SEC Form 4

FORM 4

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

OMB ADDROVAL

Ī

OMBATTICOVIL											
OMB Number:	3235-0287										
Estimated average burd	en										
hours per response:	0.5										

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

1. Name and Address of Reporting Person* SIDRANSKY DAVID						2. Issuer Name and Ticker or Trading Symbol Advaxis, Inc. [ADXS]									5. Relationship of Reporting Person(s) to Issuer (Check all applicable)						
						Data	of Forliggt T	Franco	ation (Ma	nth/F					-	give title		10% Ov Other (s	-		
(Last) (First) (Middle)					_	3. Date of Earliest Transaction (Month/Day/Year) 11/02/2017									below)			below)			
305 COLLEGE ROAD EAST						4. If Amendment, Date of Original Filed (Month/Day/Year)								6 In	6. Individual or Joint/Group Filing (Check Applicable						
(Street)					.	A. II Amendment, Date of Original Filed (Month/Day/real)								Line)	Line)						
PRINCE	TON, N	IJ	08540										3	Form filed by One Reporting Person Form filed by More than One Reporting							
(City)	(5	State)	(Zip)												Person			·	Ū		
	Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned																				
1. Title of Security (Instr. 3) Date (Month/L							2A. Deemed Execution Date, if any (Month/Day/Year)		3. Transaction Code (Instr. 8) 4. Securiti Disposed 5)						5. Amoun Securities Beneficia Owned Fo	s Ily pllowing	Form	Direct Indirect str. 4)	7. Nature of Indirect Beneficial Ownership		
									Code	v	Amount	(A (D	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)	rivative Conversion Date Execution Date, T curity or Exercise (Month/Day/Year) if any C			Transa Code (ansaction Derivative ode (Instr. Securities			6. Date Exercisable and Expiration Date (Month/Day/Year)			of Se Unde Deriv	ecuritie erlying	Security	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)	Beneficial Ownership (Instr. 4)			
1							Amount		(Instr. 4)	ion(s)											

Explanation of Responses:

\$3.19

Option

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.

(D)

Date Exercisable

11/02/2018

Expiration

11/02/2027

Date

Title

Commor Stock

/s/ Sara Bonstein, as attorneyin-fact for David Sidransky

Amount or Number

Shares

30,000

\$<mark>0</mark>

of

11/06/2017

30,000

D

** Signature of Reporting Person

Date

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).

11/02/2017

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

v

Code

A

(A)

30,000⁽¹⁾

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.