# 41 is the Largest Size of a Cap in $P G(4,4)$ 

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Communicated by: J. D. Key
Received January 16, 1998; Revised May 4, 1998; Accepted July 16, 1998

Abstract. We settle the question of the maximal size of caps in $P G(4,4)$, with the help of a computer program.
Keywords: caps, codes, projective spaces, ovoids, projective groups

## 1. Introduction

A cap in $P G(k-1, q)$ is a set of points no three of which are collinear. If we write the $n$ points as columns of a matrix we obtain a $(k, n)$-matrix such that every set of three columns is linearly independent, hence the generator matrix of a linear orthogonal array of strength 3. This is a check matrix of a linear code with minimum distance $\geq 4$. We arrive at the following:

Theorem 1 The following are equivalent:

- A set of $n$ points in $P G(k-1, q)$, which form a cap.
- A q-ary linear orthogonal array of length $n$, dimension $k$ and strength 3 .
- A q-ary linear code $[n, n-k, 4]_{q}$.

Denote by $m_{2}(k, q)$ the maximum cardinality of a cap in $P G(k, q)$. Assume $q>2$. It is known that

$$
m_{2}(2, q)= \begin{cases}q+1 & \text { if } q \text { is odd } \\ q+2 & \text { if } q \text { is even }\end{cases}
$$

and $m_{2}(3, q)=q^{2}+1$. Only two values $m_{2}(k, q)$ are known when $q>2, k>3$. These are $m_{2}(4,3)=20$ (the Pellegrino caps [6]) and $m_{2}(5,3)=56$ (the Hill cap [5]). In this paper we are going to establish the following:

THEOREM $2 m_{2}(4,4)=41$.
The lower bound has been established by Tallini [7] in 1964. In the last section we will give two essentially different 41-caps in $P G(4,4)$. We have to prove that $P G(4,4)$ does not contain a 42-cap.

Assume there is a 42-cap $\mathcal{K} \subset P G(4,4)$. Denote by $a(i)$ the number of hyperplanes meeting $\mathcal{K}$ in precisely $i$ points. Construct a quaternary $(5,42)$-matrix $G$ with the points of the cap as columns. Put $\mathcal{K}=\left\{P_{1}, P_{2}, \ldots, P_{42}\right\}$, where $P_{j}$ corresponds to column $j$ of $G$. Matrix $G$ is a generator matrix of a quaternary linear code $\mathcal{C}$ of length 42 and dimension 5. Denote by $A_{i}$ the number of code-words of weight $i$. The rows of $G$ will be denoted by $v_{i}, i=1,2,3,4,5$. Let $0 \neq x=\left(x_{1}, x_{2}, \ldots, x_{42}\right) \in \mathcal{C}$. Then $x=\sum_{i=1}^{5} \lambda_{i} v_{i}$, where $\lambda_{i} \in \mathbf{F}_{4}$. Consider the hyperplane $H=\left(\lambda_{1}, \ldots, \lambda_{5}\right)^{\perp}$. We have $P_{j} \in H \Longleftrightarrow x_{j}=0$. This shows that there is a 1-1 correspondence between hyperplanes intersecting $\mathcal{K}$ in $i$ points and 1-dimensional subspaces of code $\mathcal{C}$, whose nonzero vectors have weight $42-i$. This proves the following well-known fact:

THEOREM 3 Let $\mathcal{K} \subset P G(4,4)$ be a 42 -cap and $\mathcal{C}$ a quaternary code generated by a matrix whose columns represent the points of $\mathcal{K}$. Denote by a $(i)$ the number of hyperplanes meeting $\mathcal{K}$ in precisely $i$ points, by $A_{i}$ the number of code-words of weight $i, i=1,2, \ldots, 42$. Then the following holds for all $i$ :

$$
A_{i}=3 \cdot a(42-i)
$$

It is known that the maximum possible minimum distance of a quaternary code of length 42 and dimension 5 is $d=29$, see Brouwer's data base [3]. Theorem 3 shows that some hyperplane $H$ must meet $\mathcal{K}$ in at least 13 points.

Lemma 1 Let $\mathcal{K} \subset P G(4,4)$ be a 42-cap. There is a hyperplane $H$ such that $|\mathcal{K} \cap H| \geq 13$.
Clearly $\mathcal{K} \cap H$ is a cap in $P G(3,4)$. Its cardinality is therefore bounded by 17 from above. Our proof will consist of two steps: We will classify all caps in $P G(3,4)$ with at least 13 points, up to operation of the group $P \Gamma L(4,4)$. The second and decisive step is to run a program, which in each of these cases completes an exhaustive search for 42-caps intersecting a fixed hyperplane in a given cap of cardinality $\geq 13$. The program is written in $\mathrm{C}++$. The central recursive procedure is printed and explained in Section 3. The program needs about 1 MB of memory. On a HP 712/60 workstation it runs from 17 hours when starting from the ovoid in $P G(3,4)$ up to 19 days starting from a 13-cap in $P G(3,4)$.

## 2. Caps in $P G(3,4)$

### 2.1. Caps in Ovoids

We are going to review some basic facts of geometric algebra. For an introduction see Artin [1]. It is well-known that the maximum size of a cap in $P G(3, q), q>2$ is $q^{2}+1$. Also, the only 17-cap in $P G(3,4)$ is the ovoid. Ovoids may be described as follows:

Let $Q$ be a non-degenerate quadratic form defined on the vector space $V=V(2 m, q)$. Denote by (, ) the symmetric bilinear form such that

$$
Q(x+y)=Q(x)+Q(y)+(x, y)
$$

for all $x, y \in \mathbf{F}_{q}$. Here we have specialized to the case of characteristic 2. Then $(V, Q)$ is of one of two possible types, which are distinguished by the Witt index $d$, defined as the
dimension of the largest totally isotropic subspace. $d=m$ is called the (+)type, $d=m-1$ the (-)type. The group of isomorphisms (the orthogonal group) is defined as the set of all elements in $G L(2 m, q)$, which respect this quadratic form. It is denoted by $\Omega_{2 m}^{+}(q)$ and $\Omega_{2 m}^{-}(q)$, respectively. Here we are interested in the (-)type in dimension 4. The points of $P G(3, q)$ are the 1-dimensional subspaces of $V$. The collection of isotropic points form a cap $\mathcal{Q} \subset P G(3, q)$. It is easy to see that $\mathcal{Q}$ has $q^{2}+1$ points (see [1]). The order of $\Omega_{4}^{-}(q)$ (in characteristic 2) is

$$
\left|\Omega_{4}^{-}(q)\right|=(q-1)\left(q^{2}+1\right) q^{2}(q+1) 2=2\left(q^{2}-1\right) q^{2}\left(q^{2}+1\right) .
$$

It is known that $\Omega_{4}^{-}(q)$ is isomorphic to a subgroup of $P \Gamma L\left(2, q^{2}\right)$, in its action on the points of the projective line $P G\left(1, q^{2}\right)$. Put $G_{0}=P G L(2,16)=S L(2,16)$. This is a simple group, which under this isomorphism maps to a subgroup of index 2 in $\Omega_{4}^{-}(4)$. As $P \Gamma L_{2}\left(q^{2}\right) / P G L_{2}\left(q^{2}\right)$ is cyclic it follows that the isomorphism carries $\Omega_{4}^{-}(4)$ to $G=$ $S L_{2}(16)\langle\phi\rangle$, where $\phi$ is induced by the field automorphism $x \mapsto x^{4}$. We study the operation of $G$ on subsets of cardinality at least 13 of $P G(1,16)$. As $G_{0}$ is 3-transitive there is one such orbit for each of the cardinalities $17,16,15,14$. The operation on the 13 -sets is similar to the operation on the complements, the 4 -sets. The orders of our groups are $g_{0}=\left|G_{0}\right|=17.16 .15$ and $g=|G|=2 \cdot g_{0}$. As $\binom{17}{4}$ does not divide $g$, there must be more than one orbit. For concrete calculations we use the representation of $\mathbf{F}_{16}$ as given in the last section. Consider the orbits of $G_{0}$ on 4 -subsets. Because of 3-transitivity each such orbit has a representative $\{\infty, 0,1, x\}$. The stabilizer of $\{\infty, 0,1\}$ in $G_{0}$ is a symmetric group generated by the elements $\tau \mapsto \tau+1$ and $\tau \mapsto 1 / \tau$. The orbits of this group on 14 elements of $\mathbf{F}_{16} \backslash \mathbf{F}_{2}$ are the following:

$$
\left\{\omega, \omega^{2}\right\},\left\{\epsilon, \epsilon^{3}, \epsilon^{4}, \epsilon^{11}, \epsilon^{12}, \epsilon^{14}\right\} \text { and }\left\{\epsilon^{2}, \epsilon^{6}, \epsilon^{7}, \epsilon^{8}, \epsilon^{9}, \epsilon^{13}\right\} .
$$

It follows that $G_{0}$ has at most 3 orbits of 4 -sets. The Frobenius automorphism $\phi$ fixes $\infty, 0$ and 1 . As it maps $\epsilon \mapsto \epsilon^{4}$ it follows that the orbits of $G$ on 4 -sets agree with the orbits of $G_{0}$. In order to be on the safe side let us calculate the number of orbits. Here is the character-table of $S L_{2}(16)$, followed by the permutation character $\pi_{4}$ on the unordered 4 -sets. The character-tables of the groups $P G L_{2}(q)$ have been given in [2].

| The character-table of $\boldsymbol{S L ( 2 , 1 6 )}$ |  |  |  |  |  |  |  |
| :--- | :---: | :---: | :--- | :---: | :--- | :---: | :---: |
|  | 1 | $z$ | $a^{r}$ | $a^{3}$ | $a^{6}$ | $a^{5}$ | $b^{s}$ |
| 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 |
| $S t$ | 16 | 0 | 1 | 1 | 1 | 1 | -1 |
| $\chi_{i}$ | 17 | 1 | $\alpha^{i r}+\alpha^{-i r}$ | $\alpha^{3 i}+\alpha^{-3 i}$ | $\alpha^{6 i}+\alpha^{-6 i}$ | $\alpha^{5 i}+\alpha^{-5 i}$ | 0 |
| $\Theta_{j}$ | 15 | -1 | 0 | 0 | 0 | 0 | $-\left(\beta^{j s}+\beta^{-j s}\right)$ |
| $\pi_{4}$ | $\binom{17}{4}$ | 28 | 0 | 0 | 0 | 10 | 0 |

Here $\alpha, \beta$ are primitive $15^{\text {th }}$ and $17^{\text {th }}$ roots of unity, respectively. We have $i=1, \ldots, 7$; $j=1, \ldots, 8, r \in\{1,2,4,7\} . a$ and $b$ are elements of orders 15 and 17 in $S L(2,16)$, respectively. Each nonidentity power of $a$ has $\langle a\rangle$ as centralizer, each nonidentity power of $b$ has $\langle b\rangle$ as centralizer. As we know the cycle type of each element of $S L(2,16)$ we can also determine the number of unordered 4 -sets it fixes. These are the values of $\pi_{4}$. For example, $a$ has type ( $15,1,1$ ). Clearly $\pi_{4}(a)=0$. As $a^{5}$ has type $(3,3,3,3,3,1,1)$ we see that this element fixes precisely 10 unordered 4 -sets, hence $\pi_{4}\left(a^{5}\right)=10$.

The number of orbits of $S L(2,16)\left(=G_{0}\right)$ an unordered 4 -sets is given by the scalar product $\left(\pi_{4}, 1\right)$, where 1 is the trivial character. We obtain

$$
\left(\pi_{4}, 1\right)=\frac{1}{17.16 .15}\left(\binom{17}{4}+28.17 .15+10.17 .16\right)=3
$$

We conclude that $G_{0}$ (and therefore also $G$ ) has three orbits of 4-sets. Denote these orbits by $\mathcal{O}_{1}, \mathcal{O}_{2}, \mathcal{O}_{3}$ where $\mathcal{O}_{1}$ is the shortest orbit. We have seen that every unordered triple is contained in exactly 2 members of $\mathcal{O}_{1}$, in 6 of $\mathcal{O}_{2}$ and in 6 of $\mathcal{O}_{3}$. By double counting we obtain $\left|\mathcal{O}_{1}\right|=\binom{17}{3} \cdot 2 / 4=17.16 .15 / 12=17.5 .4=340$, and $\left|\mathcal{O}_{2}\right|=\left|\mathcal{O}_{3}\right|=3\left|\mathcal{O}_{1}\right|$. It is reconforting to note that these numbers add up to $\binom{17}{4}$. The stabilizer of a representative of $\mathcal{O}_{1}$ therefore has order $g / 340=24$ and the stabilizers of representatives of the remaining orbits have orders $24 / 3=8$.

LEMMA 2 G has three orbits of unordered 4 -subsets in its action on the projective line. The corresponding stabilizers have orders 24, 8 and 8 , respectively. These orbits are also full orbits under $G_{0}$.

So far we considered the action of $P G L_{4}(q)$ on quadratic forms. The group $\Omega_{4}^{-}(q)$ was defined as the stabilizer of on ovoid under this group. It is clear that the larger group $P \Gamma L_{4}(q)$ permutes quadratic forms. Denote the stabilizer of an ovoid under this group by $O_{4}^{-}(q)$. Let $q=2^{f}$. Then $P \Gamma L_{4}(q)$ is an extension of $P G L_{4}(q)$ by the cyclic group of order $f$ generated by the Frobenius mapping $x \mapsto x^{2}$. As the image of an ovoid under the Frobenius is an ovoid again, it follows that $O_{4}^{-}(q)$ is an extension of $\Omega_{4}^{-}(q)$ by a cyclic group of order $f$. It is in fact known that

$$
O_{4}^{-}(q) \cong P \Gamma L_{2}\left(q^{2}\right)
$$

and the operation of $O_{4}^{-}(q)$ on the points of the ovoid is similar to the action of $P \Gamma L_{2}\left(q^{2}\right)$ on the points of the projective line. Extending our earlier discussion of $G$ on $P G(1,16)$ to the action of $P \Gamma L_{2}(16)$ we see that this group fuses the two long orbits of 4 -sets under $G$ into one orbit. This yields the following:

LEMMA $3 P \Gamma L_{2}(16)$ has two orbits of unordered 4-subsets in its action on the projective line. The corresponding stabilizers have orders 48 and 8, respectively.

Lemma 4 Two different ovoids in $P G(3,4)$ intersect in less than 13 points.
Proof. The quadratic form, which determines an ovoid, may be described by

$$
Q\left(x_{1}, x_{2}, x_{3}, x_{4}\right)=x_{1} x_{2}+x_{3}^{2}+x_{3} x_{4}+\omega x_{4}^{2} .
$$

We start by exhibiting a set $\mathcal{N}=\left\{P_{i}=\left\langle p_{i}\right\rangle \mid i=1,2, \ldots, 9\right\}$ of 9 points, which is contained in $V(Q)$ and in no other ovoid. We choose the $p_{i}^{\prime} \mathrm{s}$ as follows:

| $i$ | $p_{i}$ |
| :--- | :--- |
| 1 | $(1,1,1,0)$ |
| 2 | $\left(\omega, \omega^{2}, 1,0\right)$ |
| 3 | $\left(\omega^{2}, \omega, 1,0\right)$ |
| 4 | $(1, \omega, 0,1)$ |
| 5 | $(\omega, 1,0,1)$ |
| 6 | $\left(\omega^{2}, \omega^{2}, 0,1\right)$ |
| 7 | $(1, \omega, 1,1)$ |
| 8 | $(\omega, 1,1,1)$ |
| 9 | $\left(\omega^{2}, \omega^{2}, 1,1\right)$ |

Let $\rho \in \Omega_{4}^{-}$(4) be described by

$$
\rho(x)=\left(\omega x_{1}, \omega^{2} x_{2}, x_{3}, x_{4}\right)
$$

It is clear that $\rho$ has order 3 and $\left\{P_{1}, P_{2}, P_{3}\right\},\left\{P_{4}, P_{5}, P_{6}\right\},\left\{P_{7}, P_{8}, P_{9}\right\}$ are orbits of $\rho$. Assume $\mathcal{N} \subset V\left(Q^{\prime}\right)$, where $Q^{\prime}\left(x_{1}, x_{2}, x_{3}, x_{4}\right)=\sum_{i=1}^{4} \lambda_{i} x_{i}^{2}+\sum_{i<j} \mu_{i, j} x_{i} x_{j}$. Consider the three equations given by $Q^{\prime}\left(p_{1}\right)=Q^{\prime}\left(p_{2}\right)=Q^{\prime}\left(p_{3}\right)=0$. The sum of these equations yields $\mu_{1,2}=\lambda_{3}$. Other linear combinations yield $\mu_{1,3}=\lambda_{2}$ and $\mu_{2,3}=\lambda_{1}$. In the same way the equations $Q^{\prime}\left(p_{4}\right)=Q^{\prime}\left(p_{5}\right)=Q^{\prime}\left(p_{6}\right)=0$ yield $\mu_{1,2}=\omega^{2} \lambda_{4}, \mu_{1,4}=$ $\omega^{2} \lambda_{2}, \mu_{2,4}=\omega^{2} \lambda_{1}$. We can express all coefficients in terms of $\lambda_{1}, \lambda_{2}, \lambda_{3}$ and $\mu_{3,4}$. Finally, consider the equations $Q^{\prime}\left(p_{7}\right)=Q^{\prime}\left(p_{8}\right)=Q^{\prime}\left(p_{9}\right)=0$. The sum of these equations yields $\mu_{3,4}=\lambda_{3}$. Remain two independent vanishing linear combinations of $\lambda_{1}$ and $\lambda_{2}$. This shows $\lambda_{1}=\lambda_{2}=0$. If $\lambda_{3}=0$, we obtain the contradiction $Q^{\prime}=0$. We can therefore normalize $\lambda_{3}=1$ and obtain $Q^{\prime}=Q$.

We have shown that the only quadric containing $\mathcal{N}$ is $V(Q)$.
In order to complete the proof of the Lemma it suffices to show that each of the two orbits of 13 -subsets of our ovoid under the action of the full orthogonal group contains a superset of $\mathcal{N}$. The union of $\mathcal{N}$ with a full orbit of $\rho$ and the fixed point $(1: 0: 0: 0)$ is a 13-cap, which is invariant under $\rho$. This is therefore a member of the short orbit of 13-caps under the action of the orthogonal group. Remains to show that not all 13-caps containing $\mathcal{N}$ belong to the short orbit. We can work in the group $P G L_{2}(16)$ in its action on the projective line. Elements of order 3 have precisely 2 fixed points. We can therefore change notation such that

$$
\rho=(1,2,3)(4,5,6)(7,8,9)(10,11,12)(13,14,15)(X)(Y)
$$

Here we have abbreviated $P_{i}$ by $i$, hence $\mathcal{N}=\{1,2, \ldots, 9\}$. Let $M=\mathcal{N} \cup\{10,11, X, Y\}$. We claim that there is no element $\rho^{\prime} \in P G L(2,16)$ of order 3 stabilizing $M$. This will prove then that the corresponding 13-cap belongs to the long orbit under the full orthogonal group.

Assume $\rho^{\prime}$ is such element. $\rho^{\prime}$ operates on the complement $\{12,13,14,15\}$ of $M$. It must have precisely one fixed point there. If this fixed point is 12 , then $\rho^{\prime}$ agrees either with $\rho$ or
with $\rho^{-1}$ in its action on $\{13,14,15\}$. Because of the sharp triple transitivity of $P G L_{2}(q)$ we conclude that $\rho^{\prime}=\rho$ or $\rho^{\prime}=\rho^{-1}$. This is a contradiction.

It follows that we can assume without restriction that 13 is a fixed point of $\rho^{\prime}$. It follows that either $(12,14,15)$ or $(12,15,14)$ is a cycle of $\rho^{\prime}$. In the former case, $(13,15)$ is a cycle of $\rho \rho^{\prime}$. It follows from the structure of $P G L$, that $\rho \rho^{\prime}$ has order 2. As it maps $14 \mapsto 12$ we must have that $\rho^{\prime}: 10 \mapsto 14$, contradiction. In the latter case $\rho \rho^{\prime-1}$ contains the cycle $(13,15)$ and maps : $14 \mapsto 12$. It must therefore map $12 \mapsto 14$. This forces $\rho^{\prime}: 14 \mapsto 10$, another contradiction.

It follows from Lemma 4 that each cap of size $\geq 13$ in $P G(3,4)$ is contained in at most one ovoid. This has the consequence that the automorphism group of such a cap, which is contained in an ovoid, equals the stabilizer of the cap under the action of the automorphism group of the ovoid. We arrive at the following:

THEOREM 4 We consider orbits of caps of size $\geq 13$ contained in some ovoid in $P G(3,4)$ under the action of $P \Gamma L_{4}(4)$.
The following hold:

- There is one such orbit for each of the cardinalities $17,16,15,14$. The automorphism groups have orders 17.16.15.4, 16.15.4, 120 and 24, respectively.
- There are two such orbits for cardinality 13. The automorphism groups have orders 48 and 8 , respectively.

The following is an ovoid:

| The ovoid in $P G(3,4)$ |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| 1 | 0 | 0 | 0 | 1 | $\omega^{2}$ | 1 | $\omega^{2}$ | $\omega$ | 1 | $\omega^{2}$ | $\omega$ | $\omega^{2}$ | 0 | 1 | 0 | $\omega$ |
| 0 | 1 | 0 | 0 | 1 | $\omega$ | 1 | $\omega$ | 1 | $\omega$ | $\omega^{2}$ | 0 | 1 | $\omega^{2}$ | 0 | $\omega$ | $\omega^{2}$ |
| 0 | 0 | 1 | 0 | 1 | 1 | 0 | 0 | 1 | 1 | 1 | $\omega$ | $\omega$ | $\omega$ | $\omega^{2}$ | $\omega^{2}$ | $\omega^{2}$ |
| 0 | 0 | 0 | 1 | 0 | 0 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 |

The first 13 columns yields a cap with 8 automorphisms. A cap with automorphism group of order 48 is obtained by restricting to columns $1,2 \ldots, 12$ and 15 .

### 2.2. Caps not Contained in Ovoids

Let us call a cap in $P G(3,4)$ non-embeddable if it is not contained in an ovoid. The maximal cardinality of a non-embeddable cap is 14 . According to [4] there is exactly one $P \Gamma L(4,4)$-orbit of non-embeddable 14-caps. Here is a representative:

| The complete 14-cap $\mathcal{K}_{14}$ in $\operatorname{PG}(3,4)$ |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| 1 | 0 | 0 | 0 |  | 1 | $\omega^{2}$ |  | $\omega$ | 1 |  | $\omega^{2}$ | $\omega$ |  | 1 | 0 | $\omega$ | $\omega^{2}$ |
| 0 | 1 | 0 | 0 |  | 1 | $\omega$ |  | $\omega^{2}$ | 1 |  | $\omega$ | $\omega^{2}$ |  | 0 | 1 | $\omega$ | $\omega^{2}$ |
| 0 | 0 | 1 | 0 |  | 1 | 1 |  | 1 | 0 |  | 0 | 0 |  | 1 | 1 | 1 | 1 |
| 0 | 0 | 0 | 1 |  | 0 | 0 |  | ) | 1 |  | 1 | 1 |  | 1 | 1 | 1 | 1 |

Let $G$ be the stabilizer of $\mathcal{K}_{14}$ in $P \Gamma L(4,4), G_{0}=G \cap P G L(4,4)$. Then $G_{0}$ is a semidirect product of an elementary abelian group $E_{0}$ by $G L(3,2)$. We have $E_{0}=\left\langle\alpha_{1}, \alpha_{2}, \alpha_{3}\right\rangle$, where

$$
\alpha_{1}=\left(\begin{array}{llll}
0 & 1 & 0 & 0 \\
1 & 0 & 0 & 0 \\
0 & 0 & 1 & 0 \\
0 & 0 & 0 & 1
\end{array}\right) \alpha_{2}=\left(\begin{array}{llll}
1 & 0 & 0 & 1 \\
0 & 1 & 0 & 1 \\
0 & 0 & 1 & 0 \\
0 & 0 & 0 & 1
\end{array}\right) \alpha_{3}=\left(\begin{array}{llll}
0 & 1 & 1 & 1 \\
1 & 0 & 1 & 1 \\
0 & 0 & 1 & 0 \\
0 & 0 & 0 & 1
\end{array}\right)
$$

Points of $P G(3,4)$ are written as column vectors. $G_{0}$ is generated by $E_{0}, \tau$ and $\sigma$, where

$$
\tau=\left(\begin{array}{llll}
1 & 0 & 1 & \omega \\
0 & 1 & 1 & \omega^{2} \\
0 & 0 & 0 & 1 \\
0 & 0 & 1 & 0
\end{array}\right) \sigma=\left(\begin{array}{llll}
0 & 1 & 0 & \omega \\
0 & 1 & 1 & \omega \\
0 & 0 & 0 & 1 \\
1 & 1 & 0 & 1
\end{array}\right)
$$

Here $\tau$ has order $4, \sigma$ has order 7 . The stabilizer of $\mathcal{K}_{14}$ in $P \Gamma L(4,4)$ is the direct product of $G_{0}$ and its center $\left\langle\alpha_{3} \phi\right\rangle$ of order 2. $\phi$ denotes the Frobenius automorphism. In particular the automorphism group $G$ is transitive on the points of $\mathcal{K}_{14}$.

It follows from [4] that there is precisely one orbit of complete 13-caps. A non-complete non-embeddable 13 -cap must be embeddable in $\mathcal{K}_{14}$. As the automorphism group of $\mathcal{K}_{14}$ is transitive on its points we see that there is at most one orbit of non-embeddable non-complete 13 -caps. It is easy to check that the 13-caps contained in $\mathcal{K}_{14}$ are indeed non-embeddable. We conclude that there are precisely two orbits of non-embeddable 13-caps. Here is a complete 13-cap:

| The complete $\mathbf{1 3}$-cap $\mathcal{K}_{\mathbf{1 3}}$ in PG(3, 4) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- | :---: | :---: | :---: |
| 1 | 0 | 0 | 0 | 1 | $\omega^{2}$ | $\omega$ | 1 | $\omega^{2}$ | $\omega$ | 1 | $\omega$ | 0 |  |  |  |
| 0 | 1 | 0 | 0 | 1 | $\omega$ | $\omega^{2}$ | 1 | $\omega$ | $\omega^{2}$ | 0 | 1 | $\omega^{2}$ |  |  |  |
| 0 | 0 | 1 | 0 | 1 | 1 | 1 | 0 | 0 | 0 | 1 | 1 | 1 |  |  |  |
| 0 | 0 | 0 | 1 | 0 | 0 | 0 | 1 | 1 | 1 | 1 | 1 | 1 |  |  |  |

## 3. The Main Recursive Procedure

### 3.1. The Recursive Procedure

We print here the heart of the $\mathrm{C}++$ program, the recursive procedure. In the following subsection we will provide an explanation.

```
void rt(const int ti){
    int i,j,ii,z ;
    b1 a;
    if(ti>maxx) {
        maxx=ti;
        if (ti>0)
            pri(maxx);
    }
    for(i=0;i<an[ti];i++){
        z=-1;
        for(j=i+1;j<an[ti];j++){
                a=tv[ti][j].b;
                if (!(bb[ti][i][a.i]&a.x)) {
                z++;
                id[ti][z]=j;
                }
            }
            if (z+ti>=agk-2-lae) {
                an[ti+1]=z+1;
                erg[ti]=tv[ti][i].n;
                for (j=0; j<=z;j++) {
                    tv[ti+1][j]=tv[ti][id[ti][j]];
                    for (ii=0;ii<abl;ii++)
                                    bb[ti+1][j][ii]=bb[ti][i][ii]|bb[ti][id[ti][j]][ii];
                                    for (ii=0;ii<tai[tv[ti][i].n][tv[ti+1][j].n];ii++){
                                    a=tab[tv[ti][i].n][tv[ti+1][j].n][ii];
                                    bb[ti+1][j][a.i]|=a.x;
                }
                }
                rt(ti+1);
            }
    }
};
```


### 3.2. Description of the Recursive Procedure

We use homogeneous coordinates. A point in $P G(4,4)$ is therefore represented as $\left(x_{0}\right.$ : $\left.x_{1}: x_{2}: x_{3}: x_{4}\right)$. Consider the hyperplane $H=\left(x_{4}=0\right)$. A cap $\mathcal{C} \subset H$ is given. Put $m=|\mathcal{C}|$. We wish to determine the 42 -caps $\mathcal{K} \subset P G(4,4)$ satisfying $\mathcal{K} \cap H=\mathcal{C}$. As the pointwise stabilizer of $H$ in $P G L_{4}(4)$ is transitive on the affine space $P G(4,4) \backslash H$, we can assume that point $F=(0: 0: 0: 0: 1) \in \mathcal{K}$. The program performs an exhaustive search for such caps, which contain $F$ and intersect $H$ precisely in $\mathcal{C}$.
The parameter $t i$ describes the depth of the program. When the recursive procedure is called for the first time we have $t i=0$. Whenever the recursion procedure is called with the new value of $t i$, we are given a cap $\mathcal{P}_{t i-1} \supset \mathcal{C} \cup\{F\}$ of size $m+1+t i$. Put $P_{-1}=\mathcal{C} \cup\{F\}$. For any cap $\mathcal{U} \subset P G(4,4)$ denote by $G(\mathcal{U})$ (the good points) the set of affine points $p \notin \mathcal{U}$, which complement $\mathcal{U}$ to a cap. The cardinality of $G\left(\mathcal{P}_{t i-1}\right)$ is stored in an $[t i]$, the points of $G\left(\mathcal{P}_{t i-1}\right)$ are stored in $t v[t i][i]$, where $i=0 \ldots$, an $[t i]-1$.
Table $b b[t i][p]$ contains the set $G\left(\mathcal{P}_{t i-1} \cup\{p\}\right)$ for all $p \in G\left(\mathcal{P}_{t i-1}\right)$. Another table
$\operatorname{tab}[p][q]$ stores the points on the line through points $p$ and $q$. Naturally this table will contain only the information that is really needed in the program. With these preparations we are ready to describe the recursive procedure:

- If the depth reached is bigger than the current maximum, then the maximum is updated and some output is produced.
- The program runs then through all $p \in G\left(\mathcal{P}_{t i-1}\right)$. Assume in the sequel $p$ is given.
- The point $p$ is used to extend the cap provided

$$
\left|G\left(\mathcal{P}_{t i-1} \cup\{p\}\right)\right|+\left|\mathcal{P}_{t i-1}\right| \geq 41
$$

Assume point $p$ satisfies the last condition. Put

$$
\mathcal{P}_{t i}=\mathcal{P}_{t i-1} \cup\{p\} .
$$

The following steps are then performed by the program:

- Some parameters are updated.
- For all $q \in G\left(\mathcal{P}_{t i}\right)$ the sets $G\left(\mathcal{P}_{t i} \cup\{q\}\right)$ are determined and stored in $b b[t i+1][q]$. This is done using

$$
G\left(\mathcal{P}_{t i} \cup\{q\}\right)=\left(G\left(\mathcal{P}_{t i-1} \cup\{p\}\right) \cap G\left(\mathcal{P}_{t i-1} \cup\{q\}\right)\right) \backslash t a b[p][q] .
$$

- Finally the recursive procedure is called again at depth $t i+1$.


## 4. Appendix

### 4.1. $\quad$ The Field $\mathbf{F}_{16}$

We describe $\mathbf{F}_{16}$ as an extension $\mathbf{F}_{4}(\epsilon)$ of $\mathbf{F}_{4}=\left\{0,1, \omega, \omega^{2}\right\}$. Our irreducible polynomial is $f(X)=X^{2}+X+\omega$. This leads to the relation $\epsilon^{2}+\epsilon+\omega=0$. In order to see that $f(X)$ has maximal exponent write the elements of $\mathbf{F}_{16}$ as $\alpha \epsilon+\beta$, where $\alpha, \beta \in \mathbf{F}_{4}$. It follows $\epsilon^{3}=(\epsilon+\omega) \epsilon=\epsilon^{2}+\epsilon \omega=\epsilon+\omega+\epsilon \omega=\epsilon \omega^{2}+\omega$. Proceeding in the same way we get $\epsilon^{4}=\epsilon+1, \epsilon^{5}=\epsilon^{2}+\epsilon=\omega$. As $\omega$ has order 3 , it is clear that $\epsilon$ has order 15 , thus $f(X)$ has maximal exponent. The remaining powers of $\epsilon$ are obtained by observing $\epsilon^{5+i}=\omega \epsilon^{i}, \epsilon^{10+i}=\omega^{2} \epsilon^{i}$. The additive structure is already determined:

$$
\begin{array}{ccc}
\hline 1+\epsilon+\epsilon^{4}=0 & 1+\epsilon^{2}+\epsilon^{8}=0 & 1+\epsilon^{3}+\epsilon^{14}=0 \\
1+\epsilon^{6}+\epsilon^{13}=0 & 1+\epsilon^{7}+\epsilon^{9}=0 & 1+\epsilon^{11}+\epsilon^{12}=0
\end{array}
$$

### 4.2. 41-caps in $P G(4,4)$

The columns of the following matrix $M_{1}$ form a 41-cap.

$$
\begin{aligned}
& \hline 10000213010223333122103103230321021023032 \\
& 01000132101013221322010121332022301101303 \\
& 00100303223220123321330101023302112102012 \\
& 00010032111103331223101030223133210010212 \\
& 00001130331132032231021013303320332120102
\end{aligned}
$$

Clearly we have written $\mathbf{F}_{4}=\{0,1,2,3\}$, where $2+3=2 \cdot 3=1$. Matrix $M_{1}$ is the generator matrix of a quaternary code $[41,5,28]_{4}$. The weight distribution of this code is

$$
A_{28}=120, A_{29}=360, A_{31}=288, A_{32}=135, A_{37}=120
$$

The columns of the following matrix $M_{2}$ form another 41-cap in $P G(4,4)$.

> | 10000112213322333222333020022100311310012 |
| :--- |
| 01000100200210110110130300230321231311222 |
| 00100012002001101101103302003312213311222 |
| 0001011001110001111111111111111111101011 |
| 00001001111122222211133333300022222200113 |

The weight distribution of the code generated by $M_{2}$ is

$$
\begin{aligned}
& A_{24}=9, A_{26}=12, A_{28}=105, A_{30}=660 \\
& A_{32}=90, A_{34}=36, A_{36}=51, A_{38}=60
\end{aligned}
$$

These caps are nonequivalent as their weight distributions are different.

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