

Advaxis, Inc.

Form 3

September 17, 2013

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 *

FRENCH CHRISTY LEE

(Last) (First) (Middle)

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

(Street)

PRINCETON, NJ 08540

(City) (State) (Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

08/19/2013

3. Issuer Name and Ticker or Trading Symbol
Advaxis, Inc. [ADX]4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed (Month/Day/Year)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

Exec. Dir. of Medical Affairs

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

6,005

D

A

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)

Title

4. Conversion
or Exercise
Price of
Derivative
Security5. 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)	
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.