

VASSALLUZZO SCOTT J  
Form 3  
November 05, 2002

FORM 3

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

**Washington, D.C. 20549**

**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

OMB APPROVAL

OMB Number: 3235-0104  
Expires: January 31, 2005  
Estimated average burden  
hours per response. . . . 0.5

1. Name and Address of Reporting Person\*

**Vassaluzzo, Scott J.**

(Last) (First) (Middle)

**323 Railroad Avenue**

(Street)

**Greenwich, CT 06830**

(City) (State) (Zip)

2. Date of Event

Edgar Filing: VASSALLUZZO SCOTT J - Form 3

Requiring Statement

Month/Day/Year

**11/01/2002**

3. I.R.S. Identification

Number of Reporting

Person, if an entity

(voluntary)

4. Issuer ~~name~~ or Trading Symbol

**ORTHODONTIC CENTERS OF AMERICA, INC.**

**OCA**

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director

10% Owner

Officer (give title below)

Other (specify below)

Description

**Member of Section 13(d) Group**

6. If Amendment,

Date of Original

(Month/Day/Year)

7. 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

Edgar Filing: VASSALLUZZO SCOTT J - Form 3

(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, \$.01 par value**

**2,360,600**

**I**

**(1) By Idoya Partners**

**Common Stock, \$.01 par value**

**2,232,700**

**I**

**(2) By Prescott Associates  
Common Stock, \$.01 par value**

**135,200**

I

(3) By Prescott International Partners  
Common Stock, \$.01 par value

27,000

I

(4) By Vassalluzzo Family Accounts  
Common Stock, \$.01 par value

17,000

D

**Table II - Derivative Securities Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security  
(Instr. 4)
2. Date Exercisable(DE) and  
Expiration Date(ED)  
(Month/Day/Year)

DE / ED

3. Title and Amount of  
Underlying Securities  
(Instr. 4)

Title / Amount or Number of Shares

4. Conversion or  
Exercise  
Price of  
Derivative  
Security

5. Ownership  
Form of  
Derivative  
Security:  
Direct (D)  
or  
Indirect (I)

- (Instr.5) 6. Nature of  
Indirect  
Beneficial  
Ownership  
(Instr.5)

**Explanation of Responses:**

(1) These shares are owned directly by Idoya Partners ("IP"), a member of a Section 13(d) Reporting Group, and indirectly by the Reporting Person as a general partner of IP. The Reporting Person disclaims beneficial ownership of

Edgar Filing: VASSALLUZZO SCOTT J - Form 3

these shares in excess of his interest under 16a-1(a)(2)(ii)(B).

(2) These shares are owned directly by Prescott Associates ("PA"), a member of a Section 13(d) Reporting Group, and indirectly by the Reporting Person as a general partner of PA. The Reporting Person disclaims beneficial ownership of these shares in excess of his interest under 16a-1(a)(2)(ii)(B).

(3) These shares are owned directly by Prescott International Partners ("PIP"), a member of a Section 13(d) Reporting Group, and indirectly by the Reporting Person as a general partner of PIP. The Reporting Person disclaims beneficial ownership of these shares in excess of his interest under 16a-1(a)(2)(ii)(B).

(4) These shares are owned directly by certain members of the Reporting Person's family. The Reporting Person disclaims beneficial ownership of these shares.

**By:**

/s/ Scott J. Vassalluzzo

11/05/2002

\*\* Signature of Reporting Person

Date

SEC 2270 (07/02)

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

\* 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).

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.