

PETIT ROBERT
Form 3
May 06, 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 *

^ PETIT ROBERT

(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)

05/03/2013

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)
Chief Scientific Officer

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

304,452

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)

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)	
Stock Option (right to buy)	Â (1)	10/11/2020	Common Stock	1,000,000	\$ 0.11	D	Â
Stock Option (right to buy)	Â (2)	11/18/2021	Common Stock	1,800,000	\$ 0.148	D	Â
Stock Option (right to buy)	Â (3)	03/14/2023	Common Stock	2,250,000	\$ 0.075	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
PETIT ROBERT C/O ADVAXIS, INC. 305 COLLEGE ROAD EAST PRINCETON, NJ 08540	Â	Â	Â Chief Scientific Officer	Â

Signatures

/s/ Robert Petit 05/06/2013

__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 10/11/2010. One-third of such options vested on the date of grant. One-third vested on 10/11/2011 and the remaining one-third vested on 10/11/2012.
- (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.