

Advaxis, Inc.
Form 3
August 26, 2015

FORM 3

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

OMB APPROVAL

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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 *

Â Ridge Thomas J
(Last) (First) (Middle)

C/O ADVAXIS, INC.,Â 305
COLLEGE ROAD EAST

(Street)

PRINCETON,,Â NJÂ 08540

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)
08/13/2015

3. Issuer Name **and** Ticker or Trading Symbol
Advaxis, Inc. [ADXS]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original Filed(Month/Day/Year)

(Check all applicable)

☒ Director ☐ 10% Owner
☐ Officer ☐ Other
(give title below) (specify below)

6. Individual or Joint/Group Filing(Check Applicable Line)
☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting Person

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

15,876 ⁽¹⁾

D Â

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

SEC 1473 (7-02)

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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)
Title

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:
Direct (D)

6. Nature of Indirect Beneficial Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date	Amount or Number of Shares	or Indirect (I) (Instr. 5)	
Options	08/13/2016	08/13/2025	Common Stock 50,000 ⁽²⁾ \$ 17.22	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Ridge Thomas J C/O ADVAXIS, INC., 305 COLLEGE ROAD EAST PRINCETON,, NJ 08540	Â X	Â	Â	Â

Signatures

/s/ Sara Bonstein, as attorney-in-fact for Thomas Ridge 08/26/2015

__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).

The reporting person was awarded 636 shares which represents compensation for director services for fiscal year 2015. The reporting (1) person was also awarded 15,240 restricted stock units (RSUs). 2,740 shares will vest on October 31, 2015. Thereafter, 3,125 RSU will vest quarterly such that the entire award is fully vested and not subject to forfeiture on October 31, 2016.

(2) The reporting person was awarded a new director grant which fully vests on August 13, 2016.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure.

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