## SEC Form 4

1. Title of Derivative Security (Instr. 3)

## FORM 4

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

OMB APPROVAL

Estimated average burden hours per response:

3235-0287

0.5

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Ch	eck this box if no longer subject to	
Se	ction 16. Form 4 or Form 5	
ob	ligations may continue. See	
Ins	struction 1(b).	

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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

				ction 30(h) of the In				-				
1. Name and Address of Reporting Person* APPEL RONI				2. Issuer Name <b>and</b> Ticker or Trading Symbol <u>Advaxis, Inc.</u> [ ADXS ]					5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director 10% Owner			
(Last) 305 COLLEGE	(First) ROAD EAST	(Middle)		3. Date of Earliest Transaction (Month/Day/Year) 11/05/2018					Director Officer (give title below)		(specify	
(Street) PRINCETON, NJ 08540 (City) (State) (Zip)			4. If Am	nendment, Date of C	Driginal Filed (	(Month/Day/Yea	ır)	6. Indi Line) X	vidual or Joint/Group Form filed by On Form filed by Mo Person	e Reporting Pers	son	
		Table I - Nor	n-Derivative S	ecurities Acq	uired, Disp	posed of, o	r Bene	ficially	Owned			
D		2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities A Disposed Of (I 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	(Instr. 3 a					
Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned   (e.g., puts, calls, warrants, options, convertible securities)															
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 E Expiratio (Month/D	n Date	e ar)	7. Title and of Securitie Underlying Derivative S (Instr. 3 and	s Security	8. Price of Derivative Security (Instr. 5)	9. Numbe derivative Securitie Beneficia Owned Following Reported	e s Illy g	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Beneficial Ownership (Instr. 4)	

Options	\$0.54	11/05/2018		A	25,000 <sup>(1)</sup>	11/05/2019	11
Explanatio	n of Respons	es:					
			entive grant awarded				

npletion of our 2018 Fiscal Year and is subject to the terms of our 2015 Incentive Plan. The award vests one-third on November 5, 2019, one-third on November 5, 2020, and will be fully vested on November 5, 2021.

(D)

Date Exercisable

Expiration

11/05/2028

Date

Title

Common Stock

/s/ Molly Henderson, as attorney-in-fact for Roni Appel

11/07/2018

Reported Transaction(s)

25,000

D

(Instr. 4)

\*\* Signature of Reporting Person Date

Amount

or Number

Shares

25,000

\$<mark>0</mark>

of

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).

v

Code

(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.