

# A characterization of quadrics by intersection numbers

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## Abstract

This work is inspired by a paper of Hertel and Pott on maximum non-linear functions [8]. Geometrically, these functions correspond with quasi-quadrics; objects introduced in [5]. Hertel and Pott obtain a characterization of some binary quasi-quadrics in affine spaces by their intersection numbers with hyperplanes and spaces of codimension 2.

We obtain a similar characterization for quadrics in projective spaces by intersection numbers with low-dimensional spaces. Ferri and Tallini [7] characterized the non-singular quadric  $Q(4, q)$  by its intersection numbers with planes and solids. We prove a corollary of this theorem for  $Q(4, q)$  and then extend this corollary to all quadrics in  $PG(n, q)$ ,  $n \geq 4$ . The only exceptions we get occur for  $q$  even, where we can have an oval or an ovoid as intersection with our point set in the non-singular part.

## 1 Notations and background

### 1.1 Polar spaces and generalized quadrangles

Polar spaces were first described axiomatically by Veldkamp [12]. Later on, Tits simplified Veldkamp's list of axioms and further completed the theory [11]. We recall Tits' definition of polar spaces.

A polar space of rank  $n$ ,  $n \geq 2$ , is a point set  $P$  together with a family of subsets of  $P$  called subspaces, satisfying the following axioms.

- (i) A subspace, together with the subspaces it contains, is a  $d$ -dimensional projective space with  $-1 \leq d \leq n - 1$  ( $d$  is called the dimension of the subspace).
- (ii) The intersection of two subspaces is a subspace.

- (iii) Given a subspace  $V$  of dimension  $n - 1$  and a point  $p \in P \setminus V$ , there is a unique subspace  $W$  of dimension  $n - 1$  such that  $p \in W$  and  $V \cap W$  has dimension  $n - 2$ ;  $W$  contains all points of  $V$  that are joined to  $p$  by a line (a line is a subspace of dimension 1).
- (iv) There exist two disjoint subspaces of dimension  $n - 1$ .

The finite classical polar spaces are the following structures.

- (i) The non-singular quadrics in odd dimension,  $Q^+(2n + 1, q)$  and  $Q^-(2n + 1, q)$ , together with the subspaces they contain, giving a polar space of rank  $n + 1$  and  $n$  respectively. The non-singular parabolic quadrics in even dimension,  $Q(2n, q)$ , together with the subspaces they contain, giving a polar space of rank  $n$ .
- (ii) The non-singular hermitian varieties in  $PG(2n, q^2)$ , together with the subspaces they contain,  $n \geq 2$  (respectively,  $PG(2n + 1, q^2)$ ,  $n \geq 1$ ), giving a polar space of rank  $n$  (respectively, rank  $n + 1$ ).
- (iii) The points of  $PG(2n + 1, q)$ , together with the totally isotropic subspaces of a non-singular symplectic polarity of  $PG(2n + 1, q)$ , giving a polar space of rank  $n$ .

By theorems of Veldkamp and Tits, all polar spaces with finite rank at least 3 are classified. In the finite case (i.e. the polar space has a finite number of points), we get the following theorem, which can be found in [11].

**Theorem 1.1** *A finite polar space of rank at least 3 is classical.*

Buekenhout and Shult described polar spaces as point-line geometries, and it is this description we will use.

**Definition** A Shult space is a point-line geometry  $S = (P, B, I)$ , with  $B$  a non-empty set of subsets of  $P$  of cardinality at least 2, such that the incidence relation  $I$  (which is containment here) satisfies the following axiom. For each line  $L \in B$  and for each point  $p \in P \setminus L$ , the point  $p$  is collinear with either one or all points of the line  $L$ .

A Shult space is non-degenerate if no point is collinear with all other points. A Shult space is linear if two distinct lines have at most one common point. Buekenhout and Shult proved the following fundamental theorem [4].

**Theorem 1.2** (i) *Every non-degenerate Shult space is linear.*

- (ii) *If  $S$  is a non-degenerate Shult space of finite rank at least 3, and if all lines contain at least three points, then the Shult space together with all its subspaces is a polar space.*

A finite generalized quadrangle ( $GQ$ ) of order  $(s, t)$  is an incidence structure  $S = (P, B, I)$  in which  $P$  and  $B$  are disjoint (non-empty) sets of objects called points and lines respectively, and for which  $I$  is a symmetric point-line incidence relation satisfying the following axioms.

- (GQ1) Each point is incident with  $t + 1$  lines ( $t \geq 1$ ) and two distinct points are incident with at most one line.
- (GQ2) Each line is incident with  $s + 1$  points ( $s \geq 1$ ) and two distinct lines are incident with at most one point.
- (GQ3) If  $p$  is a point and  $L$  is a line not incident with  $p$ , then there is a unique point-line pair  $(q, M)$  such that  $pIMlqIL$ .

A generalized quadrangle ( $GQ$ ) of order  $(s, t)$  contains  $(s + 1)(st + 1)$  points. If  $s = t$ , then  $S$  is also said to be of order  $s$ .

If  $S$  has a finite number of points and if  $s > 1$  and  $t > 1$ , then it is easy to show that one can replace axiom (GQ1) by the following axioms.

- (GQ1') No point is collinear with all points.
- (GQ1'') There is a point on at least two lines.

It is this alternative definition which we will use in our proofs.

## 1.2 The classical generalized quadrangles

Consider a non-singular quadric of Witt index 2, that is, of projective index 1, in  $PG(3, q)$ ,  $PG(4, q)$  and  $PG(5, q)$  respectively. The points and lines of the quadric form a generalized quadrangle which is denoted by  $Q^+(3, q)$ ,  $Q(4, q)$  and  $Q^-(5, q)$  respectively, and of order  $(q, 1)$ ,  $(q, q)$  and  $(q, q^2)$  respectively. Next, let  $H$  be a non-singular hermitian variety in  $PG(3, q^2)$ , respectively  $PG(4, q^2)$ . The points and lines of  $H$  form a generalized quadrangle  $H(3, q^2)$ , respectively  $H(4, q^2)$ , which has order  $(q^2, q)$ , respectively  $(q^2, q^3)$ . The points of  $PG(3, q)$  together with the totally isotropic lines with respect to a symplectic polarity form a  $GQ$ , denoted  $W(q)$ , of order  $q$ . The generalized quadrangles defined here are the so-called classical generalized quadrangles.

**Definition** A generalized quadrangle  $S = (P, B, I)$  is fully embedded in a projective space  $PG(V)$  if there is a map  $\pi$  from  $P$  (respectively  $B$ ) to the set of points (respectively lines) of a projective space  $PG(V)$ ,  $V$  a vector space over some skew field (not necessarily finite-dimensional), such that:

- (i)  $\pi$  is injective on points,
- (ii) if  $x \in P$  and  $L \in B$  with  $xIL$ , then  $x^\pi IL^\pi$ ,
- (iii) the set of points  $x^\pi$ , where  $x \in P$ , generates  $PG(V)$ ,

- (iv) every point in  $PG(V)$  on the image of a line of the quadrangle is also the image of a point of the quadrangle.

The following beautiful theorem is due to Buekenhout and Lefèvre [3].

**Theorem 1.3** *Every finite generalized quadrangle fully embedded in projective space is classical.*

A lot of information on finite generalized quadrangles can be found in the reference work [9].

### 1.3 Other background

**Definition** A blocking set with respect to  $t$ -spaces in  $PG(n, q)$  is a set  $B$  of points such that every  $t$ -dimensional subspace of  $PG(n, q)$  meets  $B$  in at least one point.

The following result of Bose and Burton gives a nice characterization of the smallest ones [2].

**Theorem 1.4** *If  $B$  is a blocking set with respect to  $t$ -spaces in  $PG(n, q)$ , then  $|B| \geq |PG(n - t, q)|$  and equality holds if and only if  $B$  is an  $(n - t)$ -dimensional subspace.*

**Definition** A  $k$ -arc of  $PG(2, q)$  is a set of  $k$  points, no three collinear. Let  $m(2, q)$  denote the maximal size of a  $k$ -arc in  $PG(2, q)$ .

We state the Bose result on the maximum size of a  $k$ -arc in  $PG(2, q)$  [1].

**Theorem 1.5** *If  $q$  is odd, then  $m(2, q) = q + 1$ . If  $q$  is even, then  $m(2, q) = q + 2$ .*

**Definition** A  $k$ -cap in  $PG(n, q)$  is a set of  $k$  points in  $PG(n, q)$ , no three of which are collinear.

The size of a  $k$ -cap in  $PG(3, q)$  is bounded. For  $q$  even in [1] and for  $q$  odd in [10].

**Theorem 1.6** *If  $K$  is a  $k$ -cap of  $PG(3, q)$ , then  $k \leq q^2 + 1$  for  $q > 2$ , and  $k \leq 8$  for  $q = 2$ .*

**Definition** A  $(q^2 + 1)$ -cap of  $PG(3, q)$ ,  $q > 2$ , is called an ovoid; an ovoid of  $PG(3, 2)$  is a set of 5 points of  $PG(3, 2)$  no four of which are coplanar. A  $(q + 1)$ -arc of  $PG(2, q)$  is called an oval.

**Lemma 1.7** *Consider a set  $K$  of points in  $PG(4, q)$ . Suppose all planes intersect  $K$  in 1,  $q + 1$  or  $2q + 1$  points. If  $K$  is a cap in  $PG(4, q)$ , then  $|K| \leq q^3 + 1$ .*

**Proof** Consider a line  $L$  intersecting  $K$  in 2 points and consider all planes through  $L$  in  $PG(4, q)$ . These planes can not intersect  $K$  in  $2q + 1$  points, by theorem 1.5. Hence,  $K$  contains at most

$$(q^2 + q + 1)(q - 1) + 2 = q^3 + 1$$

points. ■

## 1.4 Previous characterization results

We state the following result of Durante, Napolitano and Olanda [6].

**Theorem 1.8** *Let  $K$  be a set of points in  $PG(3, q)$ , with  $|K| = q^2 + q + 1$ , and suppose that  $K$  contains at least two lines. Furthermore suppose that  $K$  intersects every plane in 1,  $q + 1$  or  $2q + 1$  points. Then  $K$  is a cone projecting an oval in a plane  $\Pi$  from a point  $v$  not in  $\Pi$ .*

Ferri and Tallini proved the following nice characterization of the parabolic quadric  $Q(4, q)$  [7].

**Theorem 1.9** *A set  $K$  of points in  $PG(n, q)$ , with  $n \geq 4$  and  $|K| \geq q^3 + q^2 + q + 1$ , intersecting all planes in 1,  $a$  or  $b$  points, where  $b \geq 2q + 1$ , and intersecting every solid in  $c$ ,  $c + q$  or  $c + 2q$  points, where  $c \leq q^2 + 1$ , such that solids intersecting in  $c$  and solids intersecting in  $c + q$  points exist, is a non-singular quadric of  $PG(4, q)$ .*

## 2 A corollary of the theorem of Ferri and Tallini

We consider a set  $K$  of points in  $PG(4, q)$  intersecting every plane in 1,  $q + 1$  or  $2q + 1$  points, and every solid in  $q^2 + 1$ ,  $q^2 + q + 1$  or  $q^2 + 2q + 1$  points.

We will call planes intersecting  $K$  in 1,  $q + 1$  and  $2q + 1$  points respectively, small, medium and large respectively. We will call solids intersecting  $K$  in  $q^2 + 1$ ,  $q^2 + q + 1$  and  $q^2 + 2q + 1$  points respectively, small, medium and large respectively.

We prove the conditions required for the characterization by Ferri and Tallini of  $Q(4, q)$ . Consider a given solid  $\Pi$ . We will count how many small, medium and large planes respectively there are in  $\Pi$ ; call the number of them  $a$ ,  $b$  and  $c$  respectively. Denote the number of points of  $K$  inside  $\Pi$  by  $\gamma$ . Counting the total number of planes in a solid, the incident pairs  $(p, \alpha)$  where  $p$  is a point of  $K$  and  $\alpha$  a plane, and the number of ordered triples  $(p, r, \alpha)$  where  $p$  and  $r$  are distinct points of  $K$  lying in the plane  $\alpha$  respectively, yields the following equations,

$$a + b + c = (q + 1)(q^2 + 1),$$

$$a + b(q + 1) + c(2q + 1) = \gamma(q^2 + q + 1),$$

$$bq(q + 1) + c2q(2q + 1) = \gamma(\gamma - 1)(q + 1).$$

We can calculate  $a$ ,  $b$  and  $c$  exactly for each value of  $\gamma$ ; later on we will only use that  $c = 0$  if  $\gamma = q^2 + 1$ , that  $a$ ,  $b$  and  $c$  are all non-zero if  $\gamma = q^2 + q + 1$ , and that  $a = 0$  if  $\gamma = q^2 + 2q + 1$ .

Note that it never occurs that two of the integers  $a$ ,  $b$  and  $c$  are zero.

**Lemma 2.1** *Small solids intersect  $K$  in an ovoid.*

**Proof** Consider a small solid  $\Pi$  and all planes through a line  $L$  inside  $\Pi$ , where we assume that  $L$  contains  $x \geq 2$  points of  $K$ . Since a small solid contains no large planes we get exactly

$$(q+1)(q+1-x) + x = q^2 + 1$$

points, hence  $x = 2$ . For  $q = 2$  we have 5 points, no four coplanar. So for all  $q$ , small solids intersect  $K$  in an ovoid. ■

We first prove that the size assumption of theorem 1.9 is fulfilled.

**Lemma 2.2** *The set  $K$  contains  $q^3 + q^2 + q + 1$  or  $q^3 + q^2 + 2q + 1$  points.*

**Proof** 1) If a small plane  $\alpha$  exists, then consider all solids through  $\alpha$  inside the 4-dimensional space  $\Delta$ . We obtain the following lower bound on the size of  $K$ ,

$$|K| \geq 1 + (q+1)q^2 = q^3 + q^2 + 1.$$

Equality holds if and only if all solids through  $\alpha$  are small, and small solids are ovoids. Take a line  $L$  inside  $\Delta$ . If  $L$  lies in a solid through  $\alpha$ , then  $L$  contains at most 2 points of  $K$ .

Next consider a line  $M$  not intersecting  $\alpha$  and assume it contains a point  $x$  of  $K$ . Consider the small solid  $\Pi$  spanned by  $x$  and  $\alpha$ . Inside  $\Pi$  one can find a small plane containing  $x$ . Hence,  $M$  lies in a small solid through a small plane, a case already treated. So all lines intersect  $K$  in at most 2 points.

Hence, we would find a cap of size  $q^3 + q^2 + 1$ . This yields a contradiction with lemma 1.7.

So at least one solid through  $\alpha$  is medium or large, so  $|K| \geq q^3 + q^2 + q + 1$ . In both cases, there is a large plane. Let  $\pi$  be this large plane. Look at all solids through  $\pi$  inside  $\Delta$ . We get the inequality,

$$|K| \leq (q+1)q^2 + 2q + 1 = q^3 + q^2 + 2q + 1.$$

2) If no small plane exists, then all 3-spaces are large ones. In this case, we get the following size for  $K$ :

$$|K| = (q+1)q^2 + 2q + 1 = q^3 + q^2 + 2q + 1.$$

Taking an arbitrary plane and looking at all solids through it learns that the number of points in  $K$  is always  $1 \pmod q$ , hence this lemma is proved. ■

**Lemma 2.3** *There exist small and medium solids.*

**Proof** We show that for both possible values of  $|K|$ , there exist small and medium solids. Denote the number of small, medium and large solids in the 4-dimensional space by  $a$ ,  $b$  and  $c$  respectively.

Counting the total number of solids  $\Pi$  in a 4-dimensional space, the number of incident

pairs  $(p, \Pi)$  where  $p \in K$ , and the number of ordered triples  $(p, r, \Pi)$  where  $p$  and  $r$  are distinct points of  $K$  incident with  $\Pi$ , yields the following equations,

$$a + b + c = \frac{q^5 - 1}{q - 1},$$

$$(q^2 + 1)a + (q^2 + q + 1)b + (q^2 + 2q + 1)c = |K| \frac{q^4 - 1}{q - 1},$$

$$(q^2 + 1)q^2a + (q^2 + q + 1)(q^2 + q)b + (q^2 + 2q + 1)(q^2 + 2q)c = |K|(|K| - 1) \frac{q^3 - 1}{q - 1}.$$

Solving these equations yields that in both cases  $a \neq 0$  and  $b \neq 0$ , so there exist small and medium solids. ■

In our previous lemmas we have proved all the necessary conditions for theorem 1.9, hence we have the following result.

**Theorem 2.4** *If a set of points  $K$  in  $PG(4, q)$  is such that it intersects all planes in 1,  $q + 1$ , or  $2q + 1$  points and all solids in  $q^2 + 1$ ,  $q^2 + q + 1$  or  $q^2 + 2q + 1$  points, then it is a parabolic quadric  $Q(4, q)$ .*

### 3 The characterization

Consider a set of points  $K$  in  $PG(n, q)$ ,  $n \geq 4$ , that has as intersection numbers with planes

$$1, q + 1, 2q + 1, q^2 + q + 1$$

and as intersection numbers with solids

$$q + 1, q^2 + 1, q^2 + q + 1, q^2 + 2q + 1, 2q^2 + q + 1, q^3 + q^2 + q + 1.$$

We adopt the following terminology for the rest of this paper. We call planes and solids that intersect the set  $K$  in  $i$  and  $j$  points respectively,  $i$ -planes and  $j$ -solids respectively. A line containing  $q + 1$  points of the set  $K$  is called a full line, a  $(q^2 + q + 1)$ -plane will be called a full plane, and a  $(q^3 + q^2 + q + 1)$ -solid will be called a full solid.

**Lemma 3.1** *A  $(2q^2 + q + 1)$ -solid meets the set  $K$  in the union of two full planes.*

**Proof** Consider a  $(2q^2 + q + 1)$ -solid  $\Pi$ , a line  $L$  contained in  $\Pi$  and look at all planes through  $L$  inside  $\Pi$ . Suppose that  $L$  contains  $x$  points of the set  $K$ . Then, if we suppose that  $\Pi$  does not contain a full plane, we find at most

$$(q + 1)(2q + 1 - x) + x$$

points. We find that  $x \leq 2$ , but then we would have a cap of size  $2q^2 + q + 1$  in  $PG(3, q)$ . This is impossible, hence  $\Pi$  does contain a full plane, say  $\pi$ . Next consider

a point  $p$  in  $\Pi \setminus \pi$  belonging to  $\Pi \cap K$ , and let  $L$  be a line through  $p$  in  $\Pi$  such that  $L$  does not lie in a full plane of  $\Pi$ ; hence  $L$  lies only in  $(2q + 1)$ -planes of  $\Pi$ . Call  $x$  the number of points in  $K \cap L$ . Then we get the following equality,

$$x + (q + 1)(2q + 1 - x) = 2q^2 + q + 1.$$

Hence,  $x = 2$ . If there is no full plane through  $p$  in  $\Pi$ , this would mean that  $K = \Pi \cup \{p\}$ , which is a contradiction. Hence, we have shown that  $\Pi$  meets  $K$  in the union of two full planes. ■

**Lemma 3.2** *A  $(q + 1)$ -solid meets  $K$  in a full line.*

**Proof** Since by assumption every plane is blocked, and since a  $(q + 1)$ -solid contains only  $q + 1$  points of  $K$ , the proof is finished by theorem 1.4. ■

**Lemma 3.3** *If a solid  $\Pi$  contains a full plane  $\pi$  and a point  $p \in K \setminus \pi$ , then  $\Pi$  is a  $(2q^2 + q + 1)$ -solid or a full solid.*

**Proof** Since  $\Pi$  already contains  $q^2 + q + 2$  points of  $K$ , we only have to prove that  $\Pi$  is not a  $(q^2 + 2q + 1)$ -solid. Suppose it is a  $q^2 + 2q + 1$ -solid. Consider a line  $N$  through  $p$  inside  $\Pi$  intersecting  $K$  in  $x$  points. Consider all planes through  $N$  inside  $\Pi$ . They all intersect  $K$  in at least  $q + 2$  points and hence in at least  $2q + 1$  points. Counting yields the following equality,

$$(q + 1)(2q + 1 - x) + x = q^2 + 2q + 1.$$

This is only possible if  $x = q + 1$ . Since  $N$  was an arbitrary line through  $p$  in  $\Pi$ ,  $\Pi$  would intersect  $K$  in more than  $q^2 + 2q + 1$  points, a contradiction. ■

**Lemma 3.4** *There exist full lines.*

**Proof** If there exists a full plane or a  $(q + 1)$ -solid, then we are done. So suppose that these do not exist. Then by the previous lemmas, there is a 4-dimensional space  $\Delta$  whose planes are only 1-planes,  $(q + 1)$ -planes and  $(2q + 1)$ -planes and whose solids are only  $(q^2 + 1)$ -solids,  $(q^2 + q + 1)$ -solids and  $(q^2 + 2q + 1)$ -solids. But then by theorem 2.4,  $\Delta$  meets  $K$  in a parabolic quadric  $Q(4, q)$ ; which contains lines. ■

We define a point-line geometry  $S = (P, B, I)$ , where the points of  $P$  are the points of  $K$ , where the lines of  $B$  are the full lines and where incidence is containment.

**Theorem 3.5** *The geometry  $S$  is a Shult space.*



**Proof** We have already shown that there exist full lines, so  $B$  is non-empty.

The different cases we consider in this proof will also show that  $B$  contains at least two lines.

Consider a point  $p$  of  $S$  and a line  $L$  of  $S$ , such that  $p$  and  $L$  are not incident. We prove the axiom for the incidence relation of a Shult space, and we refer to it as the 1-or-all axiom (see page 2 for the definition of a Shult space).

Consider the plane  $\alpha$  generated by  $p$  and  $L$ . Since this plane contains at least  $q + 2$  points of  $S$ , it is either a  $(2q + 1)$ -plane or a full plane. If this plane is a full plane, then we have the all part of the 1-or-all axiom.

So suppose from now on that  $\alpha$  is a  $(2q + 1)$ -plane. We distinguish several cases that cover all possible situations.

1) Suppose that there exists a solid  $\Pi$  through  $\alpha$  containing a full plane  $\beta$ . If  $\Pi$  was a full solid, then  $\alpha$  would be a full plane. So  $\Pi$  either is a  $(q^2 + 2q + 1)$ -solid or a  $(2q^2 + q + 1)$ -solid.

Since  $\beta \neq \alpha$ , lemma 3.3 shows that  $\Pi$  is a  $(2q^2 + q + 1)$ -solid. By lemma 3.1,  $\Pi$  contains two full planes, they both intersect  $\alpha$  in a line, hence the 1-axiom is fulfilled.

2) Suppose now that there exists a 4-space  $\Delta$  containing  $\alpha$  that does not contain full planes. Since  $(2q^2 + q + 1)$ -solids and full solids contain full planes, also these do not occur in this 4-space.

a) Suppose that also no  $(q + 1)$ -solids occur in  $\Delta$ . Then we have exactly the intersection numbers with planes and solids as required for theorem 2.4, so that  $S$  intersects  $\Delta$  in a parabolic quadric  $Q(4, q)$ , which is a generalized quadrangle, so we have proved the 1-axiom.

b) Suppose that a  $(q + 1)$ -solid  $\Pi$  does occur in  $\Delta$ , and that it intersects  $S$  in a full line  $M$  different from  $L$ . Consider all planes through  $M$  in  $\Delta$ . Then we find at most

$$q^2(2q + 1 - (q + 1)) + (q + 1) = q^3 + q + 1$$

points of  $S$  in  $\Delta$ . Consider all lines through  $p$  inside  $\alpha$ . One of them, say  $N$ , intersects  $S$  in exactly 2 points, otherwise  $\alpha$  would intersect  $S$  in more than  $2q + 1$  points. Consider all planes through  $N$  inside  $\Delta$ . Since  $\alpha$  is a  $(2q + 1)$ -plane, we find at least

$$(q^2 + q)(q + 1 - 2) + (2q + 1 - 2) + 2 = q^3 + q + 1$$

points. Comparing these inequalities yields that all planes of  $\Delta$  containing  $M$  and not contained in  $\Pi$  are  $(2q + 1)$ -planes. Hence, all solids of  $\Delta$  different from  $\Pi$ , intersecting  $\Pi$  in a plane that contains  $M$ , contain

$$q((2q + 1) - (q + 1)) + q + 1 = q^2 + q + 1$$

points of  $S$ . The line  $L$  and the solid  $\Pi$  intersect in a point  $r$ . Then  $\{r\} = L \cap M$ . If  $M$  lies in  $\alpha$ , then we have proved the 1-axiom, so suppose that  $M$  does not lie in  $\alpha$ .

Consider the solid  $\Gamma$  generated by  $\alpha$  and  $M$ . This solid contains at least two lines, namely  $L$  and  $M$ , it intersects  $K$  in  $q^2 + q + 1$  points and all planes of this solid are 1-planes,  $(q + 1)$ -planes or  $(2q + 1)$ -planes. Theorem 1.8 gives that  $\Gamma$  intersects  $K$  in a cone with as vertex  $r$  and base an oval. Hence, the line  $pr$  is the only line of  $S$  through  $p$  intersecting  $L$ . We have proved the 1-axiom.

c) The remaining case is that the  $(q + 1)$ -solids in  $\Delta$  intersect  $K$  exactly in  $L$ . Let  $\Pi$  be such a  $(q + 1)$ -solid of  $\Delta$  through  $L$ . Considering all planes through  $L$  inside  $\Delta$  yields as above that  $K$  intersects  $\Delta$  in at most  $q^3 + q + 1$  points. Consider a 1-plane  $\beta$  contained in  $\Pi$ , and consider all solids through  $\beta$  in  $\Delta$ . Since we know the  $(q + 1)$ -solids contained in  $\Delta$  contain  $L$ , we get at least

$$q(q^2) + q + 1 = q^3 + q + 1$$

points. Considering the two inequalities above learns us that they must be two equalities, so there pass  $q$   $(q^2 + 1)$ -solids through  $\beta$  inside  $\Delta$ . By lemma 2.1, all  $(q^2 + 1)$ -solids through  $\beta$  inside  $\Delta$  intersect  $K$  in an ovoid of  $PG(3, q)$ .

We consider the union of all these ovoids and add one extra point of  $L$ ; hence we have found a cap of size  $q(q^2 + 1 - 1) + 2 = q^3 + 2$  in  $PG(4, q)$ , yielding a contradiction with lemma 1.7.

Indeed, take any line  $N$  lying in  $\Delta$  and not in  $\Pi$ . There always exists a solid  $\Pi'$  through  $N$  in  $\Delta$  such that  $\beta = \Pi' \cap \Pi$  intersects  $L$  in a point. So  $\Pi'$  intersects  $K$  in an ovoid and hence  $N$  intersects  $K$  in at most 2 points.

3) Consider now a 4-space  $\Delta$  containing  $\alpha$  such that no solid through  $\alpha$  inside  $\Delta$  contains a full plane, but  $\Delta$  does. Call this full plane  $\pi$ .

a) Suppose that  $p \in \pi$ . Then  $L$  does not intersect  $\pi$ . Take a point  $r$  on  $L$  and consider the solid  $\Pi'_r$  generated by  $r$  and  $\pi$ . By lemma 3.3,  $\Pi'_r$  is a  $(2q^2 + q + 1)$ -solid or a full solid.

If a solid  $\Pi'_r$  is a full solid, then  $r$  is collinear with  $p$  in  $S$ . Since  $\alpha$  is a  $(2q + 1)$ -plane, we have proved the 1-axiom. Suppose now that all solids  $\Pi'_r$  are  $(2q^2 + q + 1)$ -solids. If the full plane of  $\Pi'_r$  through  $r$  intersects  $\pi$  in a line through  $p$ , then we have again proved the 1-axiom. Suppose that this never happens. Then all the lines  $pr$ ,  $r \in L$ , contain only two points of  $S$ , namely  $p$  and  $r$ . But then  $\alpha$  contains exactly  $q + 2$  points of  $S$ , a contradiction.

b) Suppose that  $p \notin \pi$  and look at the solid generated by the point  $p$  and the plane  $\pi$ , call it  $\Pi$ .

Suppose that  $\Pi$  is a full solid. Then it does not contain  $\alpha$ . It intersects  $\alpha$  in a line of  $S$ , hence we have proved the 1-axiom.

If  $\Pi$  is a  $(2q^2 + q + 1)$ -solid, then it intersects  $K$  in a union of two full planes. But then one of these planes contains  $p$ , and we are again in case 3)(a). ■

**Theorem 3.6** *If  $S$  is non-degenerate, then it is a non-singular quadric in  $PG(n, q)$ ,  $n \geq 4$ .*

**Proof** If there exists a full plane, then  $S$  is a non-degenerate Shult space of finite rank at least 3, and since all lines contain at least three points by definition,  $S$  with all its subspaces is a polar space. By theorem 1.1 it is a finite classical polar space and by looking at the intersection numbers, we see that  $S$  is a non-singular quadric.

If there exists no full plane, then the previous arguments show we have proved for  $S$  axiom (GQ3) for generalized quadrangles. Clearly, there is a point  $p$  through which there pass two lines of  $S$ . Hence,  $S$  is a generalized quadrangle.

By theorem 1.3, it is a classical one; going through the list of classical generalized

quadrangles yields it is the non-singular parabolic quadric  $Q(4, q)$  or the non-singular elliptic quadric  $Q^-(5, q)$ . ■

Suppose now that  $S$  is degenerate, so there exist points collinear with all other points. We call such points singular points.

**Lemma 3.7** *The singular points of  $S$  form a subspace  $\Pi_k$  of  $PG(n, q)$ .*

**Proof** Take two singular points  $p$  and  $r$  of  $S$  and consider a point  $t$  lying on the line  $L = pr$ . Surely,  $t \in S$ . All points on  $S$  are collinear with  $t$ . Take a point  $s$  of  $S$  not lying on  $L$  and consider the plane generated by  $s$  and  $L$ . This plane has to be a full one, hence  $s$  is collinear with  $t$ . ■

**Lemma 3.8** *If  $S$  contains singular points, then all lines not intersecting the subspace  $\Pi_k$  formed by the singular points, intersect  $S$  in 0, 1, 2 or  $q + 1$  points.*

**Proof** Consider a line  $L$  not intersecting  $\Pi_k$ . Take a singular point  $p$  and consider the plane generated by  $p$  and  $L$ . Since this plane contains either 1,  $q + 1$ ,  $2q + 1$  or  $q^2 + q + 1$  points of  $S$  by assumption, the statement is proved. ■

**Lemma 3.9** *If  $n - k - 1 \geq 4$ , then  $S$  is a cone with vertex a  $k$ -dimensional space and base a non-singular quadric.*

**Proof** If  $S$  is degenerate, then look at a complementary space  $PG(n - k - 1, q)$  of the space  $\Pi_k$ . By assumption, this space does not contain singular points of  $S$ . If  $n - k - 1 \geq 4$ , then theorem 3.6 shows that  $S$  intersects this space in a non-singular quadric, hence  $S$  is a cone with vertex a  $k$ -dimensional space and base a non-singular quadric. ■

Now we consider all other cases one by one.

a) If  $n - k - 1 = -1$ , then  $S$  is the projective space  $PG(n, q)$ .

b) If  $n - k - 1 = 0$ , then  $S$  is a hyperplane of  $PG(n, q)$ .

c) If  $n - k - 1 = 1$ , then the complementary space is a line. If this line intersects  $K$  in zero points, we have an  $(n - 2)$ -dimensional space. If it intersects  $K$  in 2 points, we have the union of two hyperplanes.

d) If  $n - k - 1 = 2$ , then the complementary space is a plane  $\pi$ . Suppose that  $\pi$  intersects  $S$  in  $q + 1$  points. Since all lines intersect  $K \cap \pi$  in 0, 1, 2 or  $q + 1$  points, the intersection of  $\pi$  and  $S$  is an oval (a line is impossible otherwise we have extra singular points). Suppose that  $\pi$  intersects  $K$  in  $2q + 1$  points. Since  $\pi$  contains more than  $q + 2$  points of  $K$ ,  $\pi$  surely contains a line  $L$  of  $S$ . Take a point  $p \in S \cap \pi$  outside  $L$ . Considering all lines through  $p$  in  $\pi$  learns that one of them is a line of  $S$ . The intersection of the two lines would be a singular point, this yields a contradiction.

e) If  $n - k - 1 = 3$ , then the complementary space is a solid  $\Pi$ .

If this solid intersects  $S$  in  $q^2 + 1$  points, it intersects  $S$  in an ovoid.

If this solid intersects  $S$  in  $q^2 + q + 1$  points, it surely contains a line  $L$  of  $S$ . Take a point  $p$  on  $S$ ,  $p \notin L$ , inside  $\Pi$ . Then the plane generated by  $p$  and  $L$  intersects  $S$  in two lines, as before. Hence,  $\Pi$  contains at least two lines. Theorem 1.8 learns that  $S$  intersects  $\Pi$  in a cone with vertex a point  $p$  and base an oval. This yields a contradiction, since the point  $p$  is then a singular point of  $S$ .

Suppose  $\Pi$  intersects  $S$  in  $q^2 + 2q + 1$  points. By lemma 3.3, we may assume  $\Pi$  intersects all planes in 1,  $q + 1$  or  $2q + 1$  points. Again we surely have lines of  $S$  lying in  $S \cap \pi$ . Consider a point  $p$  of  $S \cap \pi$  and a line  $L$  of  $S$ , with  $p \notin L$ . The plane  $\alpha$  generated by them is a  $(2q + 1)$ -plane and the intersection sizes of lines immediately prove axiom (GQ3) for generalized quadrangles. By assumption, there is no point of  $S$  in  $\Pi$  collinear with all other points of  $\Pi \cap S$ .

So  $S \cap \pi$  is a generalized quadrangle. Again by theorem 1.3, it is a classical one and hence it is  $Q^+(3, q)$ .

If  $\Pi$  intersects  $S$  in  $2q^2 + q + 1$  points, then, by lemma 3.1, we get extra singular points, this yields a contradiction.

Now we can state our main theorem.

**Theorem 3.10** *If a set of points  $K$  in  $PG(n, q)$ ,  $n \geq 4$ , intersects planes and solids in the same number of points as quadrics, then  $K$  is either*

- (i) *The projective space  $PG(n, q)$ ,*
- (ii) *A hyperplane in  $PG(n, q)$ ,*
- (iii) *A quadric in  $PG(n, q)$ .*
- (iv) *If  $q$  is even, it can also be a*
  - (iv.1) *A cone with vertex an  $(n - 3)$ -dimensional space and base an oval.*
  - (iv.2) *A cone with vertex an  $(n - 4)$ -dimensional space and base an ovoid.*

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