

**stichting
mathematisch
centrum**



AFDELING ZUIVERE WISKUNDE
(DEPARTMENT OF PURE MATHEMATICS)

ZW 157/81

MAART

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A CHARACTERIZATION OF THE CLASSICAL UNITALS

Preprint

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BIBLIOTHEEK MATHEMATISCH CENTRUM
—AMSTERDAM—

Printed at the Mathematical Centre, 413 Kruislaan, Amsterdam.

The Mathematical Centre, founded the 11-th of February 1946, is a non-profit institution aiming at the promotion of pure mathematics and its applications. It is sponsored by the Netherlands Government through the Netherlands Organization for the Advancement of Pure Research (Z.W.O.).

A characterization of the classical unitals *)

by

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ABSTRACT

A characterization of the classical unitals is given in terms of certain geometrical properties.

KEY WORDS & PHRASES: *Unital, inversive plane, generalized quadrangle, Minkowski plane*

*) This report will be submitted for publication elsewhere.

1. INTRODUCTION

A *unital* or *unitary block design* is a $2 - (q^3 + 1, q + 1, 1)$ design, i.e. an incidence structure of $q^3 + 1$ points, $q^2(q^2 - q + 1)$ lines, such that each line contains $q + 1$ points and any two distinct points are on a unique line. If q is a prime power, the absolute points and non-absolute lines of a unitary polarity of $PG(2, q^2)$ form a unital (see [2]). These unitals are called *classical*.

In [6], O'NAN showed that a classical unital satisfies the following condition.

(I) No four distinct lines intersect in six distinct points (see Figure 1).

No:

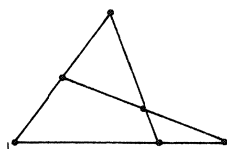


Fig. 1

In [5], PIPER conjectured that this property characterizes the classical unitals. Here we shall give a characterization for even q under the assumption that also the following condition holds.

(II) If L is a line, x a point not on L , M a line through x meeting L and $y \neq x$ a point on M , then there exists a line $L' \neq M$ through y intersecting all lines through x which meet L .

To achieve this result we shall give another characterization for all q under the additional assumption that a third condition holds. To formulate this condition we need some notation. If x and y are distinct points, then we denote by xy the line through x and y . Given a point x , two lines L and L' missing x are called *x -parallel* (notation $L \parallel_x L'$) if and only if they intersect the same lines through x . Clearly, \parallel_x is an equivalence relation on the set of lines missing x , and by (I) and (II), each equivalence class consists of q disjoint lines. Our third condition now reads as follows.

(III) Given a point x , three distinct lines M_1, M_2, M_3 through x and points y_i, z_i on M_i ($i=1,2,3$) such that $(y_1y_2) \parallel_x (z_1z_2)$ and $(y_1y_3) \parallel_x (z_1z_3)$, then also $(y_2y_3) \parallel_x (z_2z_3)$.

Clearly, the presence of unitary transvections in $\text{PU}(3, q)$ implies that the classical unitals satisfy conditions (II) and (III). In Section 2 we shall study unitals satisfying (I) and (II). Section 3 is devoted to the proof that unitals satisfying all three conditions are classical. Finally, in Section 4, we shall show that for even q , (III) is a consequence of (I) and (II).

2. UNITALS SATISFYING (I) AND (II)

Throughout this section U is a unital on $q^3 + 1$ points with point set X and line set L satisfying (I) and (II) above. If $x \in X$, then we denote by L^x the set of lines incident with x , and L_x will be the set of lines missing x . Furthermore, C_x will stand for the set of \parallel_x -equivalence classes on L_x . From [1] it is clear that we want to show that the incidence structure which has L^x as the set of points, C_x as the set of blocks and LIC ($L \in L^x, C \in C_x$) iff L meets one (hence all) lines of C , is the residual of an inversive plane of order q . We denote this incidence structure by $I^*(x) = (L^x, C_x)$. Clearly, $I^*(x)$ is a $2 - (q^2, q+1, q)$ design.

LEMMA 1. *If $x \in X$ and $L, L' \in L_x$ such that L and L' both meet three distinct lines $M_1, M_2, M_3 \in L^x$, then $L \parallel_x L'$, i.e. three distinct points of $I^*(x)$ are in at most one block of $I^*(x)$.*

PROOF. Let $y \in M_1 \cap L'$ and let L'' be the line through y which is x -parallel to L , then $L' \neq L''$ contradicts (I). \square

If M and M' are two distinct lines through a point x , then an easy counting argument shows that there are $q-2$ lines N_1, \dots, N_{q-2} through x such that no line of L_x meets M, M' and N_i , $i = 1, \dots, q-2$. Put $C^*(M, M') := \{M_1, M'\} \cup \{N_1, N_2, \dots, N_{q-2}\}$. We have to show that the $C^*(M, M')$ correspond to circles which will make $I^*(x)$ into an inversive plane. We have to show that $N, N' \in C^*(M, M') \Rightarrow C^*(M, M') = C^*(N, N')$. Clearly, $C^*(M, M') = C^*(M', M)$ and so it suffices to show that $M'' \in C^*(M, M') \Rightarrow C^*(M, M') = C^*(M, M'')$. This is the

contents of the next lemma.

LEMMA 2. Fix a line $M \in L$ and two distinct points x and y in M . For $M', M'' \in L^X \setminus \{M\}$ write $M' \sim M''$ iff no line of $L^Y \setminus \{M\}$, intersects both M' and M'' or $M' = M''$. Then \sim is an equivalence relation on $L^X \setminus \{M\}$.

PROOF. For $u, v \in M$ let $A^*(u, v)$ be the incidence structure with $L^u \setminus \{M\}$ as points, $L^v \setminus \{M\}$ as lines, and incidence defined by PIB iff P and B meet ($P \in L^u \setminus \{M\}$, $B \in L^v \setminus \{M\}$). If u, v, w are distinct points of M , then clearly the mapping $\tau_{v,w}^u: A^*(u, v) \rightarrow A^*(u, w)$ defined by

$$\tau_{v,w}^u(P) := P, \quad P \in L^u \setminus \{M\},$$

$$\tau_{v,w}^u(B) := u\text{-parallel of } B \text{ through } w, \quad B \in L^v \setminus \{M\},$$

is an isomorphism of $A^*(u, v)$ onto $A^*(u, w)$. Now fix $x, y \in X$, $x \neq y$. If $q > 2$ and u, v are distinct points in M , $u, v \neq x, y$, then

$$\delta_{u,v}^{x,y} := \tau_{v,x}^y \tau_{u,y}^v \tau_{x,v}^u \tau_{y,u}^x,$$

is an automorphism of $A^*(x, y)$.

Now we claim that

- (i) For all $u, v \in M \setminus \{x, y\}$, $u \neq v$ and for all $P \in L^X \setminus \{M\}$, $\delta_{u,v}^{x,y}(P) \neq P$ and $\delta_{u,v}^{x,y}(P) \sim P$.
- (ii) For all $u, v, v' \in M \setminus \{x, y\}$, $u \neq v \neq v' \neq u$ and for all $P \in L^X \setminus \{M\}$, $\delta_{u,v}^{x,y}(P) \neq \delta_{u,v'}^{x,y}(P)$ and $\delta_{u,v}^{x,y}(P) \sim \delta_{u,v'}^{x,y}(P)$.

To prove these claims, write uPv for the u -parallel of P incident with v . Then $\delta_{u,v}^{x,y}(P) = y(uPv)x$. Suppose $y(uPv)x \sim P$ or $y(uPv)x = P$. Then there is a line L incident with x intersecting P and $y(uPv)x$. Then L intersects uPv in a point a , say. Since au intersects P , we now have an O'Nan configuration on the lines M , P , L and au , contradicting (I).

Suppose $y(uPv)x \sim y(uPv')x$ or $y(uPv)x = y(uPv')x$. Let L be the line through y intersecting $y(uPv)x$ and $y(uPv')x$. Then L intersects uPv and uPv' in points a and a' , say. Since au intersects uPv' , we have an O'Nan configuration on M , L , uPv' and au , again in contradiction with (I).

For a given $P \in L^X \setminus \{M\}$, there are $q-2$ $Q \in L^X \setminus \{M\}$, $Q \neq P$ such that $Q \sim P$. Fixing u we can make $q-2$ choices for $v \in M \setminus \{x, y, u\}$. Thus, each $Q \in L^X \setminus \{M\}$, $Q \neq P$ can be written as $Q = \tilde{\delta}_{u,v}^{x,y}(P)$. If $Q = \tilde{\delta}_{u,v}^{x,y}(P) \sim P$ and $Q' = \tilde{\delta}_{u,v'}^{x,y}(P) \sim P$, then $Q \sim Q'$ by (ii). \square

Lemma 2 and its proof have a number of important corollaries.

COROLLARY 3. Let $x \in X$ and let ∞_x be a new symbol. Put

$$C^x := \{C^*(M, M') \cup \{\infty_x\} \mid M, M' \in L^x, M \neq M'\}.$$

Then $I(x) := (L^x \cup \{\infty_x\}, C^x \cup C_x)$ is an inversive plane of order q with point set $L^x \cup \{\infty_x\}$ and block set $C^x \cup C_x$ and incidence defined in the obvious way.

PROOF. See the discussion preceding Lemma 2. \square

COROLLARY 4. For $x, y \in X$, $x \neq y$, the incidence structure $A^*(x, y)$ of Lemma 2 is isomorphic to the derived design $I(x)^{xy}$ with ∞_x and the lines through ∞_x removed. The affine plane $I(x)^{xy}$ admits a dilatation group of order $q-1$ with centre ∞_x .

PROOF. The automorphisms $\tilde{\delta}_{u,v}^{x,y}$ of $A^*(x, y)$ induce $q-2$ distinct nonidentity dilatations with centre ∞_x on $I(x)^{xy}$. Since $I(x)^{xy}$ has order q , these are the non-identity elements of the dilatation group with centre ∞_x of order $q-1$. \square

COROLLARY 5. Let $L \in l$ and let x_1, x_2, \dots, x_{q+1} be the points on L . It is possible to partition the set of lines which meet L into classes A_{ij} ,

$1 \leq i, j \leq q+1$, such that for all i and j

- (i) $|A_{ij}| = q-1$
- (ii) $M \in A_{ij} \Rightarrow x_i \in M$,
- (iii) every point $x \in X \setminus L$ is on exactly one line of $\bigcup_k A_{kj}$,
- (iv) no line which meets L in a point $\neq x_i$, meets two lines of A_{ij} ,
- (v) for all $k, i', 1 \leq k, i' \leq q+1$, $k \neq i, i'$ and for all $M \in A_{ij}$, the x_k -parallel of M through $x_{i'}$, is in $A_{i'j}$,
- (vi) if $1 \leq i' \leq q+1$, $i' \neq i$ and $M \in A_{ij}$, $M' \in A_{i'j}$, then there exists a unique $k \in \{1, \dots, q+1\}$ such that M and M' are x_k -parallel.

PROOF. Consider $I(x_1)$. Number the circles of $I(x_1)$ through the two points ∞_{x_1} and L of $I(x_1)$ from 1 upto $q+1$. Apart from ∞_{x_1} and L each such circle contains $(q-1)$ lines through x_1 . These will be the sets $A_{1,j}$, $j = 1, \dots, q+1$. For $i > 1$ and $1 \leq j \leq q+1$, let $A_{i,j}$ consist of the $(q-1)$ lines through x_i which in $I(x_1)$ correspond to the $(q-1)$ circles (not through ∞_{x_1}) in the pencil with carrier L and which contains circle j through ∞_{x_1} and L . Now (i) and (ii) are trivially satisfied. For (iii), note that the $q+1$ lines xx_i , $i = 1, \dots, q+1$ are in $A_{i,j}$'s with distinct j since the circles in a pencil with carrier L partition the set of points $\neq L$ of $I(x_1)$. To prove the other cases, observe that our subdivision of the set of lines meeting L into the classes $A_{i,j}$ would have remained the same if we had started by considering $I(x_i)$, $i > 1$ instead of $I(x_1)$. Thus, to prove (iv), it suffices to show that no line $M \in L^{x_1} \setminus \{L\}$ can intersect two distinct lines $N_1, N_2 \in A_{i,j}$ with $i > 1$. This follows at once, since N_1 and N_2 correspond to tangent circles in $I(x_1)$. Also (v) is clear if we take $k = 1$ for then M and the x_k -parallel of M through x_1 , represent the same circle in $I(x_1)$. Finally (vi) follows from (i), (v) and the easily shown fact two lines which meet L cannot be x_k - and x_ℓ -parallel for distinct k and ℓ . \square

Following PIPER [5], we are now able to associate with each line L of U an incidence structure $\mathcal{GQ}(L)$ as follows. The points of $\mathcal{GQ}(L)$ are the points $x \in X \setminus L$ and the sets $A_{i,j}$, $1 \leq i, j \leq q+1$. The lines of $\mathcal{GQ}(L)$ are the lines M of U meeting L , and $2(q+1)$ new lines, A_1, A_2, \dots, A_{q+1} , B_1, B_2, \dots, B_{q+1} . Incidence in $\mathcal{GQ}(L)$ is defined as displayed in the following table.

	line of type M	line of type A_k or B_ℓ
point of type $x \in X \setminus L$	$x \in M$	never
point of type A_{ij}	$M \in A_{ij}$	$i=k$ or $j=\ell$

Incidence in $\mathcal{GQ}(L)$

THEOREM 6. Let $U = (X, L)$ be a unital with $q+1$ points on a line satisfying (I) and (II). Then for each line $L \in L$, $GQ(L)$ is a generalized quadrangle with $q+1$ points on a line and $q+1$ lines through a point. Moreover, any two nonintersecting lines m_1 and m_2 of $GQ(L)$ form a regular pair (in the sense of [7]) provided m_1 and m_2 do not correspond to lines M_1 and M_2 of U such that $M_1 \in A_{ij}$ and $M_2 \in A_{k\ell}$ with $i \neq k$ and $j \neq \ell$. In particular, the lines $A_1, \dots, A_{q+1}, B_1, \dots, B_{q+1}$ of $GQ(L)$ are regular.

PROOF. Straightforward verification. \square

We shall see in Section 4 that if all lines of $GQ(L)$ are regular, then U is classical.

3. UNITALS SATISFYING (I), (II) AND (III)

Let $U = (X, L)$ be a unital satisfying (I), (II) and (III). Using (III) it is easy to see that for any three distinct points x, y, z on a line L there is a unique automorphism $\tau_{y,z}^x$ of U fixing x and all lines through x and mapping y onto z : if $u \notin L$ then $\tau_{y,z}^x(u)$ is defined to be the point of intersection of xu and the x -parallel of yu through z , if $v \in L \setminus \{x\}$, fix a point $u \notin L$ and define $\tau_{y,z}^x(v)$ to be the point of intersection of L and the x -parallel of uv through $\tau_{y,z}^x(u)$.

THEOREM 7. Let $U = (X, L)$ be a unital with $q+1$ points on a line satisfying (I), (II) and (III), and let G be the automorphism group of U generated by the $\tau_{y,z}^x$. Then U is classical, G is isomorphic to $PSU(3, q^2)$ and acts on U in the usual way.

PROOF. Clearly G is transitive on X . We claim that G acts 2-transitively on X if $q > 2$ (the case $q = 2$ is left to the reader). To prove this, note that the mappings $\tilde{\tau}_{y,z}^x$ of Lemma 2 are induced by the automorphisms $\tau_{y,z}^x$ of U . Hence, also the mappings $\tilde{\delta}_{u,v}^{x,y}$ of Lemma 2 are induced by automorphisms $\delta_{u,v}^{x,y} \in G$ of U . Since incidence in the inversive plane $I(x)$ is determined by incidence in U , $\delta_{u,v}^{x,y}$ induces an automorphism of $I(x)$. By Corollary 4, this is a dilatation of $I(x)^{xy}$ with centre ∞_x . Therefore, it can also be viewed as a dilatation of $I(x)^{\infty x}$ with centre xy . Thus in the affine plane $I(x)^{\infty x}$,

each point is the centre of a dilatation. Hence $I(x)^{\infty x}$ is a translation plane and the group generated by the dilatations contains the full translation group of $I(x)^{\infty x}$ ([2, p.187]). Let $T(x)$ be the normal subgroup of G_x consisting of elements which induce (possibly identity) translations of $I(x)^{\infty x}$. Then $T(x)$ acts regularly on the points of $I(x)^{\infty x}$, i.e. on L^x , and for each line $L \in L^x$, $T(x)_L$ acts regularly on $L \setminus \{x\}$. Thus $T(x)$ is a normal subgroup of G_x acting regularly on $X \setminus \{x\}$, and G is 2-transitive. Applying [4] we get that G has a normal subgroup M such that $M \leq G \leq \text{Aut } M$ and M acts on X as one of the following groups in its usual 2-transitive representation: a sharply 2-transitive group, $\text{PSL}(2, q^3)$, $\text{Sz}(q^{3/2})$, $\text{PSU}(3, q^2)$, or a group of Ree type. Since $q^3 + 1 = (q+1)(q^2 - q + 1)$ is not a prime power for $q > 2$, the first alternative will not occur. If $H \leq G$ and x, y, z are three distinct points of X , then the H_{xy} -orbit of z is contained in xy , so has length $\leq q-1$. This excludes $M = \text{PSL}(2, q^3)$ and $M = \text{Sz}(q^{3/2})$. Moreover, this argument shows that if $M = \text{PSU}(3, q^2)$ then U is classical, for M_{xy} has a unique orbit of length $q-1$ on $X \setminus \{x, y\}$, all other orbits have length $(q^2 - 1)/(q+1, 3)$ ([6, p. 499]). Now the $\tau_{y,z}^x$ can be identified with the unitary transvections and it follows that $G \simeq \text{PSU}(3, q^2)$. Thus we are left with the case that M is a group of Ree type. Since $q = 3^{2a+1}$, G contains an involution δ fixing at least two points $x, y \in X$ (Corollary 4). By [4], Lemma 3.3(v) and (ix), $\delta \in M$ and δ fixes $q+1$ points. Since δ is a dilatation on $I(x)^{\infty x}$ these must be the $q+1$ points of xy and so U is nothing but the Ree unital associated with M . Now, for $L \in L$, $\langle \delta \rangle \times \text{PSL}(2, q) \simeq M_L \trianglelefteq G_L$ and so $\langle \tau_{y,z}^x \mid x, y, z \in L \rangle \leq \text{Aut}(\text{PSL}(2, q)) = \text{P}\Gamma\text{L}(2, q)$, which shows that at least one, and hence all, $\tau_{y,z}^x \in M$, i.e. $G = M$ of order $(q^3 + 1)q^3(q-1)$. Now for a 3-Sylow group $T(x)$ of G , $T(x)/T(x)_L$ (x on L) is the elementary abelian translation group of $I(x)^{\infty x}$. Hence, for the derived group $T(x)^{(1)}$ of $T(x)$ we find $|T(x)^{(1)}| \leq |T(x)_L| = q$, contradicting Lemma 3.3(iii) of [4]. \square

4. MORE CHARACTERIZATIONS

Let $U = (X, L)$ be a unital satisfying (I) and (II). Consider the following two conditions.

(III') Given a point x and three distinct lines M_1, M_2, M_3 through x and points y_i, z_i on M_i ($i = 1, 2, 3$) such that $(y_1 y_2) \parallel_x (z_1 z_2)$, $(y_1 y_3) \parallel_x (z_1 z_3)$

and one of the lines $(y_i y_j)$ or $(z_i z_j)$ meets all three of M_1 , M_2 and M_3 , then $(y_2 y_3) \parallel_x (z_2 z_3)$.

(IV) Given a point x and two distinct lines M_1 and M_2 through x and points y_1, y_3, z_1, z_3 on M_1 , y_2, y_4, z_2, z_4 on M_2 such that $(y_1 y_2) \parallel_x (z_1 z_2)$, $(y_1 y_4) \parallel_x (z_1 z_4)$ and $(y_2 y_3) \parallel_x (z_2 z_3)$, then also $(y_3 y_4) \parallel_x (z_3 z_4)$.

Clearly, (III) implies (III') and (IV). The converse is also true.

LEMMA 8. Let $U = (X, L)$ be a unital satisfying (I), (II), (III') and (IV), then also (III) holds.

PROOF. Let $x, M_i, y_i, z_i, i = 1, 2, 3$ be as in (III). Suppose that M_1, M_2 and M_3 determine a circle in $I(x)$ not containing ∞_x , i.e. suppose there is a line through y_1 intersecting M_2 in u_2 and M_3 in u_3 , say. Let v_2 (v_3) be the point of intersection of the x -parallel of $y_1 u_2$ through z_1 and M_2 (M_3). Using (III') we find that $(u_2 y_2) \parallel_x (v_2 z_2)$ and $(u_3 y_3) \parallel_x (v_3 z_3)$. Hence by (IV), $(y_2 y_3) \parallel_x (z_2 z_3)$ and (III) is shown to hold in this case. The remaining case is where M_1, M_2 and M_3 are on a circle of $I(x)$ containing ∞_x , i.e. no line of L_x meets all three of M_1, M_2 and M_3 . Since the two circles of $I(x)$ corresponding to $y_1 y_2$ and $y_1 y_3$ cannot be tangent (for otherwise $y_1 y_2 = y_1 y_3$ and there is a line intersecting M_1, M_2 and M_3), there is a line M_4 through x which meets $y_1 y_2$ in y_4 and $z_1 z_2$ in z_4 , say, and which also meets $y_1 y_3$ and $z_1 z_3$. Now looking at M_1, M_3 and M_4 are applying (III') we see that $(y_3 y_4) \parallel_x (z_3 z_4)$. Since M_2, M_3 and M_4 are not on a circle of $I(x)$ (for otherwise this would be the circle determined by M_1, M_2 and M_3), we can apply the previous case and conclude that $(y_2 y_3) \parallel_x (z_2 z_3)$. \square

The reason for considering (III') and (IV) is that in both cases there is a line M_i which is intersected by all lines mentioned in the condition. Thus, both (III') and (IV) have a (no doubt awkward) equivalent formulation $(\overline{\text{III}}')$ respectively $(\overline{\text{IV}})$ into terms of $GQ(M_i)$. Since the classical unital satisfies (III') and (IV), the classical generalized quadrangle $Q(4, q)$ on the points and lines of a hyperquadric in $PG(4, q)$ must satisfy $(\overline{\text{III}}')$ and $(\overline{\text{IV}})$. So, conversely, if a unital U satisfying (I) and (II) has the property that $GQ(L)$ is isomorphic to $Q(4, q)$ for each line L of U , then U is classical.

THEOREM 9. Let U be a unital with $q+1$ points on a line satisfying (I) and (II). If for each line L of U , $GQ(L) \simeq Q(4, q)$, i.e. if every line of $GQ(L)$ is regular, then U is classical.

We are now in a position to prove that for even q , (I) and (II) suffice to characterize U .

THEOREM 10. Let $U = (X, L)$ be a unital with $q+1$ points on a line satisfying (I) and (II). If q is even, then U is classical.

PROOF. Let L be a line of U and let A_{ij} , $1 \leq i, j \leq q+1$ and A_i , B_i , $i = 1, \dots, q+1$ be defined as before. For each $x \in X \setminus L$ put

$$C(x) := \{A_{ij} \mid \exists \text{ line } M \in A_{ij} \text{ incident with } x\}.$$

By Corollary 5, $C(x)$ has exactly one point on each of the lines A_i and B_i , $i = 1, \dots, q+1$. We claim that if $x, y \in X \setminus L$, $x \neq y$, then $|C(x) \cap C(y)| \leq 2$. First suppose xy is a line meeting L , $xy \in A_{ij}$, say. then by Corollary 5(iv), $C(x) \cap C(y) = \{A_{ij}\}$. Now consider the case where xy is a line of U not meeting L . Suppose x_1, x_2, x_3 are distinct points of L such that $xx_1, yx_1 \in A_{1,1}$, $xx_2, yx_2 \in A_{2,2}$ and $xx_3, yx_3 \in A_{3,3}$. In $I(x)$, L , yx , yx_2 , yx_3 correspond to circles with the following properties: yx_1, yx_2, yx_3 all go through the point xy of $I(x)$ and are tangent to L in respectively xx_1, xx_2 and xx_3 . Since q is even, there is a point $\neq xy$ of $I(x)$ which is also on the circles yx_1, yx_2, yx_3 , i.e. there is a line $M \neq xy$ through x intersecting yx_i , $i = 1, 2, 3$. By Lemma 1, $L \parallel_y M$ and so xy intersects L , a contradiction. We have shown that each triple $A_{i_1, j_1}, A_{i_2, j_2}, A_{i_3, j_3}$ with $|\{i_1, i_2, i_3\}| = |\{j_1, j_2, j_3\}| = 3$ is covered at most once by a $C(x)$. Since there are $q^3 - q$ $C(x)$, each such triple is covered exactly once. Thus, with the A_{ij} as points, the A_i and B_i as lines and the $C(x)$ as circles, we have obtained a Minkowski plane $M(L)$ of even order q . By [3], $M(L)$ is isomorphic to the geometry of points, lines and plane sections of a quadric of index two in $PG(3, q)$. Since $GQ(L)$ is determined by $M(L)$ (the points of $GQ(L)$ correspond to the points and circles of $M(L)$, the lines of $GQ(L)$ correspond to the lines and pencils of $M(L)$, etc.) $GQ(L)$ is isomorphic to $Q(4, q)$ and so U is classical. \square

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ONTVANGEN 27 APR. 1961