SEC Form 4

Instruction 1(b).

FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See

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

OMB APPROVAL OMB Number: 3235-0287 Estimated average burden

0.5

hours per response:

			or Section 30(n) of the Investment Company Act of 1940					
1. Name and Addre	1 0	Person*	2. Issuer Name and Ticker or Trading Symbol Advaxis, Inc. [ADXS]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner				
(Last) 305 COLLEGE	(First)	(Middle) [3. Date of Earliest Transaction (Month/Day/Year) 10/24/2019	X Officer (give title Other (specify below) below) Exec VP, Chief Medical Officer				
(Street) PRINCETON, (City)	PRINCETON, NJ 08540		4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person				
		Table I - Non-D	erivative Securities Acquired, Disposed of, or Bene	eficially Owned				

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	Transaction Code (Instr.		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 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
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(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)	2. Conversion or Exercise Price of Derivative Security	Exercise (Month/Day/Year) if any Code (Instr. Securities ce of rivative (Month/Day/Year) 8) Code (Instr. Acquired (A or Dispose		(A) ed	6. Date Exerc Expiration Da (Month/Day/Y	ate	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		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)	11. Nature of Indirect Beneficial Ownership (Instr. 4)			
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		(Instr. 4)		
Option	\$0.31	10/24/2019		Α		25,000 ⁽¹⁾		10/24/2020	10/24/2029	Common stock	25,000	\$ <mark>0</mark>	25,000	D	

Explanation of Responses:

1. This award relates to the annual long term incentive grant awarded by the Compensation Committee following the completion of our 2019 Fiscal Year and is subject to the terms of our 2015 Incentive Plan. The award vests one-third on October 24, 2020, one-third on October 24, 2021, and will be fully vested on October 24, 2022.

/s/ Andres Gutierrez

** Signature of Reporting Person

10/25/2019 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).

** 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.