

Clearfield, Inc.
Form SC 13G/A
February 02, 2018

SECURITIES AND EXCHANGE COMMISSION

WASHINGTON, D.C. 20549

SCHEDULE 13G/A

Under the Securities Exchange Act of 1934

(Amendment No. 9)

Clearfield, Inc.

(Name of Issuer)

Common Stock \$0.01

(Title of Class of Securities)

18482P103

(CUSIP Number)

December 31, 2017

(Date of Event Which Requires Filing of this statement)

Check the appropriate box to designate the rule pursuant to
which this Schedule is filed:

☐ Rule 13d-1(b)
☒ Rule 13d-1(c)
☐ Rule 13d-1(d)

*The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter the disclosures provided in a prior cover page.

The information required in the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange Act of 1934 ("Act") or otherwise subject to the liabilities of that section of the Act but shall be subject to all other provisions of the Act (however, see the Notes).

CUSIP No. 18482P103 **13G Page 2 of 5 Pages**

Names of Reporting
Persons I.R.S.
Identification Nos. of Above
Persons (Entities Only)

1 Ronald G.
Roth

Check the Appropriate Box if
a Member of a Group (*See*
Instructions)

2 ☐ (a)

☐ (b)

SEC Use Only

3

Citizenship or Place of
Organization

4 **Florida, USA**

Number of ⁵ Sole Voting Power
1,224,484

Shares ⁶ Shared Voting Power
176,760

Beneficially ⁷ Sole Dispositive Power
1,224,484

Owned by

Each ⁸ Shared Dispositive Power
Reporting **176,760**

Person

Aggregate Amount
Beneficially Owned by Each
Reporting Person

9

1,401,244

Check if the Aggregate
Amount in Row (9) Excludes
Certain Shares _____

10

(See Instructions)

Percent of Class Represented
by Amount in Row (9)

11

10.1 %

Type of Reporting Person (See
Instructions)

12

IN

Item 1(a)

Name of Issuer:

Clearfield, Inc.

Item 1(b)

Address of Issuer's Principal Executive Offices:

7050 Winnetka Avenue N., Suite 100, Brooklyn Park, MN 55428

Item 2(a)

Name of Person Filing:

Ronald G. Roth

Item 2(b)

Address of Principal Business Office or, if None, Residence:

7050 Winnetka Avenue N., Suite 100, Brooklyn Park, MN 55428

Item 2(c)

Citizenship:

Florida, USA

Item 2(d)

Title of Class of Securities:

Common Stock, \$0.01 par value

Item 2(e)

CUSIP Number:

18482P103

Item 3. If this statement is filed pursuant to Rules 13d-1(b), or 13d-2(b) or (c), check whether the person filing is
a:

- (a) ___ Broker or dealer registered under Section 15 of the Exchange Act,
- (b) ___ Bank as defined in Section 3(a)(6) of the Exchange Act,
- (c) ___ Insurance company as defined in Section 3(a)(19) of the Exchange Act,
- (d) ___ Investment Company registered under Section 8 of the Investment Company Act,
- (e) ___ An investment adviser in accordance with Rule 13d-1(b)(1)(ii)(E),

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- (f) ☐ An employee benefit plan or endowment fund in accordance with Rule 13d-1(b)(1)(ii)(F),
- (g) ☐ A parent holding Company, or control person in accordance with Rule 13d-1(b)(ii)(G),
- (h) ☐ A savings association as defined in Section 3(b) of the Federal Deposit Insurance Act,
- (i) ☐ A church plan that is excluded from the definition of an investment company under Section 3(c)(14) of the Investment Company Act,
- (j) ☐ Group, in accordance with Rule 13d-1(b)(ii)(J).

If this statement is filed pursuant to Rule 13d-1(c), check this box. ☒

Item 4. Ownership.

Provide the following information regarding the aggregate number and percentage of the class of securities of the issued identified in Item 1.

Amount Beneficially Owned: 1,401,244 which consists of 1,224,484 shares owned individually by the reporting (a) person as of December 31, 2017, no options to purchase shares at December 31, 2017 or within 60 days and 176,760 shares owned by spouse.

Percent of Class: 10.1% based on 13,824,191 shares of the Issuer's common stock outstanding on December 31, (b) 2017 as reported in the Issuer's Form 10-Q for the quarter ended December 31, 2017 and including all 1,401,244 shares that could be deemed to be beneficially owned by Mr. Roth.

(c) Number of shares as to which such person has:

(i) Sole power to vote or to direct the vote: 1,224,484

(ii) Shared power to vote or direct the vote: 176,760

(iii) Sole power to dispose or direct the disposition of: 1,224,484

(iv) Shared power to dispose or to direct the disposition of: 176,760

Item 5. Ownership of Five Percent or Less of a Class.

Not applicable.

Item 6. Ownership of More Than Five Percent on Behalf of Another Person.

Not applicable.

Item 7. Identification and Classification of the Subsidiary Which Acquired the Security Being Reported on By the Parent Holding Company.

Not applicable.

Item 8. Identification and Classification of Members of the Group.

Not applicable.

Item 9. Notice of Dissolution of Group.

Not applicable.

Item 10. Certification.

By signing below, I certify, that to the best of my knowledge and belief, the securities referred to above were acquired in the ordinary course of business and were not acquired for the purpose of and do not have the effect of changing or influencing the control of the issuer of such securities and were not acquired in connection with or as a participant in any transaction having such purpose or effect.

SIGNATURE

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete, and correct.

February 2, 2018
(Date)

/s/ Ronald G. Roth
(Signature)

Ronald G. Roth
(Name and Title)