 v6
2024-03-29	Filing 287079 v8
2024-03-29	Filing 287080 v9
2026-03-30	Part 2A — Brochure
2026-03-30	Part 2B — Supervised Persons
Current	Part 1
Current	ADV Combined

C. Dalton Inc. — CRD 308609

Path: 02_YEARLY_ADVs_PACK/C_Dalton_Inc_CRD_308609/ **Count:** 4 PDFs

Filing Date	Document
2026-03-30	Part 2A — Brochure
2026-03-30	Part 2B — Supervised Persons
2026-03-30	Current ADV Combined
Current	Part 1

D. Rising Sun — CRD 310497

Path: 02_YEARLY_ADVs_PACK/D_Rising_Sun_CRD_310497/ **Count:** 1 PDF

Filing Date Document

Current Part 1

Section 03 — Supporting Evidence Binder

Path: 03_SUPPORTING_EVIDENCE_BINDER/ **Count:** 46 PDFs across 6 subfolders

A. Morgan Stanley Trust Statements

Path: 03_SUPPORTING_EVIDENCE_BINDER/A_Morgan_Stanley_Trust_Statements/ **Count:** 4 PDFs

Three time-point Morgan Stanley statements bracketing 2020 → 2025 + 1 undated Rosenwald Family Trust account statement.

Statement Date	Account
2020-02	James B. Rosenwald IV Trust
2022-07	Rosenwald Family Trust
2025-11	James B. Rosenwald IV Trust
(undated)	Rosenwald Family Trust Account

B. Haywood Securities

Path: 03_SUPPORTING_EVIDENCE_BINDER/B_Haywood_Securities/ **Count:** 2 PDFs

Haywood (Canadian broker-dealer, FINRA CRD 42072) appears as a counterparty in the JBR IV Trust transaction history.

Document	Description
2025-11 JBR IV Haywood Statement	Account statement
Subpoena 15 — Haywood Securities (FULL)	CA discovery subpoena to Haywood

C. CA Subpoenas — Related Trusts

Path: 03_SUPPORTING_EVIDENCE_BINDER/C_CA_Subpoenas_Related_Trusts/ **Count:** 2 PDFs

Subpoena #	Target	Trust Date
03	Rosenwald Family Trust	DTD 12/10/1997
04	James Benno Rosenwald IV Trust	DTD 12/18/1997

D. De La Torre Exhibit Binder (full)

Path: 03_SUPPORTING_EVIDENCE_BINDER/D_De_La_Torre_Exhibit_Binder/ **Count:** ~26 PDFs
(cover, index, exhibits A–K + Bonus + 4 New exhibits + full-binder PDF)

The complete REG_AR-WB-20260510 De La Torre exhibit binder. Includes: - Exhibit A: Dalton Investments LLC Form ADV Part 1 (CRD 109538) - Exhibit B: Dalton Investments LLC Form ADV Part 2B - Exhibit C: Rosenwald Capital Management Form ADV Part 1 (NRD 290118) - Exhibit D: RCM Form ADV Part 2A - Exhibit E: RCM Form ADV Part 2B - Exhibit F: De La Torre

Documentary Verification Report (Sections A–K) - Exhibit G: Dalton Investments Inc. (NRD 308609 / new BC entity, no Form 31-103F2 filed) - Exhibit H: Glass House SEDI insider snapshot + peer comparison - Exhibit I: Founders list (8 of 13) — Rosenwald-Persky family entities - Exhibit J: Jocelyn 1997 Trust co-trustees (Jill Rosenwald + Walter Parker) → **JBR IV Trust ties** - Exhibit K: Schedule 4.17/4.4.2.5 omission audit - Bonus: Prospectus cover p. ii — De La Torre listed with GH Group nominees - New-1: April 27 2026 JBR III cluster sale (70K shares ≈ \$656K) - New-2: April 28–29 2026 Glass House material-adverse disclosure - New-3: Form D/A cluster Feb 5 2026 (NAVF Select / Dalton Pacific Rim / Dalton Trust)

E. Dalton Empire Binder — 2026-05-20

Path: 03_SUPPORTING_EVIDENCE_BINDER/E_Dalton_Empire_Binder_20260520/ **Count:** 10 PDFs

The prior-prepared exhibit binder consolidating the Dalton-Rosenwald empire evidence:

#	Document
00	Index
01	Schwab LPOA
02	Schedule A Extract — Filing 1323971 (2019-05-16)
03	Schedule A Extract — Filing 1331107 (2019-07-01)
04	Form ADV 2026 (CRD 308609)
05	Plaintiff Complaint
06	Summary Chart
07A	Form ADV 2021 (CRD 109538)
07B	Form ADV 2020 (CRD 109538)
08	SEC Bulk Form ADV Data Backup

F. Forensic Reports

Path: 03_SUPPORTING_EVIDENCE_BINDER/F_Forensic_Reports/ **Count:** 3 PDFs (rendered from Markdown sources via Chrome headless)

Document	Description
ROSENWALD_EMPIRE_FORENSIC_REPORT	Consolidated forensic analysis of the entire Rosenwald-Dalton empire
DALTON_MARITAL_ASSET_BRIEF_AND_DISCOVERY	Asset-classification + discovery brief: which Dalton-chain assets are marital property
BEACHFRONT_FORENSIC_REPORT	Real-property + trust-property analysis (beachfront holdings)

Filing & use notes

- **The yearly Form ADV pack (Section 02)** is the substantive backbone of any RIA / honest-services-fraud / fiduciary-breach argument. The historical ADVs document who controlled what, when, and how the control structure changed.

- **Morgan Stanley statements (03/A)** are the primary balance-and-disposition record for the JBR IV Trust assets.
 - **CA subpoenas (03/C)** are already-issued discovery demands; the response sets (where received) belong with the underlying responses, not this binder.
 - **De La Torre exhibit binder (03/D)** is the canonical reference set for the JBR III SEC-side exhibits.
 - **Dalton Empire binder (03/E)** is the prior-prepared package — Forms ADV + Schwab LPOA + Schedule A extracts + summary chart. Use this for any motion or filing that needs a one-stop reference set.
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*/s/ Abraham Rosenwald — Self-Represented Defendant — Rosenwald v. Rosenwald — FST-FA26-6078292-S 1127 High Ridge Road, Suite 151 — Stamford, CT 06905
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