SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

## INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL

OMB Number: 3235-0104 Estimated average burden hours per response: 0.5

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

Ridge Thomas J	2. Date of Event Requiring Statement (Month/Day/Year) 08/13/2015 3. Issuer Name and Ticker or Trading Symbol Advaxis, Inc. [ ADXS ]							
(Last) (First) (Middle) C/O ADVAXIS, INC., 305 COLLEGE ROAD EAST			4. Relationship of Reporting Per (Check all applicable) X Director Officer (give title	son(s) to Issuer 10% Owne Other (spe	r (Mon	th/Day/Year)	te of Original Filed /Group Filing (Check	
(Street) PRINCETON, NJ 08540 (City) (State) (Zip)			below)	below)		cable Line) Form filed by	y One Reporting Person y More than One	
Table I - Non-Derivative Securities Beneficially Owned								
1. Title of Security (Instr. 4)			2. Amount of Securities Beneficially Owned (Instr. 4)	Form: Direc	Form: Direct (D) (Instr. or Indirect (I)		ture of Indirect Beneficial Ownership . 5)	
Common Stock			15,876(1)	D				
Table II - Derivative Securities Beneficially Owned   (e.g., puts, calls, warrants, options, convertible securities)								
1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Secur Underlying Derivative Secur		4. Conversion or Exercise Price of	5. Ownership Form: Direct (D)	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	or Indirect (I) (Instr. 5)		
Options	08/13/2016	08/13/2025	6 Common Stock	50,000 <sup>(2)</sup>	17.22	D		

Explanation of Responses:

1. The reporting person was awarded 636 shares which represents compensation for director services for fiscal year 2015. The reporting person was also awarded 15,240 restricted stock units (RSUs). 2,740 shares will vest on October 31, 2015. Thereafter, 3,125 RSU will vest quarterly such that the entire award is fully vested and not subject to forfeiture on October 31, 2016.

2. The reporting person was awarded a new director grant which fully vests on August 13, 2016.

<u>/s/ Sara Bonstein, as attorney-</u> <u>in-fact for Thomas Ridge</u>

08/26/2015

\*\* Signature of Reporting Person

n 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 5 (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.