

Advaxis, Inc.  
Form 4  
July 10, 2013

# FORM 4

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

OMB APPROVAL

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## STATEMENT OF CHANGES IN 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 \*  
BERMAN RICHARD J

(Last) (First) (Middle)

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

(Street)

PRINCETON, NJ 08540

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
Advaxis, Inc. [ADXSI]

3. Date of Earliest Transaction  
(Month/Day/Year)

11/20/2012

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director  10% Owner  
 Officer (give title below)  Other (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 Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
|                                 |                                      |  |                                | (A) or (D)  | Price   |  |   |
| Common Stock                    | 11/20/2012                           |  | S                              | 150,000   | D \$ 0.036  | 527,632  | D   |
| Common Stock                    | 11/20/2012                           |  | S                              | 150,000   | D \$ 0.037  | 377,632  | D   |
| Common Stock                    | 11/21/2012                           |  | S                              | 67,306  | D \$ 0.0375   | 310,326  | D   |
| Common Stock                    | 11/21/2012                           |  | S                              | 127,632   | D \$ 0.0351   | 182,694  | D   |
| Common Stock                    | 11/21/2012                           |  | S                              | 82,694  | D \$ 0.04   | 100,000  | D   |

|              |            |   |           |   |                     |           |   |
|--------------|------------|---|-----------|---|---------------------|-----------|---|
| Common Stock | 11/23/2012 | S | 100,000   | D | \$ 0.035            | 0         | D |
| Common Stock | 06/12/2013 | A | 1,816,364 | A | \$ 0 <sup>(1)</sup> | 1,816,364 | D |

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

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(9-02)

**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 | 3. Transaction Date (Month/Day/Year) | 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 and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable Expiration Date                         | Title Amount or Number of Shares                              |
| Option                                     | \$ 0.075   | 03/14/2013                           |  | A                              | 750,000   | <sup>(2)</sup> 03/14/2023                                | Common Stock 750,000  |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |         |       |
|--|---------------|-----------|---------|-------|
|  | Director      | 10% Owner | Officer | Other |
| BERMAN RICHARD J<br>C/O ADVAXIS, INC.,<br>305 COLLEGE ROAD EAST<br>PRINCETON, NJ 08540 |               | X         |         |       |

## Signatures

/s/ Richard J. Berman 07/10/2013

\*\*Signature of Reporting 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).
- (1) Represents stock compensation that was earned for director services for the period between January 1, 2012 through March 31, 2013, but not issued until June 12, 2013.
- (2)

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One-third of the options vested on March 14, 2013, one-third of the options vest on March 14, 2014 and the remaining one-third of the options vest on March 14, 2015.

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