SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934

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			or Section 30(h) of the Investment Company Act of 1940				
1. Name and Address of Reporting Person* <u>PETIT ROBERT</u>			2. Issuer Name and Ticker or Trading Symbol <u>Advaxis, Inc.</u> [ADXS]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner			
(Last) 305 COLLEGE	(First) ROAD EAST	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 05/01/2014		Officer (give title below) Chief Scientifi	Other (specify below) ic Officer	
(Street) PRINCETON (City)	NJ (State)	08540 (Zip)	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indi Line) X	vidual or Joint/Group Fili Form filed by One Re Form filed by More th Person	porting Person	

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		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	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150. 4)
Common Stock	05/01/2014		A		2 , 055 ⁽¹⁾	Α	\$0.00	119,354	D	
Common Stock	05/01/2014		F		443(2)	D	\$2.72	118,911	D	

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of 3. Transaction 3A. Deemed 5. Number 6. Date Exercisable and 7. Title and 8. Price of 9. Number of 11. Nature 10 Ownership Conversion Transaction Derivative Date Execution Date of Expiration Date Amount of Derivative derivative of Indirect Security (Instr. 3) or Exercise Price of (Month/Day/Year) if any (Month/Day/Year) Code (Instr. 8) Derivative (Month/Day/Year) Securities Security (Instr. 5) Securities Beneficially Form: Direct (D) Beneficial Ownership Underlying Securities Acquired Derivative Derivativ Owned or Indirect (Instr. 4) (A) or Disposed Security (Instr. 3 Following (I) (Instr. 4) Security and 4) Reported of (D) (Instr. 3, 4 Transaction(s) (Instr. 4) and 5) Amount Number Date Expiration of ν (D) Title Code (A) Exercisable Date Shares

Explanation of Responses:

1. The reporting person voluntarily agreed to receive a percentage of his base salary in shares of the issuer and receive these shares in lieu of cash compensation. Shares are issued to the reporting person quarterly. Price reflects the closing price of the final trading day of the quarter.

2. Represents shares forfeited by reporting person in order to pay withholding taxes associated with the stock issuance.

/s/ Robert Petit

** 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.

05/02/2014 Date