SEC Form 4
------------

## FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

OMB APPROVAL 3235-0287 OMB Number: Estimated average burden hours per response: 0.5

1. Name and Address of Reporting Person <sup>*</sup> Mauro David J						2. Issuer Name <b>and</b> Ticker or Trading Symbol Advaxis, Inc. [ ADXS ]								5. Relationship of Reporting Person (Check all applicable) Director			wner
(Last) (First) (Middle) 305 COLLEGE ROAD EAST					3. Date of Earliest Transaction (Month/Day/Year) 11/05/2015								Chief Medical Officer			specity	
(Street) PRINCETON, NJ 08540 (City) (State) (Zip)						4. If Amendment, Date of Original Filed (Month/Day/Year)							ividual or Joint/Group Filing (Check Applicable Form filed by One Reporting Person Form filed by More than One Reporting Person				
	Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned																
Date				Transact ate lonth/Day		2A. Deemed Execution Date, if any (Month/Day/Year)		Transaction C Code (Instr.		4. Securities Acquired (A) Disposed Of (D) (Instr. 3, 4			Beneficial Owned Fo	ly	Form	nership Direct Indirect str. 4)	7. Nature of Indirect Beneficial Ownership
								Code	v	Amount	(A) oi (D)	Price	Reported 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		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 Exercisable an Expiration Date (Month/Day/Year)		e	7. Title ar of Securi Underlyir Derivative (Instr. 3 a	g Security	8. Price of Derivative Security (Instr. 5)	9. Numb derivativ Securitie Beneficia Owned Followin Reported	re es ally g	Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Beneficial Ownership (Instr. 4)
				Code	V	(A)	(D)	Date		Expiration Date	Title	Amount or Number of Shares	]	Transact (Instr. 4)			

**Explanation of Responses:** 

\$12.81

Options

1. This award relates to the annual long term incentive grant awarded by the Compensation Committee following the completion of our 2015 Fiscal Year and is subject to the terms of our 2015 Incentive Plan. A portion of this award is subject to certain conditions. The award vests one-third on November 5, 2016, one-third on November 5, 2017, and will be fully vested on November 5, 2018.

11/05/2016

s/ Sara Bonstein, as attorney-in-11/06/2015

\$<mark>0</mark>

160,000

D

fact for David Mauro

Commo

Stock

11/05/2025

\*\* Signature of Reporting Person Date

160,000

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

 $\ast$  If the form is filed by more than one reporting person, see Instruction 4 (b)(v).

11/05/2015

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

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.

160,000<sup>(1)</sup>