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ON GRAPHS WITH AN EIGENVALUE OF MAXIMAL MULTIPLICITY

Peter Rowlinson¹
Mathematics and Statistics Group
Institute of Computing Science and Mathematics
University of Stirling
Scotland FK9 4LA

Abstract

Let G be a graph of order n with an eigenvalue $\mu \neq -1,0$ of multiplicity k < n-2. It is known that $k \leq n+\frac{1}{2}-\sqrt{2n+\frac{1}{4}}$, equivalently $k \leq \frac{1}{2}t(t-1)$, where t=n-k>2. The only known examples with $k=\frac{1}{2}t(t-1)$ are $3K_2$ (with n=6, $\mu=1$, k=3) and the maximal exceptional graph G_{36} (with n=36, $\mu=-2$, k=28). We show that no other example can be constructed from a strongly regular graph in the same way as G_{36} is constructed from the line graph $L(K_9)$.

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¹Tel.:+44 1786 467468; fax +44 1786 464551; email: p.rowlinson@stirling.ac.uk

1 Introduction

Let G be a graph of order n with an eigenvalue $\mu \neq -1,0$ of multiplicity k < n-2. It was shown in [1] that $k \leq n+\frac{1}{2}-\sqrt{2n+\frac{1}{4}}$, equivalently $k \leq \frac{1}{2}t(t-1)$, where t=n-k>2. The only known examples with $k=\frac{1}{2}t(t-1)>1$ are $3K_2$, with spectrum $-1^{(3)},1^{(3)}$, and the unique maximal exceptional graph of order 36, with spectrum $21,5^{(7)},-2^{(28)}$. The latter graph is described in [3, Chapter 6] and [4, Example 5.2.6(a)]; it is denoted here by G_{36} . After a decade, it remains a problem to determine all the graphs with $k=\frac{1}{2}t(t-1)$. The restricted question, of similar standing, is whether further examples can be constructed from a strongly regular graph in the same way that G_{36} is constructed from the line graph $L(K_9)$. Here we answer this question in the negative.

To describe the construction we recall some notation and terminology from [4]. For a subset X of the vertex set V(G), we write \overline{X} for $V(G) \setminus X$, G - X for the subgraph of G induced by \overline{X} , and G_X for the graph obtained from G by switching with respect to X. We say that X is a *star set* for μ if |X| = k and μ is not an eigenvalue of G - X. Our main result is the following.

Theorem 1.1. Let G be a graph of order $\frac{1}{2}t(t+1)$ (t > 2) with an eigenvalue $\mu \notin \{-1,0\}$ of multiplicity $\frac{1}{2}t(t-1)$. Suppose that G has a star set X for μ such that (i) $X \dot{\cup} \overline{X}$ is an equitable partition of G, (ii) G_X is a strongly regular graph. Then t = 8, $\mu = -2$ and $G = G_{36}$.

Note that, in the situation of Theorem 1.1, $X \cup \overline{X}$ is also an equitable partition of G_X . To construct G_{36} , we take $G_X = L(K_9)$ and choose X so that X induces $L(K_8)$ and \overline{X} induces K_8 .

2 Prerequisites

If X is a star set for μ in G, then G-X is said to be a star complement for μ in G. Star sets and star complements exist for any eigenvalue of any graph, and their basic properties are described in [4, Chapter 5]. In particular, we shall require the following result.

Theorem 1.1 [4, Theorem 5.1.7] Let X be a set of k vertices in the graph G and suppose that G has adjacency matrix $A = \begin{pmatrix} A_X & B^T \\ B & C \end{pmatrix}$, where A_X is the adjacency matrix of the subgraph induced by X. Then X is a star set for μ in G if and only if μ is not an eigenvalue of C and

$$\mu I - A_X = B^T (\mu I - C)^{-1} B.$$
 (1)

Suppose that X is a star set, and let H = G - X. In Theorem 1.1, k is the multiplicity of μ , and C is the adjacency matrix of H. Also, the columns of B are the characteristic vectors of the H-neighbourhoods

$$\Delta_H(u) = \{ v \in V(H) : u \sim v \} \ (u \in X),$$

where we write ' $u \sim v$ ' to mean that vertices u, v are adjacent in G. Equation (1) shows that any graph is determined by an eigenvalue μ , a star complement H = G - X and the H-neighbourhoods of vertices in X. When G - X is complete, we obtain the following by equating diagonal entries in Equation (1).

Lemma 2.2. Suppose that X is a star set for μ in the graph G. Let H = G - X, $u \in X$. If $H = K_t$ (t > 2) and $|\Delta_H(u)| = a$ then

$$a^{2} - (t - \mu - 1)a + \mu(\mu + 1)(t - \mu - 1) = 0.$$

In the general case, we let |V(H)| = t > 2 and define a bilinear form on \mathbb{R}^t by

$$\langle \langle \mathbf{x}, \mathbf{y} \rangle \rangle = \mathbf{x}^{\top} (\mu I - C)^{-1} \mathbf{y} \ (\mathbf{x}, \mathbf{y} \in \mathbb{R}^t).$$

We let $V(G) = \{1, 2, ..., n\}$ and write $S = (B|C-\mu I)$, with columns \mathbf{s}_u (u = 1, ..., n). Let \mathcal{Q}_t denote the space of homogeneous quadratic functions on \mathbb{R}^t . We define $F_1, ..., F_n \in \mathcal{Q}_t$ by

$$F_u(\mathbf{x}) = \langle \langle \mathbf{s}_u, \mathbf{x} \rangle \rangle^2 \quad (\mathbf{x} \in \mathbb{R}^t).$$

Lemma 2.3. [1, Lemma 2.2] If t > 2 and $\mu \neq -1$ or 0, the functions F_1, \ldots, F_n are linearly independent.

Since $\dim \mathcal{Q}_t = {t \choose 2} + t$, we deduce that $n \leq {t \choose 2} + t$, equivalently $k \leq {t \choose 2}$. The following result enables us to dispose of the regular graphs for which this bound is attained.

Theorem 2.4. [1, Theorem 3.1] Let G be an r-regular graph G of order n with μ as an eigenvalue of multiplicity k. If $\mu \notin \{-1, 0, r\}$ and t = n - k > 2 then $k \leq {t \choose 2} - 1$.

Corollary 2.5. If G is a regular graph of order $\frac{1}{2}t(t+1)$ (t>2) with an eigenvalue $\mu \notin \{-1,0\}$ of multiplicity $\frac{1}{2}t(t-1)$ then t=3, $\mu=1$ and $G=3K_2$.

Proof. If G is r-regular then $\mu = r$ by Theorem 2.4, and so G has $\frac{1}{2}t(t-1)$ components, each with μ as a simple eigenvalue (cf. [4, Corollary 1.3.8]). It follows that $t \geq \frac{1}{2}t(t-1)$, and hence that t=3, $G=3K_2$, $\mu=1$.

Next, using Equation (1), we see that

$$\mu I - A = S^{\top} (\mu I - C)^{-1} S$$

and so, for all vertices u, v of G,

$$\langle \langle \mathbf{s}_u, \mathbf{s}_v \rangle \rangle = \begin{cases} \mu & \text{if } u = v \\ -1 & \text{if } u \sim v \\ 0 & \text{otherwise} \end{cases}$$
 (2)

It follows that if $\mu \notin \{-1, 0\}$ then the *H*-neighbourhoods $\Delta_H(u)$ ($u \in X$) are distinct and non-empty. When $k = {t \choose 2}$, our objective will be to show that, under suitable conditions, the *H*-neighbourhoods form a tight 4-design, that is, a design which satisfies the following conditions with s = 2.

Theorem 2.6. [2, Theorem 1.52] Let \mathcal{B} be a collection of a-subsets of the t-set V, where $2s \leq a \leq t-s$. Then any two of the following conditions imply the third.

- (a) (V, \mathcal{B}) is a 2s-design;
- (b) there are precisely s values for the numbers $|B \cap B'|$, where B, B' are distinct sets in \mathcal{B} ;
- $(c) |\mathcal{B}| = {t \choose s}.$

Finally we can exploit the fact that tight 4-designs are extremely rare:

Theorem 2.7. [2, Theorem 1.54] Let \mathcal{D} be a tight 4-(t, a, l) design with $4 \leq a < t - 2$. Then either \mathcal{D} or its complement $\overline{\mathcal{D}}$ is the unique 4-(23, 7, 1) design.

3 Proof of the main result

We retain the notation of the previous sections. Additionally we suppose that $k=\frac{1}{2}t(t-1)$ (t>2), and that the star set X for $\mu\neq -1,0$ is such that (i) $X\stackrel{.}{\cup} \overline{X}$ is an equitable partition of G, (ii) G_X is strongly regular with parameters (n,r,e,f) (0< r< n-1). We show first that $t\neq 3$ by inspecting the strongly regular graphs of order 6. If $G_X=2K_3$ or $\overline{2K_3}$ then there is no suitable bipartition $X\stackrel{.}{\cup} \overline{X}$. If $G_X=3K_2$ then $G-X=3K_1$ and $G=C_6$, while if $G=\overline{3K_2}$ then $G-X=K_3$ and $G=\overline{C_6}$. In both cases G has no eigenvalue of multiplicity 3. Hence t>3 and $k>\frac{1}{2}n$. It follows that μ is an integer, for otherwise μ has an algebraic conjugate which is a second eigenvalue of multiplicity k.

The partition $X \cup \overline{X}$ determines divisors of G and G_X , and we denote the corresponding divisor matrices by

$$D = \begin{pmatrix} p & a \\ b & q \end{pmatrix}, \quad D^* = \begin{pmatrix} p & t-a \\ k-b & q \end{pmatrix},$$

respectively. Note that $|\Delta_H(u)| = a$ for all $u \in X$, and that 1 < a < t - 1. In what follows, we write **j** for an all-1 vector (with length determined by context), and A^* for the adjacency matrix of G_X . Additionally, \mathcal{E} denotes an eigenspace of G and \mathcal{E}^* denotes an eigenspace of G_X .

Lemma 3.1. There exist integers λ, ρ such that G_X has spectrum $r, \lambda^{(t)}, \mu^{(k-1)}$ and G has spectrum $\rho, \lambda^{(t-1)}, \mu^{(k)}$.

Proof. Let \mathcal{V} be the subspace of \mathbb{R}^n spanned by the characteristic vectors of X and \overline{X} , and let $\mathcal{W} = \mathcal{V}^{\perp}$. Note that for any eigenvalue ν , $\begin{pmatrix} \mathbf{x} \\ \mathbf{y} \end{pmatrix} \in \mathcal{W} \cap \mathcal{E}(\nu)$ if and only if $\begin{pmatrix} \mathbf{x} \\ -\mathbf{y} \end{pmatrix} \in \mathcal{W} \cap \mathcal{E}^*(\nu)$. The graph G has linearly independent eigenvectors $\mathbf{x}_1, \mathbf{x}_2 \in \mathcal{V}$ with corresponding eigenvalues those of D, while G_X has linearly independent eigenvectors $\mathbf{x}_1^*, \mathbf{x}_2^* \in \mathcal{V}$ with corresponding eigenvalues those of D^* . Moreover, if ρ is the largest eigenvalue of G then we may take $A\mathbf{x}_1 = \rho\mathbf{x}_1$, $A^*\mathbf{x}_1^* = r\mathbf{x}_1^*, \mathbf{x}_1^* = \mathbf{j}$ (cf. [4, Theorem 3.9.9]). Since $\mathcal{E}(\mu)$ and \mathcal{W} are subspaces of \mathbf{x}_1^{\perp} , we have $\dim(\mathcal{E}(\mu) \cap \mathcal{W}) \geq k - 1$. On the other hand, $\dim \mathcal{E}^*(\mu) \leq k - 1$ by Lemma 2.3, and so we deduce that $\mathcal{E}^*(\mu) \subseteq \mathcal{W}$, $\dim(\mathcal{E}(\mu) \cap \mathcal{W}) = k - 1$, and $A\mathbf{x}_2 = \mu\mathbf{x}_2$. Let $A^*\mathbf{x}_2^* = \lambda\mathbf{x}_2^*$. Then $\mu \neq \lambda = p + q - r \in \mathbb{Z}$ and G_X has spectrum $r, \lambda^{(t)}, \mu^{(k-1)}$ (cf. [4, Section 3.6]). Note that $\lambda \neq r$ for otherwise $G_X = (t+1)K_{r+1}$ and $\mu = -1$, contrary to assumption. We deduce that G has spectrum $\rho, \lambda^{(t-1)}, \mu^{(k)}$. Finally, $\rho \in \mathbb{Z}$ because $\rho = p + q - \mu$.

When $G = G_{36}$ and $G_X = L(K_9)$, we have $\mu = -2$, t = 8, k = 28, r = 14, $\rho = 21$, $\lambda = 5$, p = 12, q = 7, a = 6, b = 21.

Lemma 3.2. The matrix $\mu^2 I + A$ is invertible.

Proof. Since $\mu^2 \notin \{-\rho, -\mu\}$, it suffices to show that $\mu^2 \neq -\lambda$. Now the multiplicities of λ and μ in the strongly regular graph G_X are given by

$$m(\lambda) = \frac{r(r-\mu)(\mu+1)}{(r+\lambda\mu)(\mu-\lambda)}, \quad m(\mu) = \frac{r(r-\lambda)(\lambda+1)}{(r+\lambda\mu)(\lambda-\mu)},$$

formulae which follow from [4, Theorems 3.6.4 and 3.6.5]. Suppose by way of contradiction that $\lambda = -\mu^2$. Then $\mu > 0$. Since $m(\lambda) = t$ and $m(\mu) = k - 1 = \frac{1}{2}(t+1)(t-2)$, we have:

$$\frac{(t+1)(t-2)}{2t} = \frac{m(\mu)}{m(-\mu^2)} = \frac{(r+\mu^2)(\mu-1)}{r-\mu}.$$
 (3)

Let $\theta = (r - \mu)/t$. Then

$$0 = \operatorname{tr}(A^*) = \mu + \theta t + t(-\mu^2) + \frac{1}{2}(t+1)(t-2)\mu,$$

whence $\theta = \mu^2 - \frac{1}{2}(t-1)\mu$. Substituting $\mu + \mu^2 t - \frac{1}{2}\mu t(t-1)$ for r in Equation (3), and dividing by $\mu t(t+1)$, we obtain:

$$(t - 2\mu)(t - 2\mu - 1) = 2(1 - \mu). \tag{4}$$

Since $\mu \in I\!\!N$, the left hand side of (4) is non-negative, while the right hand side is non-positive. We conclude that $\mu = 1$ and $t \in \{2,3\}$, a contradiction.

We are now in a position to prove the following.

Lemma 3.3. If $4 \le a \le t-2$, the *H*-neighbourhoods $\Delta_H(u)$ $(u \in X)$ form a tight 4-design.

Proof. By Lemma 2.3, the functions $\langle \langle \mathbf{s}_u, \mathbf{x} \rangle \rangle^2$ $(u \in X)$ form a basis for Q_t . Let

$$\langle \langle \mathbf{x}, \mathbf{x} \rangle \rangle = \sum_{u=1}^{n} \gamma_u \langle \langle \mathbf{s}_u, \mathbf{x} \rangle \rangle^2,$$
 (5)

and write $\mathbf{c} = (\gamma_1, \gamma_2, \dots, \gamma_n)^{\top}$. From Equation (2) we have

$$\mu = \langle \langle \mathbf{s}_i, \mathbf{s}_i \rangle \rangle = \mu^2 \gamma_i + \sum_{u \sim i} \gamma_u \qquad (i = 1, 2, \dots, n),$$

whence $(\mu^2 I + A)\mathbf{c} = \mu \mathbf{j}$. In view of Lemma 3.2, we have $\mathbf{c} = (\mu^2 I + A)^{-1} \mu \mathbf{j}$. In the notation of Lemma 3.1, we have $\mathbf{j} \in \mathcal{V}$, while \mathcal{V} is A-invariant since the eigenvectors $\mathbf{x}_1^*, \mathbf{x}_2^*$ form a basis for \mathcal{V} . It follows that there exist $\xi, \eta \in \mathbb{R}$ such that $\mathbf{c} = \begin{pmatrix} \xi \mathbf{j} \\ \eta \mathbf{j} \end{pmatrix}$.

We extend notation in a natural way, so that for example $\Delta_H^*(u)$ denotes the set of vertices in \overline{X} adjacent to u in G_X . For $i, j \in X$, let $r_{ij} = |\Delta_X(i) \cap \Delta_X(j)|$, $s_{ij} = |\Delta_H(i) \cap \Delta_H(j)|$ and $t_{ij} = |\Delta_H^*(i) \cap \Delta_H^*(j)|$. Note that $r_{ij} = |\Delta_X^*(i) \cap \Delta_X^*(j)|$ and $t_{ij} = t - 2a + s_{ij}$. Since $r_{ij} + t_{ij}$ is the number of common neighbours of i and j in G_X , we have

$$r_{ij} + s_{ij} = \begin{cases} 2a - t + e & \text{if } i \sim j \\ 2a - t + f & \text{if } i \not\sim j \end{cases}$$
 (6)

Since $\langle \langle \mathbf{x}, \mathbf{y} \rangle \rangle = \frac{1}{4} (\langle \langle \mathbf{x} + \mathbf{y}, \mathbf{x} + \mathbf{y} \rangle \rangle - \langle \langle \mathbf{x} - \mathbf{y}, \mathbf{x} - \mathbf{y} \rangle \rangle)$, Equation (5) yields

$$\langle \langle \mathbf{x}, \mathbf{y} \rangle \rangle = \sum_{u=1}^{n} \gamma_u \langle \langle \mathbf{s}_u, \mathbf{x} \rangle \rangle \langle \langle \mathbf{s}_u, \mathbf{y} \rangle \rangle.$$

Setting $\mathbf{x} = \mathbf{s}_i$, $\mathbf{y} = \mathbf{s}_i$ we obtain:

$$-1 = \xi(r_{ij} - 2\mu) + \eta s_{ij} \text{ if } i \sim j, \qquad 0 = \xi r_{ij} + \eta s_{ij} \text{ if } i \nsim j.$$
 (7)

Thus from (6) and (7) we obtain two sets of simultaneous equations in r_{ij} and s_{ij} :

$$\begin{aligned} r_{ij} + s_{ij} &= 2a - t + e \\ \xi r_{ij} + \eta s_{ij} &= 2\mu \xi - 1 \end{aligned} \end{aligned} \text{ if } i \sim j, \qquad \begin{aligned} r_{ij} + s_{ij} &= 2a - t + f \\ \xi r_{ij} + \eta s_{ij} &= 0 \end{aligned} \end{aligned} \text{ if } i \nsim j.$$

Now $\xi \neq \eta$ for otherwise **j** is an eigenvector of A, and G is regular, contradicting Corollary 2.5. Therefore each set of simultaneous equations has a unique solution; in particular, there exist integers e', f' such that

$$|\Delta_H(i) \cap \Delta_H(j)| = \begin{cases} e' & \text{if } i \sim j, \\ f' & \text{if } i \not\sim j. \end{cases}$$

We have $e' \neq f'$, for otherwise $|X| \leq t$ [2, Theorem 1.51]. Thus if $4 \leq a \leq t$ t-2 then by Theorem 2.7 the H-neigbourhoods $\Delta_H(u)$ $(u \in X)$ form a tight 4-design.

In view of Theorem 2.7, it remains to consider four cases: (a) t=23and $a \in \{7, 16\}$, (b) a = 3, (c) a = 2, (d) a = t - 2.

In this case we have n = 276, |X| = 253, $|\overline{X}| = 23$ and

either a=7 or a=16. If a=7 then $D^*=\begin{pmatrix} r-16 & 16\\ 176 & r-176 \end{pmatrix}$, whence $176 \le r \le 198$. If a=16 then $D^*=\begin{pmatrix} r-7 & 7\\ 77 & r-77 \end{pmatrix}$, whence

 $77 \le r \le 99$. For these values of r, there is no strongly regular graph of order 276 and degree r; see for example Brouwer's list of feasible parameters at http://www.win.tue.nl/~aeb/graphs/srg/srgtab.html.

Case (b): a = 3. Let $\mathcal{D} = \{\Delta_H(u) : u \in X\}$. If $t \geq 7$ then $\overline{\mathcal{D}}$ is a tight 4-design and Theorem 2.7 is contradicted. If t < 7 then $t \in \{5,6\}$ and the multiplicity of μ in G_X is 9,14 respectively. If t=5 then either $G_X=L(K_6)$ with $\mu=-2$ or $G_X=\overline{L(K_6)}$ with $\mu=1$. In the former case, $D^*=\begin{pmatrix}6&2\\4&4\end{pmatrix}$, and so $H=K_5$; but the graph obtained from K_5 by adding a vertex of degree 3 does not have -2 as an eigenvalue (see Lemma

2.2). In the latter case, $D^* = \begin{pmatrix} 4 & 2 \\ 4 & 2 \end{pmatrix}$, and so H is a 5-cycle; but then

not all 3-subsets of \overline{X} can be H-neighbourhoods in G [4, Example 5.2.3]. Now suppose that t=6. Then k=15 and we have b=ka/t=45/6, a contradiction.

Case (c): a = 2. Here the H-neighbourhoods in G are all the 2-subsets of \overline{X} , and their intersection numbers are necessarily 0 and 1. We have

$$D^* = \begin{pmatrix} r - t + 2 & t - 2 \\ \frac{1}{2}(t - 1)(t - 2) & r - \frac{1}{2}(t - 1)(t - 2) \end{pmatrix},$$

whence $\lambda = r - \frac{1}{2}(t-2)(t+1)$. Now

$$0 = \operatorname{tr}(A^*) = r + t(r - \frac{1}{2}(t-2)(t+1)) + \frac{1}{2}(t+1)(t-2)\mu,$$

whence

$$\mu = t - \frac{2r}{t - 2}.\tag{8}$$

A 2-subset of \overline{X} intersects precisely 2t-4 other 2-subsets of \overline{X} . Hence if (e',f')=(1,0) then each vertex in X has 2t-4 neighbours in X, and so 2t-4=r-t+2. Thus r=3(t-2), and we see from Equation (8) that $\mu=t-6$. Now $r\geq \frac{1}{2}(t-1)(t-2)$ and so $t\leq 7$. Since $\mu\neq -1$ or 0, we have t=4 or t=7. If t=4 then

$$D^* = \left(\begin{array}{cc} 4 & 2\\ 3 & 3 \end{array}\right) = D,$$

whence G is 6-regular, a contradiction. If t = 7 then r = 15, $\mu = 1$ and \overline{X} is an independent set. Equating diagonal entries in Equation (1), we find that a = 1, a contradiction.

If (e', f') = (0, 1) then each vertex in X has 2t - 4 non-neighbours in X, and so $2t - 4 = \frac{1}{2}t(t - 1) - 1 - (r - t + 2)$. We find that $r = \frac{1}{2}(t - 1)(t - 2)$, $\mu = 1$ and \overline{X} is independent, leading to the same contradiction as above.

Case (d): a = t - 2. In this case we have $D^* = \begin{pmatrix} r - 2 & 2 \\ t - 1 & r - t + 1 \end{pmatrix}$, whence $\lambda = r - t - 1$. Now

$$0 = \operatorname{tr}(A^*) = r + t(r - t - 1) + \frac{1}{2}(t+1)(t-2)\mu,$$

and so

$$\mu = \frac{2(t-r)}{t-2}.$$

For distinct $u, v \in X$, let

$$|\Delta_H^*(u) \cap \Delta_H^*(v)| = \left\{ \begin{array}{l} e^* \text{ if } u \sim v, \\ f^* \text{ if } u \not\sim v \end{array} \right.,$$

so that $\{e^*, f^*\} = \{0, 1\}.$

If $(e^*, f^*) = (0, 1)$ then each vertex of X has 2t - 4 non-neighbours in X, and so $r - 2 = {t \choose 2} - (2t - 4) - 1$, whence $r = \frac{1}{2}(t^2 - 5t + 10)$ and $\mu = 5 - t$. Since $r - t + 1 \le t - 1$, we have $(t - 2)(t - 7) \le 0$, whence $t \in \{4, 5, 6, 7\}$. If t = 4 then r = 3, $\mu = 1$ and G is 3-regular, contradicting Theorem 2.4. If t = 5 or 6 then $\mu = 0$ or -1, contrary to assumption. If t = 7 then a = 5, $\mu = -2$, $H = K_7$ and we obtain a contradiction from Lemma 2.2.

If $(e^*, f^*) = (1, 0)$ then each vertex of X has 2t - 4 neighbours in X, and so r = 2t - 2, $\mu = -2$. Moreover, $H = K_t$ and Lemma 2.2 yields

$$(t-2)^2 - (t+1)(t-2) + 2(t+1) = 0.$$

It follows that t = 8. Since G is determined by H and all 6-subsets of \overline{X} as H-neighbourhoods of vertices in X, we conclude that $G = G_{36}$.

This completes the proof of Theorem 1.1

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