SEC Form 4

FORM 4

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

OMB APPROVAL

| Check this box if no longer subject to |
|--|
| Section 16. Form 4 or Form 5 |
| 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 OMB Number: 3235-0287 Estimated average burden hours per response: 0.5

| | | | | | 01 500 | | vestinei | | ipully Act of | 1 10- | 10 | | | | | | | |
|--|--|---------------------|---|---|--|---|------------------------------|--------|--|-------------------------|--|---|---|------------------------------------|---|------|---|--|
| | nd Address | of Reporting Persor | 2. Issuer Name and Ticker or Trading Symbol <u>Advaxis, Inc.</u> [ADXS] | | | | | | | | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director 10% Owner | | | | | | | |
| | | | | | | | | | | | | | ſ | | 10% 0 | wner | | |
| (Last) | | (First) | | 3. Date of Earliest Transaction (Month/Day/Year) 11/02/2017 | | | | | | | Officer below) | (give title | | Other (below) | specify | | | |
| 305 COI | LLEGE R | OAD EAST | | | | | | | | | | | | | | | | |
| (Otre et) | | | | 4. If Am | 4. If Amendment, Date of Original Filed (Month/Day/Year) | | | | | | | 6. Individual or Joint/Group Filing (Check Applicable Line) | | | | | | |
| (Street) PRINCETON. NJ 08540 | | | | | | | | | | | | | | Form filed by One Reporting Person | | | | |
| PRINCE | TON, | NJ | | | | | | | | | | Form filed by More than One Reporting Person | | | | | | |
| (City) | | (State) | (Zip) | | | | | | | | | | | | | | | |
| Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned | | | | | | | | | | | | | | | | | | |
| 1. Title of Security (Instr. 3) 2. Transau Date (Month/Date) | | | | | | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transa Code (8) | | 4. Securities Acquired (A) Disposed Of (D) (Instr. 3, 4 5) | | | | 5. Amount of Securities Beneficially Owned Following Reported | | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | | 7. Nature of Indirect Beneficial Ownership (Instr. 4) | |
| | | | | | | | Code | v | Amount | unt (A) or Pi (D) Pi | | Price | Transaction(s) (Instr. 3 and 4) | | | | (1150. 4) | |
| | Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) | | | | | | | | | | | | | | | | | |
| 1. Title of 2. 3. Transaction 3A. Deemed 4 | | | | | | 5. Number of | 6 Date F | vercis | able and | 7 т | itle and | Amount | 8 Price of | 9 Numbe | or of | 10. | 11. Nature | |

| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | | 6. Date Exercisable and Expiration Date (Month/Day/Year) | | 7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4) | | 8. Price of Derivative Security (Instr. 5) | 9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) | 10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---|---|--|---|---|---|--|-----|--|--------------------|---|--|---|--|--|--|
| | | | | Code | v | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | (Instr. 4) | | |
| Option | \$3.19 | 11/02/2017 | | Α | | 25,000 ⁽¹⁾ | | 11/02/2018 | 11/02/2027 | Common Stock | 25,000 | \$0 | 25,000 | D | |

Explanation of Responses:

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.

<u>/s/ Sara Bonstein, as attorney-</u> <u>in-fact for James Patton</u>

11/06/2017

Date

** Signature of Reporting Person

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

* 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.