# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

WASHINGTON, D.C. 20549

### FORM 8-K

# CURRENT REPORT Pursuant to Section 13 or 15(d) of the Securities Exchange Act of 1934

Date of report (Date of earliest event reported): May 13, 2019

### ADVAXIS, INC.

(Exact Name of Registrant as Specified in Charter)

**Delaware** (State or Other Jurisdiction of Incorporation)

**001-36138** (Commission File Number)

**02-0563870** (IRS Employer Identification No.)

305 College Road East
Princeton, New Jersey, 08540
(Address of Principal Executive Offices)

(609) 452-9813

(Registrant's telephone number, including area code)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following

| rovisio   | ons:  |                   |   |  |  |  |
|---|---|-------------------|---|--|--|--|
| ]   | Written communications pursuant to Rule 425 under the Securities Act.             |                   |   |  |  |  |
| ]   | Soliciting material pursuant to Rule 14a-12 under the Exchange Act.               |                   |   |  |  |  |
| ]   | Pre-commencement communications pursuant to Rule 14d-2b under the Exchange Act.   |                   |   |  |  |  |
| ]   | Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act. |                   |   |  |  |  |
| ndicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (§230.405 of this chapter) r Rule 12b-2 of the Securities Exchange Act of 1934 (§240.12b-2 of this chapter).              |   |                   |   |  |  |  |
| mergi   | ng growth company [ ]   |                   |   |  |  |  |
| an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or evised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act.[ ] |   |                   |   |  |  |  |
| ecuriti   | es registered pursuant to Section 12(b) of the Act:                               |                   |   |  |  |  |
|   | Title of each class   | Trading symbol(s) | Name of each exchange on which registered |  |  |  |
| C   | Common stock, par value \$0.001 per share   | ADXS              | Nasdag Global Select Market               |  |  |  |

## Item 5.02. Departure of Directors or Certain Officers; Election of Directors; Appointment of Certain Officers; Compensatory Arrangements of Certain Officers.

On May 13, 2019, Advaxis, Inc. (the "Company") and Robert Petit, Ph.D., Executive Vice President and Chief Scientific Officer of the Company, announced that he is stepping down as Chief Scientific Officer effective as of the close of business on June 3, 2019. Dr. Petit's departure is not related to any disagreement regarding the Company's operations, policies or practices. Dr. Petit will continue to support the Company as an advisor and consultant as the new Chair of the Advaxis Scientific Advisory Board.

The Company's press release announcing Dr. Petit's resignation is attached as Exhibit 99.1 to this current report and is incorporated herein by reference.

#### Item 9.01. Financial Statements and Exhibits.

(d) Exhibits.

The following exhibit is furnished as part of this report:

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Number Description

99.1 Press Release of Advaxis, Inc., dated May 13, 2019.

#### **SIGNATURES**

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

ADVAXIS, INC.

(Registrant)

By /s/ Molly Henderson

Molly Henderson

Executive Vice President and Chief Financial Officer

Date: May 13, 2019



Advaxis Announces Appointment of Dr. Robert Petit to Chair of Scientific Advisory Board and Departure as Chief Scientific Officer

**PRINCETON, N.J. (May 13, 2019)** – Advaxis, Inc. **(NASDAQ: ADXS)** (the "Company"), a late-stage biotechnology company focused on the discovery, development and commercialization of immunotherapy products, today announced that Robert Petit, Ph.D. will be leaving his position as Chief Scientific Officer at the end of the month. Dr. Petit will assist the Company in transitioning his duties over the next several weeks, and will continue to support the Company as an advisor and consultant in his capacity as the new Chair of the Advaxis Scientific Advisory Board, effective June 3, 2019.

"Advaxis' clinical and preclinical programs have grown and matured significantly during Dr. Petit's time with the Company, and we are grateful for his guidance and expertise as Chief Scientific Officer. Over the past several years our business has transitioned from research and validation to one with a product portfolio featuring multiple programs in various stages of clinical development. We appreciate Robert's work in bringing us to this point," said Kenneth A. Berlin, President and Chief Executive Officer of Advaxis. "On behalf of Advaxis, I would like to thank Robert for his scientific leadership and extensive contributions to the Company's progress. We look forward to his continued support as Chair of our Scientific Advisory Board."

"Over the past nine years I've had the opportunity to guide the evolution of a technology platform that I continue to believe will have an important impact on the future of cancer therapies. This technology has potential to be among the best vectors available for generating T cell responses against personal and shared neoantigens and other tumor-specific targets," said Dr. Petit. "It is with mixed emotions that I leave my role as the Chief Scientific Officer, however, I am excited to continue providing scientific guidance to Advaxis as we progress toward clinical validation of the platform in furtherance of Advaxis' mission to improve the lives of people with cancer."

#### About Advaxis, Inc.

Advaxis, Inc. is a late-stage biotechnology company focused on the discovery, development and commercialization of proprietary *Lm*-based antigen delivery products. These immunotherapies are based on a platform technology that utilizes live attenuated *Listeria monocytogenes* (*Lm*) bioengineered to secrete antigen/adjuvant fusion proteins. These *Lm*-based strains are believed to be a significant advancement in immunotherapy as they integrate multiple functions into a single immunotherapy and are designed to access and direct antigen presenting cells to stimulate anti-tumor T cell immunity, activate the immune system with the equivalent of multiple adjuvants, and simultaneously reduce tumor protection in the tumor microenvironment to enable T cells to eliminate tumors. Advaxis has four programs in various stages of clinical development: ADXS-HPV for cervical cancer; ADXS-NEO, a personalized neoantigen-directed therapy for multiple cancers; ADXS-503 for non-small cell lung cancer, from its ADXS-HOT off-the-shelf neoantigen-directed program; and ADXS-PSA for prostate cancer.

To learn more about Advaxis, visit www.advaxis.com and connect on Twitter, LinkedIn, Facebook and YouTube.

#### **Advaxis Forward-Looking Statement**

Some of the statements included in this press release may be forward-looking statements that involve a number of risks and uncertainties. For those statements, we claim the protection of the safe harbor for forward-looking statements contained in the Private Securities Litigation Reform Act of 1995. The factors that could cause our actual results to differ materially include: the success and timing of our clinical trials, including subject accrual; our ability to avoid any clinical holds and to resolve FDA's partial clinical hold; our ability to obtain and maintain regulatory approval and/or reimbursement of our product candidates for marketing; our ability to obtain the appropriate labeling of our products under any regulatory approval; our plans to develop and commercialize our products; the successful development and implementation of our sales and marketing campaigns; the size and growth of the potential markets for our product candidates and our ability to serve those markets; our ability to successfully compete in the potential markets for our product candidates, if commercialized; regulatory developments in the United States and other countries; the rate and degree of market acceptance of any of our product candidates; new products, product candidates or new uses for existing products or technologies introduced or announced by our competitors and the timing of these introductions or announcements; market conditions in the pharmaceutical and biotechnology sectors; our available cash; the accuracy of our estimates regarding expenses, future revenues, capital requirements and needs for additional financing; our ability to obtain additional funding; our ability to obtain and maintain intellectual property protection for our product candidates; the success and timing of our preclinical studies including IND-enabling studies; the timing of our IND submissions; our ability to get FDA approval for study amendments; the timing of data read-outs; the ability of our product candidates to successfully perform in clinical trials; our ability to initiate, enroll, and execute pilots and clinical trials; our ability to maintain collaborations; our ability to manufacture and the performance of third-party manufacturers; the performance of our clinical research organizations, clinical trial sponsors and clinical trial investigators; our ability to successfully implement our strategy; and, other risk factors identified from time to time in our reports filed with the SEC. Any forward-looking statements set forth in this press release speak only as of the date of this press release. We do not intend to update any of these forwardlooking statements to reflect events or circumstances that occur after the date hereof.

#### **CONTACT:**

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