Edgar Filing: Advaxis, Inc. - Form 4

| Advaxis, Inc. | | | | | | | | | | | |
|--|---|-------|----------------------|--|-------------------------------|---|-------------------|---|-----------------|----------|--|
| Form 4 | | | | | | | | | | | |
| February 25, | 2016 | | | | | | | | | | |
| FORM 4 UNITED STATES SECURITIES AND EXCHANCE COMMISSION | | | | | | | | OMB AF | OMB APPROVAL | | |
| Washington, D.C. 20549 | | | | | | | COMMISSION | OMB Number: | 3235-0287 | | |
| Check thi if no long subject to Section 10 Form 4 or Form 5 obligation may conti <i>See</i> Instru | F CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES Section 16(a) of the Securities Exchange Act of 1934, Public Utility Holding Company Act of 1935 or Section of the Investment Company Act of 1940 | | | | | Expires: January 3 20 Estimated average burden hours per response 0 | | | | | |
| 1(b). | | | | | | | | | | | |
| (Print or Type R | Responses) | | | | | | | | | | |
| Bonstein Sara Symbol | | | Symbol | Name and | | Frading | g | 5. Relationship of Reporting Person(s) to Issuer | | | |
| | | | Advaxis, Inc. [ADXS] | | | | | (Check all applicable) | | | |
| (Month | | | (Month/D | Date of Earliest Transaction onth/Day/Year) /24/2016 | | | | Director 10% Owner X Officer (give title Other (specify below) below) Chief Financial Officer | | | |
| | | | | Amendment, Date Original Month/Day/Year) | | | | 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person | | | |
| PRINCETO | N,, NJ 08540 | | | | | | | Form filed by M Person | | | |
| (City) | (State) | (Zip) | Tabl | e I - Non-D | erivative S | ecuri | ties Acq | uired, Disposed of | , or Beneficial | ly Owned | |
| 1.Title of Security (Instr. 3)2. Transaction Date (Month/Day/Year)2A. Deemed Execution Date, if any (Month/Day/Year) | | (A) | | | Securities Beneficially Owned | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | | | | | |
| | | | | Code V | Amount | or (D) | Price | (Instr. 3 and 4) | | | |
| Common Stock | 02/24/2016 | | | S | 15,037 (1) | D | \$ 5.58 (2) | 79,980 | D | | |

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

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 Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

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| 1. Title Derivati Security (Instr. 3 | ve Conversion or Exercise | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transactic Code (Instr. 8) | 5. 6. Date Exercisable and onNumber Expiration Date of (Month/Day/Year) Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, | | ate | 7. Titl Amou Under Secur (Instr. | ınt of rlying | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secu Bene Owne Follo Repo Trans (Instr |
|---|------------------------------|---|---|--|---|---------------------|--------------------|--|--|---|--|
| | | | | Code V | 4, and 5) (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | | | |
|--|---------------|-----------|-------------------------|-------|--|--|--|--|
| | Director | 10% Owner | Officer | Other | | | | |
| Bonstein Sara 305 COLLEGE ROAD EAST PRINCETON,, NJ 08540 | | | Chief Financial Officer | | | | | |
| Signatures | | | | | | | | |
| /s/ Daniel O'Connor, as attorne Bonstein | y-in-fact f | for Sara | 02/25/2016 | | | | | |
| <u>**</u> Signature of Reportin | g Person | | Date | | | | | |

Explanation of Responses:

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).

In connection with the vesting of 33,334 shares on February 24, 2016, a total of 15,037 of such shares were withheld by the Company in (1) order to satisfy the reporting person's tax withholding obligations. The reporting person had no discretion with respect to such sale, which was conducted automatically in accordance with the issuer's corporate policies.

Reflects the weighted average sale price. The range of prices for such transaction is \$5.53 to \$5.64. The reporting person effected multiple same-way open market sale transactions on the same day at different prices through a trade order executed by a broker-dealer. The

(2) reporting person reported on a single line all such transactions that occurred within a one dollar price range. The reporting person hereby undertakes to provide upon request by the Securities Exchange Commission staff, the issuer, or a shareholder of the issuer, full information regarding the number of shares sold at each separate price.

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.