

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 * |         | 2. Date of Event Requiring Statement | 3. Issuer Name and Ticker or Trading Symbol      |  |
| Ridge Thomas J                            |         | (Month/Day/Year)                     | Advaxis, Inc. [ADXS]                             |  |
| (Last)                                    | (First) | (Middle)                             | 08/13/2015                                       |  |
| 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 checked="" type="checkbox"/> Director     | 6. Individual or Joint/Group Filing(Check Applicable Line)             |
| (City)                                    | (State) | (Zip)                                | <input type="checkbox"/> Officer                 | <input checked="" type="checkbox"/> Form filed by One Reporting Person |
|   |         |                                      | <input type="checkbox"/> 10% Owner               | <input type="checkbox"/> Form filed by More than One Reporting Person  |
|   |         |                                      | <input type="checkbox"/> Other                   |  |
|   |         |                                      | (give title below)                               | (specify below)  |

**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 <sup>(1)</sup>                                 | 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<br>Exercisable | Expiration<br>Date | Amount or<br>Number of<br>Shares    | or Indirect<br>(I)<br>(Instr. 5) |
|---------|---------------------|--------------------|-------------------------------------|----------------------------------|
| Options | 08/13/2016          | 08/13/2025         | Common<br>Stock 50,000 (2) \$ 17.22 | D                                |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships                       |                          |                          |                          |
|---|-------------------------------------|--------------------------|--------------------------|--------------------------|
|   | Director                            | 10% Owner                | Officer                  | Other                    |
| Ridge Thomas J<br>C/O ADVAXIS, INC.,<br>305 COLLEGE ROAD EAST<br>PRINCETON,, NJ 08540 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

## 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).

(1) The reporting person was awarded 636 shares which represents compensation for director services for fiscal year 2015. The reporting 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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