

Advaxis, Inc.
Form 3
September 17, 2013

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section
30(h) of the Investment Company Act of 1940

(Print or Type Responses)

| | | | | |
|---|---------|--------------------------------------|--|--|
| 1. Name and Address of Reporting Person * | | 2. Date of Event Requiring Statement | 3. Issuer Name and Ticker or Trading Symbol | |
| FRENCH CHRISTY LEE | | (Month/Day/Year) | Advaxis, Inc. [ADXS] | |
| (Last) | (First) | (Middle) | 08/19/2013 | |
| C/O ADVAXIS, INC., 305 COLLEGE ROAD EAST | | | 4. Relationship of Reporting Person(s) to Issuer | 5. If Amendment, Date Original Filed(Month/Day/Year) |
| (Street) | | | (Check all applicable) | |
| PRINCETON, NJ 08540 | | | <input type="checkbox"/> Director <input type="checkbox"/> 10% Owner | 6. Individual or Joint/Group Filing(Check Applicable Line) |
| (City) | (State) | (Zip) | <input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other | <input checked="" type="checkbox"/> Form filed by One Reporting Person |
| | | | (give title below) (specify below) | <input type="checkbox"/> Form filed by More than One Reporting Person |
| | | | Exec. Dir. of Medical Affairs | |

Table I - Non-Derivative Securities Beneficially Owned

| 1. Title of Security (Instr. 4) | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) | 4. Nature of Indirect Beneficial Ownership (Instr. 5) |
|---------------------------------|---|--|---|
| Common Stock | 6,005 | D | |

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

SEC 1473 (7-02)

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 control number.

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of Derivative Security (Instr. 4) | 2. Date Exercisable and Expiration Date (Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4) | 4. Conversion or Exercise Price of Derivative Security | 5. Ownership Form of Derivative Security: Direct (D) | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|--|--|---|--|--|---|
|--|--|---|--|--|---|

Edgar Filing: Advaxis, Inc. - Form 3

| | Date Exercisable | Expiration Date | | Amount or Number of Shares | | or Indirect (I) (Instr. 5) | |
|-----------------------------|------------------|-----------------|--------------|----------------------------|----------|----------------------------|---|
| Stock Option (right to buy) | Â (1) | 03/07/2021 | Common Stock | 6,400 | \$ 15.38 | D | Â |
| Stock Option (right to buy) | Â (2) | 11/18/2021 | Common Stock | 12,000 | \$ 18.5 | D | Â |
| Stock Option (right to buy) | Â (3) | 03/14/2023 | Common Stock | 14,000 | \$ 9.375 | D | Â |
| Warrants | 12/19/2012 | 12/15/2015 | Common Stock | 2,263 | \$ 5.625 | D | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------------------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| FRENCH CHRISTY LEE C/O ADVAXIS, INC. 305 COLLEGE ROAD EAST PRINCETON, NJ 08540 | Â | Â | Â Exec. Dir. of Medical Affairs | Â |

Signatures

/s/ Christy French 09/17/2013

**Signature of Reporting Person Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, see Instruction 5(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).
- (1) Options granted to reporting person as of 3/7/2011. One-third of such options vested on 3/7/2012. One-third vested on 3/7/2013 and the remaining one-third will vest on 3/7/2014.
 - (2) Options granted to reporting person as of 11/18/2011. One-third of such options vested on the 11/18/2012. One-third will vest on 11/18/2013 and the remaining one-third will vest on 11/18/2014.
 - (3) Options granted to reporting person as of 03/14/2013. One third of such options vested on the date of grant. One-third will vest on 03/14/2014 and the remaining one-third will vest on 03/14/2015.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, See Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.