## SEC Form 4

## FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB ADDROVAL

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obligations may continue. See
Instruction 1(b).

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person <sup>*</sup> BERMAN RICHARD J					2. Issuer Name <b>and</b> Ticker or Trading Symbol Advaxis, Inc. [ ADXS ]							5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
											2	C Directo	r		10% O	wner	
(Last)	(F LEGE RO	irst)	(Middle)		3. Date of Earliest Transaction (Month/Day/Year) 11/02/2017							Officer below)	(give title		Other ( below)	specify	
						4. If Amendment, Date of Original Filed (Month/Day/Year)						6. Individual or Joint/Group Filing (Check Applicable Line)					
(Street) PRINCE	TON. N	T	08540								2	K Form fi	led by One	e Repor	rting Perso	n	
		U	00040										Form filed by More than One Reporting Person				
(City)	(5	State)	(Zip)														
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned																	
1. Title of Security (Instr. 3) Date (Month/I					action Day/Year)	3.4. Securities Acquired (A)Transaction Code (Instr.Disposed Of (D) (Instr. 3, 4)8)5)				4 and Securities Beneficially Owned Following			Direct Indirect str. 4)	7. Nature of Indirect Beneficial Ownership			
							Code	v	Amount	(A) or (D)	Price	Reported Transacti (Instr. 3 a	on(s)			(Instr. 4)	
Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned   (e.g., puts, calls, warrants, options, convertible securities)																	
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Da if any (Month/Day/	Co	ansaction ode (Instr.	Derivative	6. Date Exercisable and Expiration Date (Month/Day/Year) (Instr. 3 and 4)				es J Security	8. Price of Derivative Security (Instr. 5) Beneficially Owned		e s ally	10. Ownership Form: Direct (D) or Indirect	Beneficial Ownershi	

Security (instr. 3)	or Exercise Price of Derivative Security	(Month/Day/Year)	if any (Month/Day/Year)	Code (Instr. 8)		Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		(Month/Day/Year)		Underlying Derivative Security (Instr. 3 and 4)		Security (Instr. 5)		Form: Direct (D) or Indirect (I) (Instr. 4)	Ber Ow (Ins
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		(Instr. 4)		
Option	\$3.19	11/02/2017		A		25,000 <sup>(1)</sup>		11/02/2018	11/02/2027	Common Stock	25,000	\$0	25,000	D	
Explanatio	n of Resnon	Ses'													

nation of Respon

1. This award relates to the annual long term incentive grant awarded by the Compensation Committee following the completion of our 2017 Fiscal Year and is subject to the terms of our 2015 Incentive Plan. The award fully vests on November 2, 2018.

> /s/ Sara Bonstein, as attorneyin-fact for Richard Berman

11/06/2017

\*\* Signature of Reporting Person

Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

 $\ast$  If the form is filed by more than one reporting person, see Instruction 4 (b)(v).

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.