

Advaxis, Inc.
Form 8-K
April 07, 2017

UNITED STATES

SECURITIES AND EXCHANGE COMMISSION

WASHINGTON, D.C. 20549

FORM 8-K

CURRENT REPORT

**Pursuant to Section 13 or 15(d) of the
Securities Exchange Act of 1934**

Date of report (Date of earliest event reported): **April 5, 2017**

ADVAXIS, INC.

(Exact Name of Registrant as Specified in Charter)

Delaware 000-28489 02-0563870

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(State or Other Jurisdiction (Commission (IRS Employer
of Incorporation) File Number) Identification No.)

305 College Road East

Princeton, New Jersey, 08540

(Address of Principal Executive Offices)

(609) 452-9813

(Registrant's telephone number, including area code)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions:

- Written communications pursuant to Rule 425 under the Securities Act.
- Soliciting material pursuant to Rule 14a-12 under the Exchange Act.
- Pre-commencement communications pursuant to Rule 14d-2b under the Exchange Act.
- Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act.

Item 5.07. Submission of Matters to a Vote of Security Holders.

The 2017 annual meeting of stockholders of Advaxis was held on April 5, 2017. The following matters were voted on by the stockholders: the election of directors, the approval of an amendment to Advaxis' 2015 Incentive Plan to authorize an additional 1,500,000 shares thereunder and to include a provision for pre-defined annual increases in the number of shares available for issuance, the ratification of 2015 stock option grants under Advaxis' 2015 Incentive Plan to certain directors and officers, and the ratification of the appointment of Marcum LLP as Advaxis' independent registered public accounting firm for the fiscal year ending October 31, 2017. At the meeting, Dr. David Sidransky, Dr. James P. Patton, Daniel J. O'Connor, Roni A. Appel, Richard J. Berman, Dr. Samir N. Khleif, Dr. Thomas J. McKearn, and Thomas J. Ridge were re-elected to the Board.

Proposal 1

The vote with respect to each nominee is set forth below:

| Nominee | Total Votes For | Total Votes Withheld | Broker Non-Votes |
|-----------------------|-----------------|----------------------|------------------|
| Dr. David Sidransky | 12,324,390 | 6,540,383 | 14,532,686 |
| Dr. James P. Patton | 12,589,076 | 6,275,697 | 14,532,686 |
| Daniel J. O'Connor | 18,263,858 | 600,915 | 14,532,686 |
| Roni A. Appel | 18,358,386 | 506,387 | 14,532,686 |
| Richard J. Berman | 18,339,699 | 525,074 | 14,532,686 |
| Dr. Samir Khleif | 12,761,138 | 6,103,635 | 14,532,686 |
| Dr. Thomas J. McKearn | 12,709,321 | 6,155,452 | 14,532,686 |
| Thomas J. Ridge | 18,378,020 | 486,753 | 14,532,686 |

Proposal 2

The vote with respect to the approval of an amendment to Advaxis' 2015 Incentive Plan is set forth below:

| Total Votes For | Total Votes Against | Abstentions | Broker Non-Votes |
|-----------------|---------------------|-------------|------------------|
| 10,328,658 | 8,407,892 | 128,223 | 14,532,686 |

Proposal 3

The vote with respect to the ratification of 2015 stock option grants under Advaxis' 2015 Incentive Plan is set forth below:

| Total Votes For | Total Votes Against | Abstentions | Broker Non-Votes |
|-----------------|---------------------|-------------|------------------|
| 10,644,448 | 8,045,834 | 174,491 | 14,532,686 |

Proposal 4

The vote with respect to the ratification of the appointment of Marcum LLP as Advaxis' independent registered public accounting firm for the fiscal year ending October 31, 2017, is set forth below:

| Total Votes For | Total Votes Against | Abstentions |
|-----------------|---------------------|-------------|
| 32,496,795 | 636,064 | 264,600 |

SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

ADVAXIS, INC.

(Registrant)

By: */s/ Daniel J. O'Connor*

Daniel J. O'Connor

President and Chief Executive Officer

Date: April 7, 2017

