

# Pacific Journal of Mathematics

## **ON AN EMBEDDING PROPERTY OF GENERALIZED CARTER SUBGROUPS**

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If  $\mathcal{E}$  and  $\mathcal{F}$  are saturated formations,  $\mathcal{E}$  is strongly contained in  $\mathcal{F}$  (written  $\mathcal{E} \ll \mathcal{F}$ ) if:

- (1.1) For any solvable group  $G$  with  $\mathcal{E}$ -subgroup  $E$ , and  $\mathcal{F}$ -subgroup  $F$ , some conjugate of  $E$  is contained in  $F$ .

This paper is concerned with the problem:

- (1.2) Given  $\mathcal{E}$ , what saturated formations  $\mathcal{F}$  satisfy  $\mathcal{E} \ll \mathcal{F}$ ?

The object of this paper is to prove two theorems. The first, Theorem 5.3, shows that if  $\mathcal{F}$  is a nonempty formation, and  $\mathcal{E} = \{G \mid G/F(G) \in \mathcal{F}\}$ . ( $F(G)$  is the Fitting subgroup of  $G$ ), then any formation  $\mathcal{F}$  which strongly contains  $\mathcal{E}$  has essentially the same structure as  $\mathcal{E}$  in that there is a nonempty formation  $\mathcal{U}$  such that  $\mathcal{F} = \{G \mid G/F(G) \in \mathcal{U}\}$ . The second, Theorem 5.8, exhibits a large class of formations which are maximal in the partial ordering  $\ll$ . In particular, if  $\mathcal{N}^i$  denotes the formation of groups which have nilpotent length at most  $i$ , then  $\mathcal{N}^i$  is maximal in  $\ll$ . Since for  $\mathcal{N} = \mathcal{N}^1$ , the  $\mathcal{N}$ -subgroups of a solvable group  $G$  are the Carter subgroups, question (1.2) is settled for the Carter subgroups.

Since the theory of formations is of relatively recent origin, we give a few highlights. The theory begins with a paper [4] by Gaschütz which provides the setting in which the results of Carter [1] on the existence of nilpotent self-normalizing subgroups of solvable groups take their most natural form. He showed that given a saturated formation  $\mathcal{F}$ , and any finite solvable group  $G$ , one can find a conjugacy class of subgroups of  $G$  (called  $\mathcal{F}$ -subgroups of  $G$ ) which is connected in a natural way with the formation  $\mathcal{F}$ . Recently, Carter and Hawkes [2] have made a major contribution to the theory by generalizing the work of Philip Hall on system normalizers in solvable groups to  $\mathcal{F}$ -normalizers, and investigating the relationships between the  $\mathcal{F}$ -subgroups of a solvable group  $G$  and the  $\mathcal{F}$ -normalizers of  $G$ . As is clear from (1.1), this paper proceeds in a different direction by considering the relative embedding of the  $\mathcal{F}$ -subgroups for two distinct saturated formations  $\mathcal{E}$ ,  $\mathcal{F}$ . We consider only finite solvable groups in this paper.

The machinery used in the proof of our main theorem, Theorem 5.8, is developed in § 4. We begin by obtaining a characterization of strong containment which depends only on the two formations  $\mathcal{E}$  and  $\mathcal{F}$ . This characterization depends on the knowledge that if  $\mathcal{F}$  is a saturated formation, then  $\mathcal{F}$  is a locally defined formation (see

§ 2), a result proved by Lubeseder in [7]. In certain cases, we are able to strengthen our characterization of strong containment so that it gives a complete description of the minimal local definition of  $\mathcal{F}$  as a necessary condition for strong containment.

In § 6, we present an example which shows that Hypothesis II of our main theorem is not redundant. The formation which gives the example is  $\mathcal{R} = \{G \mid G/F(G) \text{ is an } r'\text{-group}\}$ , where  $r$  is a prime. It is apparent from Theorem 6.2 that  $\mathcal{R}$  is not maximal in the partial ordering  $\ll$ . In fact, there are an infinite number of formations which strongly contain  $\mathcal{R}$ .

Preliminary results are presented in § 3. In particular, we give a cover-avoidance characterization of the  $\mathcal{F}$ -subgroups of a group, a result which may have some interest by itself. We remark, however, that one half of this characterization has appeared in [2].

2. Notation and quoted results. We use the following notation:

- $G$  — a finite solvable group;
- $D(G)$  — the Frattini subgroup of  $G$ , the intersection of all maximal subgroups of  $G$ ;
- $F(G)$  — the Fitting subgroup of  $G$ , the maximal normal nilpotent subgroup of  $G$ ;
- $Z_p$  — the field of integers mod  $p$ ,  $p$  a prime;
- $\pi$  — a set of primes;
- $\pi'$  — the complementary set of primes;
- $O_\pi(G)$  — the maximal normal  $\pi$ -subgroup of  $G$ ;
- $O_{\pi'\pi}(G)$  — the inverse image in  $G$  of  $O_\pi(G/O_{\pi'}(G))$ .

If  $K \triangleleft H \leq G$ , then  $H/K$  is a *section* of  $G$ , and if  $F \leq G$  normalizes both  $H$  and  $K$ , it is an  $F$ -invariant section of  $G$ . If  $H/K$  is an  $F$ -invariant section of  $G$ , then  $C_F(H/K)$  is the kernel of the representation of  $F$  as a subgroup of the automorphism group of  $H/K$ .  $C_{H/K}(F)$  is the set of elements of  $H/K$  fixed by every element of  $F$ . The following results will be used frequently:

LEMMA 2.1. (*Covering Lemma* [6], Theorem 1) *If  $A$  is a group of automorphisms of the group  $G$  whose order is prime to the order of  $G$ , and if  $H/K$  is an  $A$ -invariant section of  $G$ , then  $C_G(A)$  covers  $C_{H/K}(A)$ .*

LEMMA 2.2.<sup>1</sup> (*Frobenius reciprocity for modules*, [8], p. 144)

<sup>1</sup> The result on page 144 of [8] does not look quite like the Frobenius reciprocity theorem quoted above, but if we define the map

$$\begin{aligned} \chi &: \operatorname{Hom}_{\mathbb{R}(G)}(\mathbb{R}(G), N) \rightarrow N \text{ by the rule} \\ \chi &: \varphi \rightarrow \varphi(1) \quad \varphi \in \operatorname{Hom}_{\mathbb{R}(G)}(\mathbb{R}(G), N), \end{aligned}$$

then it is not difficult to show that  $\chi$  is a  $\mathbb{R}(H)$ -isomorphism from  $\operatorname{Hom}_{\mathbb{R}(G)}(\mathbb{R}(G), N)$  onto  $N|_H$ .

Let  $G$  be a group,  $H \leq G$ , and  $\mathbb{R}$  a field. If  $M$  is a  $\mathbb{R}(H)$ -module, and  $N$  a  $\mathbb{R}(G)$ -module, then  $\text{Hom}_{\mathbb{R}(G)}(M|^G, N)$ , and  $\text{Hom}_{\mathbb{R}(H)}(M, N|_H)$  are isomorphic as vector spaces over  $\mathbb{R}$ . Here  $M|^G$  is the  $\mathbb{R}(G)$ -module induced from  $M$  to  $G$ , and  $N|_H$  is the restriction of  $N$  to  $H$ .

The final part of this section consists of a short summary of the theory of formations as presented in the papers of Gaschütz and Lubeseder [4], [5], and [7].

DEFINITION 2.3. For each prime  $p$ , let  $\mathcal{F}(p)$  be a formation. Let  $\mathcal{F}$  denote the collection of groups  $G$  which satisfy the following two conditions:

- (a) if  $\mathcal{F}(p)$  is nonvoid, and  $K$  is a  $p$ -chief factor of  $G$ , then  $G/C_G(K)$  lies in  $\mathcal{F}(p)$ ;
- (b) if  $\mathcal{F}(p)$  is empty, then  $G$  is a  $p'$ -group.

Then  $\mathcal{F}$  is a formation called the formation *locally defined by the family*  $\{\mathcal{F}(p)\}$ . In general, a formation  $\mathcal{F}$  is *locally defined* if there is a family  $\{\mathcal{F}(p)\}$  of formations such that  $\mathcal{F}$  is locally defined by  $\{\mathcal{F}(p)\}$ .

Since the intersection, over all  $p$ -chief factors  $K$  of  $G$ , of the groups  $C_G(K)$  is the group  $O_{p',p}(G)$ , it is easy to see that condition (a) above is equivalent to

- (2.1) if  $\mathcal{F}(p)$  is nonempty, then  $G/O_{p',p}(G)$  lies in  $\mathcal{F}(p)$ .

The family  $\mathcal{F}(p)$  of formations which define  $\mathcal{F}$  is not unique. If, however,  $\{\mathcal{F}(p)\}$  and  $\{\mathcal{F}'(p)\}$  are two families of formations which locally define the same formation  $\mathcal{F}$ , then the family  $\{\mathcal{H}(p) \mid \mathcal{H}(p) = \mathcal{F}(p) \cap \mathcal{F}'(p)\}$  also defines  $\mathcal{F}$ . Thus there is a *unique* minimal local definition for any locally defined formation  $\mathcal{F}$ . For example, the minimal local definition of the formation of all nilpotent groups is obtained by setting  $\mathcal{N}(p) = \{1\}$  for all primes  $p$ .

THEOREM 2.4. ([4], p. 302; [5], p. 198; [7]) *A formation  $\mathcal{F}$  is saturated if, and only if, it is locally defined.*

In view of this theorem, we shall use the terms *saturated* and *locally defined* interchangeably from now on.

DEFINITION. 2.5. Let  $\mathcal{F}$  be a formation. A subgroup  $F$  of  $G$  is an  $\mathcal{F}$ -subgroup of  $G$  provided:

- (a)  $F \in \mathcal{F}$ ;
- (b) if  $F \leq U \leq G$ , and  $N$  is a normal subgroup of  $U$  such that  $U/N$  lies in  $\mathcal{F}$ , then  $FN = U$ , i.e.,  $F$  covers  $U/N$ .

The following two lemmas appear in [4], and describe the basic properties of  $\mathcal{F}$ -subgroups.

LEMMA 2.6. ([4], p. 301) *If the formation  $\mathcal{F}$  is saturated, then every solvable group  $G$  has an  $\mathcal{F}$ -subgroup. All  $\mathcal{F}$ -subgroups of  $G$  are conjugate.*

LEMMA 2.7. ([4], p. 301) *Let  $\mathcal{F}$  be a formation, and  $G$  a group. Let  $F$  be an element of  $\mathcal{F}$  such that  $F \leq G$ . Then:*

- (a) *if  $F$  is an  $\mathcal{F}$ -subgroup of  $G$ , and  $F \leq U \leq G$ ,  $F$  is also an  $\mathcal{F}$ -subgroup of  $U$ ;*
- (b) *if  $N \triangleleft G$ , and  $F$  is an  $\mathcal{F}$ -subgroup of  $G$ , then  $FN/N$  is an  $\mathcal{F}$ -subgroup of  $G/N$ ;*
- (c) *if  $N \triangleleft G$ ,  $F'/N$  is an  $\mathcal{F}$ -subgroup of  $G/N$ , and  $F$  is an  $\mathcal{F}$ -subgroup of  $F'$ , then  $F$  is an  $\mathcal{F}$ -subgroup of  $G$ .*

3. Preliminary results. The first three lemmas of this section are elementary, but they are used frequently enough to justify their inclusion. The last two theorems give a cover-avoidance characterization of the  $\mathcal{F}$ -subgroups of a group.

LEMMA 3.1. *Let  $H$  be a normal  $p'$ -subgroup of  $G$ ,  $\mathbb{R}$  a field of characteristic  $p$ , and  $M$  an indecomposable  $\mathbb{R}(G)$ -module. Then  $M|_H$  is a completely reducible  $\mathbb{R}(H)$ -module whose nonisomorphic irreducible components form a single orbit  $\mathfrak{C}$  of conjugate  $\mathbb{R}(H)$ -modules under action by the elements of  $G$ . Let  $L, J$  be two  $\mathbb{R}(G)$ -modules of  $M$  such that  $L \subset J$ . Then the distinct  $\mathbb{R}(H)$ -irreducible components of  $(J/L)|_H$  are precisely the elements of  $\mathfrak{C}$ .*

*Proof.* Complete reducibility of  $M|_H$  is clear since  $H$  is a  $p'$ -group. Since the decomposition of  $M|_H$  into its homogeneous components is unique, these components are permuted by the action of  $G$  on  $M$ . Indecomposability implies only one orbit  $\mathfrak{D}$  can occur, hence the same statement holds for the nonisomorphic irreducible components of  $M|_H$ . The transitivity of  $G$  on the orbit  $\mathfrak{C}$  and the fact that at least one element of  $\mathfrak{C}$  appears as a constituent of  $(J/L)|_H$  yields the last statement of the lemma.

LEMMA 3.2. *Let  $G$  be a group, and  $M$  a  $\mathbb{R}(G)$ -module.  $M$  is faithful if, and only if,  $M|_{F(G)}$  is faithful.*

*Proof.* The lemma follows *a fortiori* from the statement that if  $1 < N \triangleleft G$ , then  $1 < N \cap F(G)$ .

We now begin a discussion of the properties of  $\mathcal{F}$ -subgroups of solvable groups. If  $G$  is a group, and  $\mathcal{F}$  a formation, we use  $G_{\mathcal{F}}$  to denote the intersection of all normal subgroups  $N$  of  $G$  such that the factor group  $G/N$  lies in  $\mathcal{F}$ . It is useful to know the behavior of  $G_{\mathcal{F}}$  under homomorphisms, so we prove

LEMMA 3.3. *Let  $\mathcal{F}$  be a formation,  $G$  a group, and  $H \triangleleft G$ . Then.*

$$(G/H)_{\mathcal{F}} = G_{\mathcal{F}}H/H.$$

*Proof.* Let  $F$  be the inverse image in  $G$  of  $(G/H)_{\mathcal{F}}$ . Then  $G/F$  is isomorphic to  $(G/H)/(G/H)_{\mathcal{F}}$ , hence  $G/F$  lies in  $\mathcal{F}$ . Therefore,  $G_{\mathcal{F}}H \leq F$ .

Since  $G/G_{\mathcal{F}}H$  lies in  $\mathcal{F}$ , it follows that  $G_{\mathcal{F}}H/H$  is a normal subgroup of  $G/H$  whose corresponding factor group lies in  $\mathcal{F}$ . Therefore  $F/H$  is contained in  $G_{\mathcal{F}}H/H$ ; this completes the proof.

The next theorem generalizes a remark made by Carter in [1], and provides the first half of a cover-avoidance characterization of  $\mathcal{F}$ -subgroups.

THEOREM 3.4. *Let  $\mathcal{F}$  be a formation locally defined by the family  $\{\mathcal{F}(p)\}$ ,  $G$  be a group,  $F$  a subgroup of  $G$  which lies in  $\mathcal{F}$ , and  $K$  an  $F$ -composition factor of  $G$ . Then*

- (a)  $F$  either covers, or avoids  $K$ ;
- (b) if  $F$  covers  $K$ , and  $p \mid |K|$ , then  $F/C_F(K) \in \mathcal{F}(p)$ ;
- (c) if  $F$  is an  $\mathcal{F}$ -subgroup of  $G$ , and  $p \mid |K|$ , then

$$(3.1) \quad F/C_F(K) \in \mathcal{F}(p) \Rightarrow F \text{ covers } K.$$

*Proof.* Let  $K = L/M$  be the  $F$ -composition factor in question. Statement (a) follows from the fact that  $F$  acts irreducibly on  $K$ , and  $(L \cap F)M/M$  is an  $F$ -invariant subgroup of  $K$ .

If  $F$  covers  $K$ , then looking at  $F$  as a set of operators on  $K$ , it follows that  $K$  is operator isomorphic to  $L \cap F/M \cap F$ , a  $p$ -chief factor of  $F$ . Therefore the kernel of the representation of  $F$  on  $L \cap F/M \cap F$  is  $C_F(K)$ . Since  $F$  lies in  $\mathcal{F}$ ,  $F/C_F(K)$  lies in  $\mathcal{F}(p)$ . This proves (b).

Now suppose  $F$  is an  $\mathcal{F}$ -subgroup of  $G$ , and  $K$  is a  $p$ -section of  $G$  such that  $F/C_F(K)$  lies in  $\mathcal{F}(p)$ . To show  $F$  covers  $K$ , it suffices to show that  $F$  covers the larger section  $FL/M$ . But by Lemma 2.7,  $F$  is an  $\mathcal{F}$ -subgroup of  $FL$ , hence it is sufficient to show  $\bar{F} = FL/M$  is an element of  $\mathcal{F}$  since  $F$ , by definition, covers any such factor of  $FL$ .

If  $q$  is a prime distinct from  $p$ , then  $K$ , as a normal  $q'$ -subgroup of  $\bar{F}$ , is contained in  $O_{q'}(\bar{F})$ . Therefore  $O_{q',q}(F)L/M$  is contained in  $O_{q',q}(\bar{F})$ , so  $\bar{F}/O_{q',q}(\bar{F})$  is isomorphic to a quotient group of  $FL/O_{q',q}(F)L$ . But  $FL/O_{q',q}(F)L$  is isomorphic to a quotient group of  $F/O_{q',q}(F)$ . Since  $F \in \mathcal{F}$ , (2.1) implies  $F/O_{q',q}(F)$  lies in  $\mathcal{F}(q)$ , hence  $\bar{F}/O_{q',q}(\bar{F})$  is also in  $\mathcal{F}(q)$ .

Let  $U = F_{\mathcal{F}(p)}$ . Since  $F \in \mathcal{F}$ ,  $F/O_{p,p}(F)$  lies in  $\mathcal{F}(p)$ . Therefore  $U$  is contained in  $O_{p,p}(F)$ . Since we have assumed  $F/C_F(K) \in \mathcal{F}(p)$ , it follows that  $K$  is contained in the center of  $UL/M$ . Therefore

$UL/M$  has a normal  $p$ -complement. As a normal subgroup of  $\bar{F}$ , it follows that  $UL/M$  is contained in  $O_{p',p}(\bar{F})$ , the maximal normal subgroup of  $\bar{F}$  which has a normal  $p$ -complement. Therefore  $\bar{F}/O_{p',p}(\bar{F})$  is isomorphic to a quotient of  $F/U$  and must lie in  $\mathcal{F}(p)$ . This shows that  $\bar{F}$  satisfies (2.1) for all primes  $p$ , so  $\bar{F}$  lies in  $\mathcal{F}$ .

Our next theorem will show that (3.1) characterizes the  $\mathcal{F}$ -subgroups of a solvable group  $G$ . In order to obtain as weak an hypothesis as possible, we prove two lemmas. (3.1) actually applies only to specific  $F$ -composition factors of  $G$ , so when we say that (3.1) holds for an  $F$ -composition series,  $G = G_0 > G_1 > \cdots > G_n = 1$ , of  $G$ , we mean  $F$  satisfies that property for all factors  $G_i/G_{i+1}$  of the series for which the hypothesis of (3.1) holds.

**LEMMA 3.5.** *Suppose  $\mathcal{F}$  is a formation locally defined by  $\{\mathcal{F}(p)\}$ ,  $F$  lies in  $\mathcal{F}$ , and  $F \leq G$ . Let  $A/B$  be an  $F$ -invariant section of  $G$  such that  $A > C > B$  defines a fixed  $F$ -composition series of  $A/B$ . If (3.1) holds for this series, then (3.1) holds for every  $F$ -composition series of  $A/B$ .*

*Proof.* We may assume that a second  $F$ -composition series of  $A/B$  exists and is defined by  $A > D > B$  where  $D \neq C$ . Then we must have  $A = CD$  and  $B = C \cap D$ . Therefore

$$(3.2) \quad A/B \cong C/B \times D/B, A/C \cong D/B, A/D \cong C/B,$$

where the decomposition is an operator decomposition, and the isomorphisms are operator isomorphisms.

Suppose the decomposition (3.2) is unique. If  $F/C_F(A/D)$  lies in  $\mathcal{F}(p)$ , it follows from (3.2) that  $F/C_F(C/B)$  lies in  $\mathcal{F}(p)$ . Since (3.1) holds for the series  $A > C > B$ ,  $F$  covers  $C/B$ . Therefore  $(F \cap A)D \geq (F \cap C)D \geq CD = A$ , so  $F$  covers  $A/D$ . If  $F/C_F(D/B)$  lies in  $\mathcal{F}(q)$ , then (3.1) implies  $F$  covers  $A/C$ . Because of the uniqueness of the decomposition, and the fact that  $F \cap A$  is not contained in  $C$ , either  $A = (F \cap A)B$ , or  $D = (F \cap A)B$ . In the former case,  $F$  covers all of  $A/B$ , and in the latter case,  $F \cap A = F \cap D$  since  $F \cap A \leq D$ . Therefore, in either case,  $F$  covers  $D/B$ .

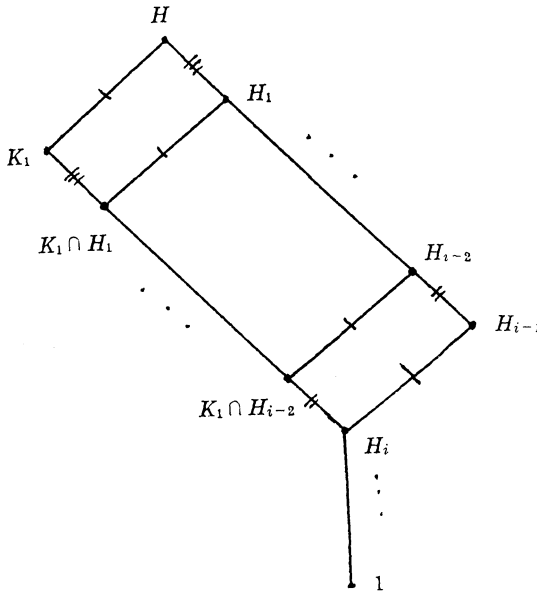
The decomposition (3.2) is unique if the orders of the factors are relatively prime, so we may assume  $A/B$  is an elementary abelian  $p$ -group for some prime  $p$ . This means that we can look at  $A/B$  as a  $Z_p(F)$ -module. If the factors are distinct  $Z_p(F)$ -modules, then the decomposition is again unique. If they are isomorphic, it follows from (3.1) for the series  $A > C > B$  that  $F$  either covers, or avoids  $A/B$ . Therefore Lemma 3.5 holds in all cases.

**LEMMA 3.6.** *Assume  $F$  lies in  $\mathcal{F}$ ,  $H \leq G$ , and  $F \leq N_G(H)$ . If*

(3.1) holds for a fixed  $F$ -composition series of  $H$ , then it holds for every  $F$ -composition series of  $H$ .

*Proof.* Let  $H = H_0 > H_1 > \dots > H_n = 1$  be the fixed  $F$ -composition series of  $H$  for which (3.1) holds. Use induction on  $n$ . If  $H = K_0 > K_1 > \dots > K_n = 1$  is a second  $F$ -composition series for  $H$ , and  $K_1 = H_1$ , (3.1) holds for the second series by induction.

If  $K_1$  and  $H_1$  are distinct, we let  $i$  be the smallest integer such that  $K_1 \cap H_i = H_i$ . Because  $H_i \leq K_1 \cap H_{i-1}$ , we have  $H_i = K_1 \cap H_{i-1}$ , so that we have the following lattice diagram:



Now  $H_1$  is  $F$ -invariant, and because of the isomorphisms indicated in the diagram,  $H_1 > K_1 \cap H_1 > \dots > K_1 \cap H_{i-1} = H_i > \dots > H_n = 1$  is an  $F$ -composition series for  $H_1$  which has length  $n - 1$ . By induction, (3.1) holds for this series. Therefore, (3.1) holds for the  $F$ -composition series of  $H/H_1 \cap K_1$  defined by the series  $H > H_1 > H_1 \cap K$ . By Lemma 3.5, (3.1) holds for the  $F$ -composition series

$$H > K_1 > H_1 \cap K_1 > \dots > K_1 \cap H_{i-1} = H_i > \dots > H_n = 1$$

of  $H$ . In particular, (3.1) holds, by induction, for any  $F$ -composition series of  $K_1$ . Therefore (3.1) holds for the series  $K_0 > K_1 > \dots > K_n = 1$ .

**THEOREM 3.7.** Let  $\mathcal{F}$  be a formation locally defined by  $\{\mathcal{F}(p)\}$ . Let  $G$  be a group, and  $F$  a subgroup of  $G$  which lies in  $\mathcal{F}$ . If (3.1) holds for a fixed  $F$ -composition series  $G = G_0 > G_1 > \dots > G_n = 1$  of  $G$ , then  $F$  is an  $\mathcal{F}$ -subgroup of  $G$ .



*Proof.* We use induction on  $|G|$ . By Lemma 3.6, we may assume that the series  $G = G_0 > G_1 > \dots > G_n = 1$  is a refinement of the chief series  $G = H_0 > H_1 > \dots > H_{m-1} > H_m = 1$ . Then  $H_{m-1} = G_k$  for some  $k$ .  $H_{m-1}$  is a minimal normal subgroup of  $G$ , so we set  $\bar{G}_i = G_i/G_k$  for  $i = 0, 1, \dots, k$ ,  $\bar{F} = FG_k/G_k$ , and  $\bar{G} = \bar{G}_0$ . Our first step is to show that  $\bar{F}$  is an  $\mathcal{F}$ -subgroup of  $\bar{G}$ .

If  $m = 1$ , the result is trivial. If  $m$  is larger than 1, then  $H_{m-1}$  is a proper subgroup of  $G$ , and by induction, to show that  $\bar{F}$  is an  $\mathcal{F}$ -subgroup of  $\bar{G}$ , it is sufficient to verify (3.1) for the  $F$ -composition series  $\bar{G}_0 > \bar{G}_1 > \dots > \bar{G}_k = \bar{1}$ .

For each  $i$ , set  $K_i = G_i/G_{i+1}$ , and  $\bar{K}_i = \bar{G}_i/\bar{G}_{i+1}$ . Since  $G_k \leq G_{i+1}$  for  $i < k$ ,  $G_k$  centralizes the section  $K_i$  for  $i < k$ . Therefore,  $C_{\bar{F}}(\bar{K}_i) = C_F(K_i)G_k/G_k$  for all  $i < k$ . Thus,

$$\bar{F}/C_{\bar{F}}(\bar{K}_i) \cong FG_k/C_F(K_i)G_k \cong F/C_F(K_i)(F \cap G_k).$$

But  $F \cap G_k \leq C_F(K_i)$ , so we have

$$(3.3) \quad \bar{F}/C_{\bar{F}}(\bar{K}_i) \cong F/C_F(K_i) \text{ for } i < k.$$

Suppose  $\bar{K}_i$  is a  $p$ -section of  $\bar{G}$  such that  $\bar{F}/C_{\bar{F}}(\bar{K}_i)$  lies in  $\mathcal{F}(p)$ . By (3.3),  $F/C_F(K_i)$  lies in  $\mathcal{F}(p)$ , so  $F$  covers  $K_i$ . Therefore,  $(FG_k \cap G_i)G_{i+1} = (F \cap G_i)G_kG_{i+1} = (F \cap G_i)G_{i+1} = G_i$ . By taking homomorphic images, and noting that  $FG_k \cap G_i/G_k = \bar{F} \cap \bar{G}_i$ , we get  $(\bar{F} \cap \bar{G}_i)\bar{G}_{i+1} = \bar{G}_i$ . Thus  $\bar{F}$  covers  $\bar{K}_i$ . Therefore (3.1) holds for the  $\bar{F}$ -composition series  $\bar{G} = \bar{G}_0 > \bar{G}_1 > \dots > \bar{G}_k = \bar{1}$  of  $\bar{G}$ .

Now that we know  $\bar{F}$  is an  $\mathcal{F}$ -subgroup of  $\bar{G}$ , it follows from Lemma 2.7 that we can complete our proof by showing that  $F$  is an  $\mathcal{F}$ -subgroup of  $FG_k$ .

Suppose  $FG_k < G$ . We consider the series

$$FG_k = D_0 \geq D_1 \geq \dots \geq D_n = 1,$$

where  $D_i = FG_k \cap G_i$  for each  $i$ . Suppose  $D_i > D_{i+1}$  for some  $i$ . Then

$$D_i/D_{i+1} \cong (FG_k \cap G_i)G_{i+1}/G_{i+1} > 1.$$

This is an operator isomorphism, hence because  $F$  is irreducible on  $K_i$ , we have

$$(3.4) \quad D_i/D_{i+1} \cong G_i/G_{i+1}.$$

Therefore the distinct terms of the series  $D_0 \geq D_1 \geq \dots \geq D_n = 1$ , form an  $F$ -composition series for  $FG_k$  which passes through  $G_k$ . Since  $F$  covers  $FG_k/G_k$ , and since  $D_i = G_i$  for  $i \geq k$ , (3.1) holds for this composition series. By induction,  $F$  is an  $\mathcal{F}$ -subgroup of  $FG_k$ .

If  $G = FG_k$ , then  $G_k$  is a minimal normal subgroup of  $G$ , and  $F$  acts irreducibly on  $G_k$ . Therefore  $F$  either covers, or avoids  $G_k$ . If  $F$  covers  $G_k$ , then  $F = G$ , so  $F$  is an  $\mathcal{F}$ -subgroup of  $G$ . Suppose  $F$  avoids  $G_k$ , and  $G_k$  is a  $p$ -group. Then  $FG_k/C_{FG_k}(G_k) \cong F/C_F(G_k)$  cannot lie in  $\mathcal{F}(p)$  since (3.1) holds for  $G_k$ . Therefore  $(FG_k)_{\mathcal{F}} \geq G_k$ . Since  $FG_k/G_k$  lies in  $\mathcal{F}$ ,  $(FG_k)_{\mathcal{F}} = G_k$ .

If  $F \leq U \leq FG_k$ , then  $U = F$ , or  $U = FG_k$ . The above remarks show that  $F$  covers  $U/U_{\mathcal{F}}$  in both cases. Therefore  $F$  is an  $\mathcal{F}$ -subgroup of  $FG_k$ , and the proof is complete.

As one application of Theorem 3.7, we prove

**COROLLARY 3.8.** *Let  $\mathcal{F}$  be a formation locally defined by  $\{\mathcal{F}(p)\}$ ,  $H \in \mathcal{F}$ , and let  $I$  be a finitely generated  $Z_p(H)$ -module. Let  $G = HI$  be the semi-direct product of  $I$  by  $H$  where the action of  $H$  on  $I$  by conjugation is the usual one. Then,*

- (a)  $F = HC_I(O_{p'}(H_{\mathcal{F}(p)}))$  is an  $\mathcal{F}$ -subgroup of  $G$ ,
- (b) As a  $Z_p(H)$ -module,  $I = C_I(O_{p'}(H_{\mathcal{F}(p)})) \dot{+} G_{\mathcal{F}}$ .

*Proof.* Let  $W = C_I(O_{p'}(H_{\mathcal{F}(p)}))$ . Our first task is to show  $HW$  lies in  $\mathcal{F}$ . Suppose  $q$  is a prime distinct from  $p$ , then  $W$  is a  $q'$ -group normal in  $HW$ , so  $O_{q'q}(F) = O_{q'q}(H)W$ . Therefore,

$$F/O_{q'q}(F) \cong H/O_{q'q}(H).$$

Since  $H$  lies in  $\mathcal{F}$ ,  $F/O_{q'q}(F) \in \mathcal{F}(q)$ .

Let  $U = H_{\mathcal{F}(p)}$ . Then  $O_{p'}(U)$  centralizes  $W$ . Since  $H/O_{p'p}(H)$  lies in  $\mathcal{F}(p)$ ,  $U \leq O_{p'p}(H)$ . Therefore  $UW$  has a normal  $p$ -complement, and as a normal subgroup of  $F$ , must be contained in  $O_{p'p}(F)$ . Therefore  $F/O_{p'p}(F)$  is isomorphic to a quotient group of  $H/U$ . Since  $H/U \in \mathcal{F}(p)$ , so is  $F/O_{p'p}(F)$ . Therefore, (2.1) holds for all primes  $r$ , so  $F$  lies in  $\mathcal{F}$ .

Now let  $G = G_0 > G_1 > \dots > G_n = 1$  be an  $F$ -composition series for  $G$  such that  $G_l = I$  for some  $l$ . In order to check (3.1) for this series, we need only consider  $K_i = G_i/G_{i+1}$  for  $i \geq l$ , since  $F$  covers  $G/I$ .  $W$  centralizes every  $K_i$ , so we have

$$(3.5) \quad F/C_F(K_i) \cong H/C_H(K_i).$$

If  $i \geq l$ , and  $F/C_F(K_i) \in \mathcal{F}(p)$ , then (3.5) implies  $C_H(K_i) \geq U$ . In particular,  $O_{p'}(U)$  centralizes  $K_i$ . Therefore  $F$  covers  $K_i$ , and (3.1) holds for the series in question. By Theorem 3.7,  $F$  is an  $\mathcal{F}$ -subgroup of  $G$ .

By complete reducibility,  $I = W \dot{+} (I, O_{p'}(U))$ , and since  $O_{p'}(U)$  is normal in  $H$ , both  $W$  and  $V = (I, O_{p'}(U))$  are normal in  $HI$ . Clearly  $HI/V$  is the largest factor of  $HI$  covered by  $F$ . Therefore  $V = G_{\mathcal{F}}$ .

REMARK. This result cannot be extended to the case where  $I$  is a  $p$ -group of class 2 because of the following example. Let  $I$  be the quaternion group.  $I$  has an automorphism  $h$  of order 3 such that  $h$  acts fixed point free on  $I/D(I)$ , and centralizes  $D(I)$ . Let  $H$  be the cyclic group of order 3 generated by  $h$ , and let  $G = HI$ . A Carter subgroup of  $G$  is  $H \times D(I)$ , but  $D(I)$  has no complement in  $I$ , so no splitting is possible.

The author is indebted to the referee for the following

REMARK. If  $\mathcal{F}$  is a saturated formation,  $H \in \mathcal{F}$ , and  $\{\mathcal{F}_1(p)\}$ ,  $\{\mathcal{F}_2(p)\}$  are two local definitions for  $\mathcal{F}$ , then  $O_{p'}(H_{\mathcal{F}_1(p)}) = O_{p'}(H_{\mathcal{F}_2(p)})$ .

*Proof.* Clearly  $H/H_{\mathcal{F}_i(p)} \in \mathcal{F} \cap \mathcal{F}_i(p)$ , so  $H_{\mathcal{F}_i(p)} \geq H_{\mathcal{F} \cap \mathcal{F}_i(p)}$ . Since  $\mathcal{F} \cap \mathcal{F}_i(p)$  is contained in  $\mathcal{F}_i(p)$ ,  $H_{\mathcal{F}_i(p)} = H_{\mathcal{F}_i(p) \cap \mathcal{F}}$ , and in the terminology of [2], we may assume the local definitions  $\{\mathcal{F}_i(p)\}$  are integrated.

By Theorem 2.2 of [2], we have  $\mathcal{P}\mathcal{F}_1(p) = \mathcal{P}\mathcal{F}_2(p)$ , where

$$\mathcal{P}\mathcal{F}_i(p) = \{G \mid G/O_p(G) \in \mathcal{F}_i(p)\}.$$

Since  $H_{\mathcal{F}_i(p)} \leq O_{p'}(H)$  for each  $i$ , it follows that for each  $i$ ,

$$O_{p'}(H_{\mathcal{F}_i(p)}) = H_{\mathcal{P}\mathcal{F}_i(p)}.$$

Since  $\mathcal{P}\mathcal{F}_1(p) = \mathcal{P}\mathcal{F}_2(p)$ , the remark follows.

4. **Strong containment.** In this section, we shall characterize strong containment. In certain cases, we can make our characterization more precise by giving generating sets for certain of the formations  $\mathcal{F}(p)$  in the minimal local definition of  $\mathcal{F}$ . The results of this section form the basis for our results in §5.

LEMMA 4.1. *Let  $\mathcal{E}$  and  $\mathcal{F}$  be two nonempty saturated formations; let  $\mathcal{E}$  be locally defined by  $\{\mathcal{E}(p)\}$ . Let  $G$  be a group of minimal order satisfying:*

(4.1) *An  $\mathcal{E}$ -subgroup of  $G$  is not contained in any  $\mathcal{F}$ -subgroup of  $G$ .*

*If  $F$  is an  $\mathcal{F}$ -subgroup of  $G$ , and  $E$  is an  $\mathcal{E}$ -subgroup of  $F$ , then*

(a)  *$G_{\mathcal{F}} = M$  is a minimal normal subgroup of  $G$ ;  $G$  is the semidirect product of  $M$  by  $F$ ;  $F$  acts faithfully and irreducibly on  $M$ .*

(b) *If  $M$  is a  $p$ -group, then  $E^* = EC_M(O_{p'}(E_{\mathcal{E}(p)}))$  is an  $\mathcal{E}$ -subgroup of  $G$ , and  $1 < C_M(O_{p'}(E_{\mathcal{E}(p)})) \leq M$ .*

*Proof.* If  $G$  is an element of  $\mathcal{F}$ , then  $G = F$  contains every  $\mathcal{E}$ -subgroup of  $G$ , hence  $G$  does not satisfy (4.1). Therefore  $G \notin \mathcal{F}$ ;

in particular,  $G$  is not the identity. Let  $M \neq 1$  be a minimal normal subgroup of  $G$ . By Lemma 2.7,  $FM/M$  is an  $\mathcal{F}$ -subgroup of  $G/M$ . Because of the minimality of  $|G|$  with respect to the property (4.1), some  $\mathcal{E}$ -subgroup of  $G/M$  is contained in  $FM/M$ . Since all  $\mathcal{E}$ -subgroups of  $G/M$  are conjugate, we can find an  $\mathcal{E}$ -subgroup  $E$  of  $G$  such that  $EM \leq FM$ .  $E$ , as an  $\mathcal{E}$ -subgroup of  $G$ , is also an  $\mathcal{E}$ -subgroup of  $FM$ . Because  $G$  satisfies (4.1), no conjugate of  $E$  under  $FM$  can be contained in  $F$ . The minimality of  $G$  implies  $G = FM$ .

$G/M$  is in  $\mathcal{F}$ , but  $G$  is not, so  $G_{\mathcal{F}} = M$ . Since  $F \cap M$  is a normal subgroup of  $G$ , properly contained in  $M$ ,  $F \cap M = 1$ , so  $G$  is semidirect product of  $M$  by  $F$ . Since  $M$  was arbitrary to begin with, and we showed  $M = G_{\mathcal{F}}$ ,  $M$  is the unique minimal normal subgroup of  $G$ . Therefore  $F$  acts faithfully and irreducibly on  $M$ . This proves (a).

$G/M$  is isomorphic to  $F$ , so  $EM/M$  is an  $\mathcal{E}$ -subgroup of  $G/M$ . By Lemma 2.7, an  $\mathcal{E}$ -subgroup of  $EM$  is also an  $\mathcal{E}$ -subgroup of  $G$ . Corollary 3.8 shows that  $E^* = EC_M(O_{p'}(E_{\mathcal{F}(p)}))$  is an  $\mathcal{E}$ -subgroup of  $EM$ . Since  $E^*$  is not contained in  $F$ , statement (b) holds.

Before stating the characterization, we introduce some notation.

**DEFINITION 4.2.** If  $\mathcal{E}$  and  $\mathcal{F}$  are two saturated formations, and  $\mathcal{E}$  is locally defined by  $\{\mathcal{E}(p)\}$ , set

(a)  $\pi(\mathcal{E}) = \{p \mid \mathcal{E}(p) \text{ is nonempty}\}$ .  $\pi(\mathcal{E})$  is called the characteristic of  $\mathcal{E}$ .

(b) If  $p \in \pi(\mathcal{E})$ , we denote by  $\Phi(p)$  the collection of all  $H \in \mathcal{F}$  such that if  $E$  is an  $\mathcal{E}$ -subgroup of  $H$ , then  $H$  has a faithful irreducible  $Z_p(H)$ -module  $M$  which satisfies

$$(4.2) \quad 1 < C_M(O_{p'}(E_{\mathcal{E}(p)})) \leq M.$$

(c) If  $p \in \pi(\mathcal{E})$ , let  $\theta(p)$  be the collection of all  $H$  in  $\Phi(p)$  such that  $H$  has at least one faithful irreducible  $Z_p(H)$ -module satisfying

$$(4.3) \quad 1 < C_M(O_{p'}(E_{\mathcal{E}(p)})) < M.$$

**THEOREM 4.3.** Suppose  $\mathcal{E}$  and  $\mathcal{F}$  are two saturated formations locally defined by  $\{\mathcal{E}(p)\}$  and  $\{\mathcal{F}(p)\}$  respectively. Then  $\mathcal{E} \ll \mathcal{F}$  if, and only if, for each prime  $p$  in the characteristic of  $\mathcal{E}$ ,  $\Phi(p)$  is contained in  $\mathcal{F}(p)$ .

*Proof.* Suppose  $\Phi(p)$  is contained in  $\mathcal{F}(p)$  for each  $p$  in the characteristic of  $\mathcal{E}$ , and  $\mathcal{E}$  is not strongly contained in  $\mathcal{F}$ . Then the class of groups satisfying (4.1) with respect to the formations  $\mathcal{E}$  and  $\mathcal{F}$  is nonempty, so we choose  $G$  to be an element of minimal

order in this class. By Lemma 4.1, if  $G_{\mathcal{F}}$  is a  $p$ -group, then  $p$  divides the order of an  $\mathcal{E}$ -subgroup of  $G$ , and must be an element of the characteristic of  $\mathcal{E}$ . By Lemma 4.1, if  $F$  is an  $\mathcal{F}$ -subgroup of  $G$ , then  $F$  lies in  $\Phi(p)$ . Therefore  $F$  is an element of  $\mathcal{F}(p)$ , and  $O_p(F) = 1$ .

Since  $G_{\mathcal{F}}$  is the unique minimal normal subgroup of  $G$ ,  $G_{\mathcal{F}} = O_{p',p}(G)$ . Therefore  $F \cong G/G_{\mathcal{F}} = G/O_{p',p}(G)$  lies in  $\mathcal{F}(p)$ . If  $q$  is a prime distinct from  $p$ , then  $G_{\mathcal{F}} \leq O_{q'}(G)$ , and it follows that  $O_{q',q}(G) = G_{\mathcal{F}}O_{q',q}(F)$ . Therefore,

$$G/O_{q',q}(G) \cong F/O_{q',q}(F).$$

Since  $F$  lies in  $\mathcal{F}$ , we see that  $G/O_{q',q}(G)$  lies in  $\mathcal{F}(q)$ . By (2.1),  $G$  lies in  $\mathcal{F}$ , a contradiction to the fact that  $G_{\mathcal{F}} > 1$ . Therefore  $\mathcal{E} \ll \mathcal{F}$ .

Suppose  $\mathcal{E} \ll \mathcal{F}$ ,  $p \in \pi(\mathcal{E})$ , and  $F \in \Phi(p)$ . Let  $M$  be the faithful irreducible  $Z_p(F)$ -module mentioned in the definition of  $\Phi(p)$ . Set  $G = FM$ , where the action of  $F$  on  $M$  by conjugation is the module action. By Corollary 3.8, an  $\mathcal{F}$ -subgroup of  $G$  is  $F^* = FC_M(O_{p'}(F_{\mathcal{F}(p)}))$ , hence  $G = F^*M$ . Let  $E$  be an  $\mathcal{E}$ -subgroup of  $F$ . Since  $EM/M$  is an  $\mathcal{E}$ -subgroup of  $G/M$ , it follows, from Lemma 2.7 and Corollary 3.8, that  $E^* = EC_M(O_{p'}(E_{\mathcal{E}(p)}))$  is an  $\mathcal{E}$ -subgroup of  $G$ .  $E^*$  does not avoid  $M$ , and because  $\mathcal{E} \ll \mathcal{F}$ ,  $E^*$  is contained in some  $\mathcal{F}$ -subgroup of  $G$ , hence  $F^*$  does not avoid  $M$ . Since  $F^*$  is irreducible on  $M$ , it follows that  $F^*$  contains  $M$ , hence  $F^* = G$ .

Since  $G$  lies in  $\mathcal{F}$ , and  $F$  acts faithfully on the  $p$ -chief factor  $M$  of  $G$ , we have  $F$  isomorphic to  $G/G_c(M)$ , an element of  $\mathcal{F}(p)$ . Therefore  $\Phi(p)$  is contained in  $\mathcal{F}(p)$ .

Because of this characterization, if  $\mathcal{E} \ll \mathcal{F}$ , and  $p$  is a prime in the characteristic of  $\mathcal{E}$ , then  $\Phi(p) \subseteq \mathcal{F}(p)$  for any  $\mathcal{F}(p)$  which lies in some local definition of  $\mathcal{F}$ . This leads naturally to the question:

Suppose  $\{\mathcal{F}(p)\}$  is the unique minimal local definition for  $\mathcal{F}$ .

(4.4) If  $p$  is a prime in the characteristic of  $\mathcal{E}$ , is  $\mathcal{F}(p)$  the smallest formation generated by the set  $\Phi(p)$ ?

The answer to this question is yes, provided the set  $\theta(p)$  is nonempty for at least two primes. We have not been able to relax the hypothesis on the  $\theta(p)$ 's. In order to prove this partial result, we shall, for the next few lemmas, investigate properties of the  $\Phi(p)$ 's and  $\theta(p)$ 's.

**LEMMA 4.4.** *Let  $\mathcal{E}$  and  $\mathcal{F}$  be nonempty saturated formations with local definitions  $\{\mathcal{E}(p)\}$  and  $\{\mathcal{F}(p)\}$  respectively. Suppose  $\mathcal{E} \ll \mathcal{F}$ , and  $G$  is an element of  $\mathcal{F}$  with  $\mathcal{E}$ -subgroup  $E$ .*

(a) Suppose  $G \in \Phi(q)$  for some prime  $q$  in the characteristic of  $\mathcal{E}$ .  $G$  lies in  $\theta(q)$  if, and only if,  $O_{q'}(E_{\mathcal{E}(q)}) > 1$ .

(b) If  $O_q(G) = 1$ , and the permutation representation on the cosets of  $O_{q'}(E_{\mathcal{E}(q)})$  is faithful, then  $G$  lies in  $\langle \Phi(q) \rangle$ , the smallest formation generated by the set  $\Phi(q)$ .

(c) Let  $V$  be a faithful irreducible  $Z_p(K)$ -module, where  $K$  is a group. If  $G = KV$ , and the permutation representation on the cosets of  $O_{q'}(E_{\mathcal{E}(q)})$  is faithful for some prime  $q$  in  $\pi(\mathcal{E}) - \{p\}$ , then  $G$  lies in  $\Phi(q)$ .

(d) For each  $r, s$  in  $\pi(\mathcal{E})$ ,  $\theta(r) \leq \langle \Phi(s) \rangle$ .

*Proof.* Let  $H = O_{q'}(E_{\mathcal{E}(q)})$ . If  $G$  is in  $\Phi(q)$ , then  $G$  has a faithful irreducible  $Z_q(G)$ -module  $I$  such that  $1 < C_I(H) \leq I$ . Equality holds if and only if  $H = 1$ , so (a) is true;

Now suppose  $G$  satisfies the hypothesis of (b). Let  $T$  be the  $Z_q(G)$ -module which affords the representation of  $G$  on the cosets of  $H$ . Since  $H$  is a  $q'$ -group, the principal  $Z_q(H)$ -module is a direct summand of the regular  $Z_q(H)$ -module, hence

(4.5)  $T$  is a direct sum of principal indecomposable  $Z_q(G)$ -modules.

We write  $T = T_1 + \cdots + T_s$ , where each  $T_i$  is indecomposable, and let  $U_i$  be the unique maximal proper  $Z_q(G)$ -submodule of  $T_i$ . Finally, we let  $M_i$  be the factor module  $T_i/U_i$ .

Since  $O_q(G)$  is trivial,  $F(G)$  is a  $q'$ -subgroup of  $G$ , hence by Lemma 3.1, the distinct irreducible components of  $M_i|_{F(G)}$  are exactly the same as the distinct irreducible components of  $T_i|_{F(G)}$ . Since  $T$  is faithful, it follows that if we let  $M$  be the direct sum of all the modules  $M_i$ , then  $M|_{F(G)}$  is faithful. By Lemma 3.2,  $M$  is a faithful  $Z_q(G)$ -module.

We now apply the Frobenius reciprocity theorem for modules, i.e., Lemma 2.2. For each  $i = 1, 2, \dots, s$

$$(0) \subset \text{Hom}_{Z_q(G)}(T, M_i) \cong \text{Hom}_{Z_q(H)}(1, M_i|_H),$$

where  $1$  denotes the principal  $Z_q(H)$ -module. Therefore, for each  $i$ ,

$$1 < C_{M_i}(H) \leq M_i.$$

Set  $G_i = G/C_G(M_i)$ . Then  $E_i = EC_G(M_i)/C_G(M_i)$  is an  $\mathcal{E}$ -subgroup of  $G_i$ . By Lemma 3.3,  $(E_i)_{\mathcal{E}(q)} = E_{\mathcal{E}(q)}C_G(M_i)/C_G(M_i)$ . It follows from (2.1) and the definition of  $E_{\mathcal{E}(q)}$  that  $E_{\mathcal{E}(q)}$  has a normal  $q$ -complement. Therefore  $O_{q'}((E_i)_{\mathcal{E}(q)}) = O_{q'}(E_{\mathcal{E}(q)})C_G(M_i)/C_G(M_i)$ . This implies

$$1 < C_{M_i}(O_{q'}(E_{\mathcal{E}(q)})) = C_{M_i}(O_{q'}(E_i)_{\mathcal{E}(q)}) \leq M_i.$$

Since  $G$  lies in  $\mathcal{F}$ ,  $q \in \pi(\mathcal{E})$ , and  $M_i$  is a faithful irreducible

$Z_q(G_i)$ -module,  $G_i$  lies in  $\Phi(q)$  for each  $i$ . Therefore  $G = G/\bigcap_i C_G(M_i)$  lies in  $\langle \Phi(q) \rangle$ , the smallest formation generated by the set  $\Phi(q)$ . This proves (b).

The proof of (c) is essentially the same as the proof of (b). Let  $G = KV$  be the group mentioned in the hypothesis of (c). Let  $T$  be the  $Z_q(G)$ -module which affords the permutation representation on  $H$ . Once again,  $T$  has a decomposition into a direct sum  $T = T_1 + \dots + T_s$  of principal indecomposable  $Z_q(G)$ -modules. Since  $G$  is faithful on  $T$ ,  $V$  is nontrivial on some  $T_i$ , say  $T_1$ . If  $U_1$  is the unique maximal proper  $Z_q(G)$ -submodule of  $T_1$ , then Lemma 3.1 implies  $V$  is nontrivial on  $M = T_1/U_1$ . By Frobenius reciprocity, we again have  $1 < C_M(H) \leq M$ .

Since  $K$  acts faithfully and irreducibly on  $V$ , it follows from Lemma 1.2 of [3] that  $O_p(K) = 1$ , hence  $V = F(G)$ . Since  $V$  is minimal normal in  $G$ , and nontrivial on  $M$ , it is faithful on  $M$ . Lemma 3.2 implies  $G$  is faithful on  $M$ . Since  $q \in \pi(\mathcal{E})$ ,  $G$  is, by definition, an element of  $\Phi(q)$ . This proves (c).

Part (d) is the only statement in Lemma 4.4 which requires the assumption  $\mathcal{E} \ll \mathcal{F}$ . Suppose  $H \in \theta(r)$ ,  $E$  is an  $\mathcal{E}$ -subgroup of  $H$ , and  $M$  is a faithful irreducible  $Z_r(H)$ -module such that  $1 < C_M(O_{r'}(E_{\mathcal{F}(r)})) < M$ . Set  $G = HM$ . By Corollary 3.8,  $F = HC_M(O_{r'}(E_{\mathcal{F}(r)}))$  is an  $\mathcal{F}$ -subgroup of  $G$ , and since  $E \cong EM/M$  is an  $\mathcal{E}$ -subgroup of  $G/M$ ,  $E^* = EC_M(O_{r'}(E_{\mathcal{E}(r)}))$  is an  $\mathcal{E}$ -subgroup of  $G$ . Since  $\mathcal{E} \ll \mathcal{F}$ ,  $F$  cannot avoid  $M$ , hence  $F = G$  is an element of  $\mathcal{F}$ .

Let  $N$  be the intersection of all the conjugates of  $O_{s'}(E^*_{\mathcal{E}(s)})$  in  $G$ . Then  $N \triangleleft G$ , and  $N \cap M \leq E^* \cap M = C_M(N_{r'}(E_{\mathcal{E}(r)})) < M$ . Therefore  $N \cap M = 1$ . This shows that the representation of  $G$  on the cosets of  $O_{s'}(E^*_{\mathcal{E}(s)})$  is faithful on  $M$ . Because  $M = F(G)$ , it follows from Lemma 3.2 that this representation is faithful on  $G$ . By part (c),  $G$  is an element of  $\Phi(s)$  for any  $s$  in  $\pi(\mathcal{E}) - \{r\}$ . Therefore  $H \cong G/M$  is an element of  $\langle \Phi(s) \rangle$ , for  $s$  in  $\pi(\mathcal{E}) - \{r\}$ . Since  $\theta(r)$  is contained in  $\Phi(r)$ , it follows that  $\theta(r) \subseteq \langle \Phi(s) \rangle$  for each  $s$  in the characteristic of  $\mathcal{E}$ . This proves (d).

The next lemma has an elegant proof. This proof was shown to me by Professor E. C. Dade, and it shortens this part of the discussion considerably.

**LEMMA 4.5.** *Let  $A, B$  be two groups and assume the center of  $A$  is the identity. If  $M$  is a faithful  $Z_p(A)$ -module, and  $T$  is a faithful  $Z_p(B)$ -module, then  $M \otimes T$  is a faithful  $Z_p(A \times B)$ -module.*

*Proof.* If  $V$  is a vector space over  $Z_p$ , we let  $GL(V)$  denote the general linear group on  $V$ . Then  $A \times B \leq GL(M) \times GL(T) = C$ ,

so we examine the kernel  $K$  of the representation of  $C$  on  $M \otimes T$ . Let  $m_1, \dots, m_r$  be a  $Z_p$ -basis for  $M$ , and  $t_1, \dots, t_s$  a  $Z_p$ -basis for  $T$ . Then  $\{m_i \otimes t_j \mid 1 \leq i \leq r, 1 \leq j \leq s\}$  is a  $Z_p$ -basis for  $M \otimes T$ . Suppose  $f \times g$  is an element of  $K$ , and

$$\begin{aligned} m_i f &= \sum_k \varphi_{ik} m_k & \text{for each } i, \\ t_j g &= \sum_l \alpha_{jl} t_l & \text{for each } j. \end{aligned}$$

Then  $m_i \otimes t_j = m_i \otimes t_j(f \times g) = (\sum_k \varphi_{ik} m_k) \otimes (\sum_l \alpha_{jl} t_l)$ . By collecting terms, and equating coefficients we see that

$$\varphi_{ik} \alpha_{jl} = \begin{cases} 0 & \text{if } (i, j) \neq (k, l) \\ 1 & \text{if } (i, j) = (k, l). \end{cases}$$

Therefore  $m_i f = \varphi m_i$  for each  $i$ , and  $t_j g = \varphi^{-1} t_j$  for each  $j$ . Therefore  $f$  lies in the center of  $GL(M)$ , and  $g$  lies in the center of  $GL(T)$ .

If  $a \times b \in (A \times B) \cap K$ , it follows, from the assumption that  $Z(A) = 1$ , that we must have  $a = 1$ . This means that the constant  $\varphi$  is the identity in  $Z_p$ , so  $b = 1$ . Therefore  $A \times B$  acts faithfully on  $M \otimes T$ .

**LEMMA 4.6.** *Suppose  $A \in \Phi(p) - \theta(p)$ ,  $B \in \theta(p)$ , and either  $Z(A)$  or  $Z(B)$  is the identity. Then  $A \times B \in \langle \theta(p) \rangle$ , the smallest formation generated by the set  $\theta(p)$ .*

*Proof.* Let  $E$  be an  $\mathcal{E}$ -subgroup of  $A$ , and  $E^*$  an  $\mathcal{E}$ -subgroup of  $B$ . Since  $A \in \Phi(p) - \theta(p)$ , it follows from Lemma 4.4 (a) that  $O_{p'}(E_{\mathcal{E}(p)}) = 1$ . By (2.1), and the definition of  $E_{\mathcal{E}(p)}$ , we see that  $E_{\mathcal{E}(p)}$  has a normal  $p$ -complement. Therefore  $E_{\mathcal{E}(p)}$  is a  $p$ -group. Since  $B \in \theta(p)$ ,  $O_{p'}(E^*_{\mathcal{E}(p)}) > 1$ .

Now  $E \times E^*$  is an  $\mathcal{E}$ -subgroup of  $A \times B$ . We wish to examine  $O_{p'}((E \times E^*)_{\mathcal{E}(p)})$ . Since  $(E \times E^*)/(E_{\mathcal{E}(p)} \times E^*_{\mathcal{E}(p)})$  lies in  $\mathcal{E}(p)$ ,  $(E \times E^*)_{\mathcal{E}(p)}$  is a normal subgroup of  $E \times E^*$  contained in  $E_{\mathcal{E}(p)} \times E^*_{\mathcal{E}(p)}$ . We define a subgroup  $W$  of  $E^*_{\mathcal{E}(p)}$  by:

$$W = \{e \in E^*_{\mathcal{E}(p)} \mid \exists t \in (E \times E^*)_{\mathcal{E}(p)} \ni t = d \times e, \text{ and } d \in E_{\mathcal{E}(p)}\}.$$

In other words,  $W$  is just the collection of all elements of  $E^*_{\mathcal{E}(p)}$  which appear as components of elements of  $(E \times E^*)_{\mathcal{E}(p)}$ .  $W$  is clearly a normal subgroup of  $E^*$  which is contained in  $E^*_{\mathcal{E}(p)}$ . By construction,  $(E \times E^*)_{\mathcal{E}(p)}$  is a subgroup of  $E \times W$ , hence it follows that  $E^*/W$  lies in  $\mathcal{E}(p)$ . Therefore  $W = E^*_{\mathcal{E}(p)}$ .

Now if  $e$  is any element of  $O_{p'}(W)$ , then there is an element  $d$  in  $E_{\mathcal{E}(p)}$  such that  $t = d \times e$  lies in  $(E \times E^*)_{\mathcal{E}(p)}$ . Since  $E_{\mathcal{E}(p)}$  is a  $p$ -group, by taking an appropriate power of  $t$ , we see that  $e$  lies in



$(E \times E^*)_{\mathcal{E}(p)}$ . Therefore,

$$(4.6) \quad O_{p'}(E_{\mathcal{E}(p)}^*) \leq O_{p'}((E \times E^*)_{\mathcal{E}(p)}) \leq O_{p'}(E_{\mathcal{E}(p)} \times E_{\mathcal{E}(p)}^*) = O_{p'}(E_{\mathcal{E}(p)}^*) .$$

By assumption,  $A$  has a faithful irreducible  $Z_p(A)$ -module  $M$ , and  $B$  has a faithful irreducible  $Z_p(B)$ -module  $T$  such that  $1 < C_T(O_{p'}(E_{\mathcal{E}(p)}^*)) < T$ . By Lemma 4.5,  $M \otimes T$  is a faithful  $Z_p(A \times B)$ -module.

Since the restriction of  $M \otimes T$  to  $B$  is isomorphic to a multiple of  $T$ , if we let  $U$  be any  $Z_p(A \times B)$ -composition factor of  $M \otimes T$ , then the restriction of  $U$  to  $B$  is also a multiple of  $T$ . Because of (4.6), we have

$$(4.7) \quad 1 < C_U(O_{p'}(E_{\mathcal{E}(p)}^*)) = C_U(O_{p'}((E \times E^*)_{\mathcal{E}(p)})) < U ,$$

for each  $U$ .

Let  $G = (A \times B)/C_{A \times B}(U)$ , then  $\bar{E} = (E \times E^*)C_{A \times B}(U)/C_{A \times B}(U)$  is an  $\mathcal{E}$ -subgroup of  $G$ . It follows from Lemma 3.3, and (4.7) that  $O_{p'}(\bar{E}_{\mathcal{E}(p)}) > 1$ . By (4.7) and the fact that  $G$  is an element of  $\mathcal{F}$ , it follows from Lemma 4.4 (a) that  $G$  lies in  $\theta(p)$ .

Let  $V$  be the direct sum of all  $Z_p(A \times B)$ -composition factors occurring in a composition series of  $M \otimes T$ . By Lemma 1.2 of [3],  $F(A \times B) = F(A) \times F(B)$  is a  $p'$ -group, so the fact that  $M \otimes T$  is faithful implies the restriction of  $V$  to  $F(A \times B)$  is also faithful. By Lemma 3.2,  $V$  is a faithful completely reducible  $Z_p(A \times B)$ -module. Therefore  $A \times B = (A \times B)/\bigcap_U C_{A \times B}(U)$  lies in  $\langle \theta(p) \rangle$ , and this completes the proof.

**COROLLARY 4.7.** *If  $\mathcal{E} \ll \mathcal{F}$ , and there is an element  $B$  in  $\theta(p)$  such that  $Z(B) = 1$ , then  $\langle \Phi(p) \rangle \subseteq \langle \Phi(q) \rangle$  for each  $q$  in  $\pi(\mathcal{E})$ .*

*Proof.* By Lemma 4.7, if  $A \in \Phi(p) - \theta(p)$ , then  $A \times B$  lies in  $\langle \theta(p) \rangle$ . Therefore  $A$  is an element of  $\langle \theta(p) \rangle$ , so  $\langle \Phi(p) \rangle = \langle \theta(p) \rangle$ . By Lemma 4.4 (d), if  $q$  is a prime in the characteristic of  $\mathcal{E}$ , then  $\theta(p) \subseteq \langle \Phi(q) \rangle$ , hence  $\langle \Phi(p) \rangle \subseteq \langle \Phi(q) \rangle$ .

**THEOREM 4.8.** *Suppose  $\mathcal{E} \ll \mathcal{F}$ , and  $\theta(p)$ ,  $\theta(r)$  are nonempty for two primes  $p$ ,  $r$  in the characteristic of  $\mathcal{E}$ . Let  $\{\mathcal{F}(q)\}$  be the unique minimal local definition of  $\mathcal{F}$ . Then*

$$\mathcal{F}(q) = \langle \Phi(q) \rangle \quad \text{for each } q \text{ in } \pi(\mathcal{E}) .$$

*Proof.* We define a new formation  $\mathcal{F}^*$  by setting

$$\begin{aligned} \langle \Phi(q) \rangle &= \mathcal{F}^*(q) & \text{for } q \in \pi(\mathcal{E}) , \\ \mathcal{F}(q) &= \mathcal{F}^*(q) & \text{for } q \in \pi(\mathcal{E})' . \end{aligned}$$

Since  $\mathcal{E} \ll \mathcal{F}$ ,  $\mathcal{F}^*(q)$  is contained in  $\mathcal{F}(q)$  for each  $q$ , by Theorem 4.3. Therefore  $\mathcal{F}^* \subseteq \mathcal{F}$ .

Let  $\Phi^*(q)$  be the set specified in Definition 4.2 for the formation  $\mathcal{F}^*$ . Since  $\mathcal{F}^* \subseteq \mathcal{F}$ ,  $\Phi^*(s) \subseteq \Phi(s) \subseteq \mathcal{F}^*(s)$  for each  $s$  in  $\pi(\mathcal{E})$ . Therefore Theorem 4.3 implies  $\mathcal{E}$  is strongly contained in  $\mathcal{F}^*$ .

Suppose  $\mathcal{F}^* \subset \mathcal{F}$ . If  $G$  is an element of minimal order in  $\mathcal{F} - \mathcal{F}^*$ , then  $G$  is a semi-direct product,  $G = F^*M$ , where  $F^*$  is an  $\mathcal{F}^*$ -subgroup of  $G$ .  $F^*$  acts faithfully and irreducibly on the elementary abelian  $t$ -group  $M$ . Since  $G$  lies in  $\mathcal{F} - \mathcal{F}^*$ ,  $F^* \cong G/C_G(M)$  lies in  $\mathcal{F}(t) - \mathcal{F}^*(t)$ . For  $t$  in  $\pi(\mathcal{E})'$ , this contradicts the definition of  $\mathcal{F}^*(t)$ , hence  $t$  is a prime in the characteristic of  $\mathcal{E}$ .

Since  $\mathcal{E} \ll \mathcal{F}^*$ ,  $F^*$ , as an  $\mathcal{F}^*$ -subgroup of  $G$ , must contain some  $\mathcal{E}$ -subgroup  $E$  of  $G$ . Thus for any prime  $q$ , the permutation representation on the cosets of  $O_{q'}(E_{\mathcal{E}(q)})$  is faithful. By Lemma 4.4 (c),  $G$  lies in  $\Phi(q)$  for each  $q$  in  $\pi(\mathcal{E}) - \{t\}$ .

By Lemma 4.4 (d),  $\theta(q) \subseteq \mathcal{F}^*(s)$  for each  $q, s$  in  $\pi(\mathcal{E})$ , hence if  $G$  lies in  $\theta(q)$  for some  $q$  in  $\pi(\mathcal{E}) - \{t\}$ , then  $G$  lies in  $\mathcal{F}^*(t)$ . Suppose, therefore, that  $G \in \Phi(q) - \theta(q)$  for each  $q$  in  $\pi(\mathcal{E}) - \{t\}$ . One of the primes  $p, r$  is unequal to  $t$ , say  $p$ . Then  $G$  is an element of  $\Phi(p) - \theta(p)$  such that  $Z(G) = 1$ . Since  $\theta(p)$  is nonempty, there is a group  $H$  in  $\theta(p)$ , so by Lemma 4.6,  $G \times H$  is an element of  $\mathcal{F}^*(t)$ , hence in each case  $F^*$ , as a factor group of  $G$ , must lie in  $\mathcal{F}^*(t)$ , a contradiction.

Therefore  $\mathcal{F}^* = \mathcal{F}$ . Since  $\{\mathcal{F}^*(q)\}$  forms a local definition for  $\mathcal{F}^*$ , we have  $\Phi(q) \subseteq \mathcal{F}(q) \subseteq \mathcal{F}^*(q)$  for each  $q$  in the characteristic of  $\mathcal{E}$ , so the proof of Theorem 4.8 is complete.

Because we could not relax the hypothesis on the  $\theta(p)$ 's, we thought it appropriate to include

**THEOREM 4.9.** *Suppose  $\mathcal{E} \ll \mathcal{F}$ , and  $p \in \pi(\mathcal{E})$ .  $\theta(p)$  is empty if, and only if, for each element  $F$  of  $\mathcal{F}$ , an  $\mathcal{E}$ -subgroup  $E$  of  $F$  either covers or avoids each  $p$ -chief factor of  $F$ .*

*Proof.* Suppose an  $\mathcal{E}$ -subgroup of  $F$  either covers or avoids each  $p$ -chief factor of  $F$  for every  $F$  in  $\mathcal{F}$ . Let  $F \in \Phi(p)$ , and let  $E$  be an  $\mathcal{E}$ -subgroup of  $F$ . Let  $M$  be a faithful irreducible  $Z_p(F)$ -module such that  $C_M(O_{p'}(E_{\mathcal{E}(p)})) > 1$ . By Corollary 3.8, and the fact that  $\mathcal{E} \ll \mathcal{F}$ ,  $F^* = FC_M(O_{p'}(F_{\mathcal{F}(p)}))$  is an  $\mathcal{F}$ -subgroup of  $FM$ , acts irreducibly on  $M$ , and does not avoid  $M$ . Therefore  $F^* = FM$ ;  $M$  is a  $p$ -chief factor of  $G = FM$  which is not avoided by the  $\mathcal{E}$ -subgroup  $E^* = EC_M(O_{p'}(E_{\mathcal{E}(p)}))$  of  $G$ . Therefore  $O_{p'}(E_{\mathcal{E}(p)})$  centralizes  $M$ , so  $\theta(p)$  is empty.

Suppose  $\theta(p)$  is empty,  $F$  lies in  $\mathcal{F}$ , and  $E$  is an  $\mathcal{E}$ -subgroup of

$F$  which does not avoid the  $p$ -chief factor  $K = L/N$  of  $F$ . Let  $\bar{F} = F/C_F(K)$ . Our first assertion is that the semi-direct product  $\bar{F}K$  lies in  $\mathcal{F}$  (the action of  $\bar{F}$  on  $K$  is the action induced by the action of  $F$  on  $K$ ). By Corollary 3.8,  $\bar{F}^* = \bar{F}C_K(O_{p'}(\bar{F}_{\mathcal{F}(p)}))$  is an  $\mathcal{F}$ -subgroup of  $\bar{F}K$ . Therefore  $\bar{F}^*$  acts irreducibly on  $K$ , and  $\bar{F}^*/C_{\bar{F}^*}(K)$  is isomorphic to  $\bar{F}$ . Since  $F$  is in  $\mathcal{F}$ ,  $\bar{F}$  is in  $\mathcal{F}(p)$ . By Theorem 3.4,  $\bar{F}^*$  covers  $K$ , hence  $\bar{F}K$  is an element of  $\mathcal{F}$ .

$\bar{E} = EC_F(K)/C_F(K)$  is an  $\mathcal{E}$ -subgroup of  $\bar{F}$ . By Lemma 3.3,  $\bar{E}_{\mathcal{E}(p)} = E_{\mathcal{E}(p)}C_F(K)/C_F(K)$ . Because  $E_{\mathcal{E}(p)}$  has a normal  $p$ -complement, it follows that  $O_{p'}(\bar{E}_{\mathcal{E}(p)}) = O_{p'}(E_{\mathcal{E}(p)})C_F(K)/C_F(K)$ . Therefore

$$C_K(O_{p'}(E_{\mathcal{E}(p)})) = C_K(O_{p'}(\bar{E}_{\mathcal{E}(p)})) .$$

$O_{p'}(E_{\mathcal{E}(p)})$  centralizes every  $p$ -section of  $E$ , hence it centralizes  $(L \cap E)N/N$ , a nonidentity subgroup of  $K$ . Therefore,

$$1 < C_K(O_{p'}(\bar{E}_{\mathcal{E}(p)})) \leq K .$$

Thus  $\bar{F}$  lies in  $\Phi(p)$ .  $\theta(p)$  is empty, so it follows from Lemma 4.4 that  $\bar{E}_{\mathcal{E}(p)}$  is a  $p$ -group. If  $U$  is any  $\bar{E}$ -composition factor  $K$ , then  $\bar{E}_{\mathcal{E}(p)}$  centralizes  $U$  since it is contained in  $O_p(\bar{E})$ . Upon taking inverse images in  $E$ , we see that  $C_E(U)$  contains  $E_{\mathcal{E}(p)}$ , so that  $E/C_E(U)$  lies in  $\mathcal{E}(p)$ . By Theorem 3.4,  $E$  covers  $U$ , hence  $E$  also covers all of  $K$ .

**5. Structure theorems.** Throughout this section we shall make the following assumptions:

*Hypothesis I.*  $\mathcal{E}$  and  $\mathcal{F}$  are saturated formations such that

(a)  $\mathcal{N} \subseteq \mathcal{E} \ll \mathcal{F}$ ;

(b) there is a nonempty formation  $\mathcal{T}$  such that  $\mathcal{E} = \{G \in \mathcal{S} \mid G/F(G) \in \mathcal{T}\}$ .

Our first theorem says that the structure of  $\mathcal{F}$  is essentially the same as the structure of  $\mathcal{E}$  in that there exists a formation  $\mathcal{U}$  such that  $\mathcal{F} = \{G \in \mathcal{S} \mid G/F(G) \in \mathcal{U}\}$ .

First we prove two lemmas.

**LEMMA 5.1.** *Let  $\mathcal{T}$  be a nonempty formation. Let  $\mathcal{E}$  be the formation locally defined by setting  $\mathcal{E}(p) = \mathcal{T}$  for each  $p$ . Let  $\mathcal{E} = \{G \in \mathcal{S} \mid G/F(G) \in \mathcal{T}\}$ . Then  $\mathcal{E} = \mathcal{E}$ .*

*Proof.* Suppose  $G \in \mathcal{E}$ . Because  $O_{p',p}(G)$  contains  $F(G)$ ,  $G/F(G) \in \mathcal{T}$  implies that, for each  $p$ ,  $G/O_{p',p}(G)$  lies in  $\mathcal{T}$ . By (2.1),  $G$  is an element of  $\mathcal{E}$ .

If  $G$  is in  $\mathcal{G}$ , then  $G/O_{p',p}(G)$  is in  $\mathcal{F}$  for each prime  $p$ . Since  $\mathcal{F}$  is a formation, and  $F(G) = \bigcap_p O_{p',p}(G)$ ,  $G/F(G)$  lies in  $\mathcal{F}$ . From this it follows that  $\mathcal{G} = \mathcal{E}$ .

LEMMA 5.2. *If  $G$  is a group with  $\mathcal{E}$ -subgroup  $E$ , and  $E$  lies in  $\mathcal{F}$ , then  $E = G$ . If  $\{\mathcal{F}(q)\}$  is any local definition for  $\mathcal{F}$ , and  $G$  is an element of  $\mathcal{F}$  such that  $O_q(G) = 1$ , then  $G$  lies in  $\mathcal{F}(q)$ .*

*Proof.* We prove our first statement by induction on the nilpotent length of  $G$ . If  $G$  is nilpotent, then  $G$  is already in  $\mathcal{E}$ , so there is nothing to prove. Since  $E$  lies in  $\mathcal{F}$ ,  $EF(G)$  lies in  $\mathcal{E}$ . Since  $E$  is an  $\mathcal{E}$ -subgroup of  $G$ ,  $E$  covers  $U/U_\#$  for any subgroup  $U$  of  $G$  which contains  $E$ . Therefore  $E$  contains  $F(G)$ . Set  $\bar{G} = G/F(G)$ , then  $\bar{E} = E/F(G)$  is an  $\mathcal{E}$ -subgroup of  $\bar{G}$ . By induction,  $\bar{E} = \bar{G}$ , hence  $E = G$ .

Let  $\{\mathcal{F}(q)\}$  be any local definition for  $\mathcal{F}$ . Suppose  $G \in \mathcal{F}$ , and  $O_p(G) = 1$ . Let  $M$  be the regular  $Z_p(G)$ -module, and form the semi-direct product  $G_1 = GM$ . Since  $G$  lies in  $\mathcal{F}$ ,  $G_1$  lies in  $\mathcal{E}$ . It is a simple consequence of strong containment that  $\mathcal{E} \subseteq \mathcal{F}$ , hence  $G_1 \in \mathcal{F}$ . Since  $O_p(G) = 1$ , and  $G$  acts faithfully on  $M$ ,  $M = O_{p',p}(G_1)$ . Therefore  $G_1/M$  is an element of  $\mathcal{F}(p)$ . Since  $G$  is isomorphic to  $G_1/M$ ,  $G$  lies in  $\mathcal{F}(p)$ . This completes the proof of the lemma.

THEOREM 5.3. *Suppose  $\mathcal{E}$  and  $\mathcal{F}$  satisfy Hypothesis I. Then there is a formation  $\mathcal{U}$  containing  $\mathcal{F}$ , such that*

$$\mathcal{F} = \{G \in \mathcal{F} \mid G/F(G) \in \mathcal{U}\}.$$

*Proof.* If  $\mathcal{E} = \mathcal{F}$ , the formation  $\mathcal{F}$  satisfies the requirements of the theorem. Assume  $\mathcal{E} \subset \mathcal{F}$ . By Lemma 5.1, the family  $\{\mathcal{E}(p) \mid \mathcal{E}(p) = \mathcal{F} \text{ for each } p\}$  is a local definition for  $\mathcal{E}$ . We shall use this family for the local definition of  $\mathcal{E}$  throughout the remainder of the proof. Let  $\{\mathcal{F}(q)\}$  be the unique minimal local definition of  $\mathcal{F}$ . A second application of Lemma 5.1 says that we need only show  $\mathcal{F}(r) = \mathcal{F}(s)$  for each pair of primes  $r, s$ . In view of Theorem 4.8 and Corollary 4.7, we begin by examining the set  $\theta(s)$  for various primes  $s$ . Since  $\mathcal{N} \subseteq \mathcal{E}$ ,  $\pi(\mathcal{E})$  contains all primes, so  $\theta(s)$  and  $\Phi(s)$  are defined for each  $s$ .

Let  $G$  be an element of minimal order in  $\mathcal{F} - \mathcal{E}$ . By minimality, if  $N$  is any normal nonidentity subgroup of  $G$ , then  $G/N$  lies in  $\mathcal{E}$ . Therefore  $G_\#$  is the unique minimal normal subgroup of  $G$ . If  $E$  is an  $\mathcal{E}$ -subgroup of  $G$ , then  $EG_\# = G$ , and  $E \cap G_\# = 1$ . Furthermore,  $E$  acts faithfully and irreducibly on  $G_\#$ . We set  $M = G_\#$ , and note that  $M$  is an elementary abelian  $p$ -group for some prime  $p$ .

Since  $G$  is not in  $\mathcal{E}$ , Lemma 5.2 implies  $E$  is not an element of  $\mathcal{F}$ . Therefore  $F(E) \geq E_{\mathcal{F}} > 1$ . But it follows from Lemma 1.2 of [3] that  $F(E)$  is a  $p'$ -group, so for some prime  $r$  distinct from  $p$ ,  $E_{\mathcal{F}}$  has a nonidentity normal Sylow  $r$ -subgroup  $R$ . If  $s$  is a prime distinct from  $r$ , then

$$O_{s'}(E_{\mathcal{E}(s)}) = O_{s'}(E_{\mathcal{F}}) \geq R > 1.$$

Because  $M$  is the unique minimal normal subgroup of  $G$ , and  $E \cap M = 1$ , the permutation representation on the cosets of  $O_{s'}(E_{\mathcal{E}(s)})$  is faithful for each  $s$ . By Lemma 4.4,  $G$  lies in  $\theta(s)$  for each prime  $s$  distinct from  $r$  and  $p$ . Since  $E$  is faithful and irreducible on  $M$ , the center of  $G$  is trivial.

Now fix a prime  $s \neq r, p$ . Then  $G$  is in  $\theta(s)$ , so there exists a faithful irreducible  $Z_s(G)$ -module  $J$  such that  $1 < C_J(O_{s'}(E_{\mathcal{E}(s)})) < J$ . We let  $G^*$  be the semi-direct product  $GJ$ . Since  $E$  is isomorphic to an  $\mathcal{E}$ -subgroup of  $G^*/J$ , it follows from Lemma 2.7 and Corollary 3.8 that  $E^* = EC_J(O_{s'}(E_{\mathcal{E}(s)}))$  is an  $\mathcal{E}$ -subgroup of  $G^*$ . An  $\mathcal{F}$ -subgroup of  $G^*$  covers  $G^*/J$  since  $G$  lies in  $\mathcal{F}$ ; it cannot avoid  $J$  because  $\mathcal{E} \ll \mathcal{F}$ . Therefore  $G^*$  lies in  $\mathcal{F}$ . Because  $E$  is a quotient group of  $E^*$ , and  $E$  is not in  $\mathcal{F}$ ,  $E^*$  is not in  $\mathcal{F}$ , hence

$$1 < (E^*)_{\mathcal{F}} = (E^*)_{\mathcal{E}(p)} \leq E_{\mathcal{F}} C_J(O_{s'}(E_{\mathcal{E}(s)})).$$

$(E^*)_{\mathcal{F}}$  is a  $p'$ -group because  $E_{\mathcal{F}}$  is a subgroup of the  $p'$ -group  $F(E)$ , and  $s$  is not equal to  $p$ . The permutation representation on the cosets of  $(E^*)_{\mathcal{F}}$  is faithful since  $J$  is the unique minimal normal subgroup of  $G^*$ , and  $(E^*)_{\mathcal{F}} \cap J \leq C_J(O_{s'}(E_{\mathcal{E}(s)})) < J$ . It follows from parts (a) and (c) of Lemma 4.4 that  $G^*$  lies in  $\theta(p)$ . By construction, the center of  $G^*$  is trivial, hence we have established:

(5.1) If  $s \neq r$ , then there is a group  $X$  in  $\theta(s)$  such that,  $Z(X) = 1$ .

We can now apply the results of § 4. The characteristic of  $\mathcal{E}$  contains all primes, so by Theorem 4.8, and (5.1),  $\mathcal{F}(s) = \langle \Phi(s) \rangle$  for each prime  $s$ . By Corollary 4.7, we have

$$(5.2) \quad \begin{aligned} \mathcal{F}(s) &= \mathcal{F}(q) && \text{for } s, q \text{ in } r', \\ \mathcal{F}(s) &\subseteq \mathcal{F}(r) && \text{for each } s. \end{aligned}$$

For  $s \neq r$ , we set  $\mathcal{U} = \mathcal{F}(s)$ . The final step in the proof will be to show  $\Phi(r) \subseteq \mathcal{U}$ .

By part (d) of Lemma 4.4,  $\theta(r) \subseteq \mathcal{F}(s)$  for each  $s$ , so  $\theta(r) \subseteq \mathcal{U}$ . Suppose  $H \in \Phi(r) - \theta(r)$ , and  $E$  is an  $\mathcal{E}$ -subgroup of  $H$ . Then it follows from Lemma 4.4 that  $E_{\mathcal{F}}$  is an  $r$ -group.

If  $E_{\mathcal{F}} = 1$ , then  $E$  is in  $\mathcal{F}$ . By Lemma 5.2,  $E = H$ , and if  $s$  is

any prime not dividing  $r|H|$ ,  $O_s(H) = 1$ , so  $H$  lies in  $\mathcal{F}(s) = \mathcal{U}$ .

Suppose  $E_{\mathcal{F}} > 1$ . Since  $H$  has a faithful irreducible  $Z_r(H)$ -module,  $O_r(H) = 1$ , so the permutation representation on the cosets of  $E_{\mathcal{F}}$  is faithful. Since  $H$  is in  $\Phi(r)$ ,  $H$  lies in  $\mathcal{F}$ . Thus if  $s$  is a prime which does not divide the order of  $H$ , it follows from part (b) of Lemma 4.4 that  $H$  lies in  $\langle \Phi(s) \rangle$ . Therefore

$$\Phi(r) \subseteq \mathcal{U} \subseteq \mathcal{F}(r) = \langle \Phi(r) \rangle.$$

Since  $\mathcal{U} = \mathcal{F}(s)$  for each  $s$ , Lemma 5.1 says that

$$\mathcal{F} = \{G \in \mathcal{S} \mid G/F(G) \in \mathcal{U}\}.$$

The fact that  $\mathcal{U}$  contains  $\mathcal{F}$  is a consequence of part (b) of Lemma 4.4.

We are interested in finding formations which are maximal in the partial ordering  $\ll$ . Since  $\mathcal{E} \ll \mathcal{F}$  implies  $\mathcal{E} \subseteq \mathcal{F}$ , we shall assume  $\mathcal{E} \subset \mathcal{F}$ , as well as Hypothesis I. Since  $\mathcal{E} = \{G \in \mathcal{S} \mid G/F(G) \in \mathcal{F}\}$ , we fix our local definition for  $\mathcal{E}$  by setting  $\mathcal{E}(p) = \mathcal{F}$  for each  $p$ . We assume that  $\{\mathcal{F}(p)\}$  is the minimal local definition for  $\mathcal{F}$ . By the proof of Theorem 5.3, there is a formation  $\mathcal{U}$ , containing  $\mathcal{F}$ , such that  $\mathcal{F}(p) = \mathcal{U}$  for each  $p$ . Since  $\mathcal{E} \subset \mathcal{F}$ , we must have  $\mathcal{F} \subset \mathcal{U}$ .

Before stating our main theorem, we prove several lemmas. The proof of Lemma 5.5 contains the essential construction used in the proof of the main theorem.

**LEMMA 5.4.** *Let  $G$  be a group, and  $1 < H \leq G$ . Assume that the permutation representation of  $G$  on the cosets of  $H$  is faithful. If  $M$  is the  $Z_p(G)$ -module which affords this representation, set  $U = \bigcap_{g \in G} C_M(H)g$ . Then  $U$  is a  $Z_p(G)$ -submodule of  $M$ , and  $M/U$  is a faithful  $Z_p(G)$ -module.*

*Proof.* We can let the cosets of  $H$  in  $G$  be a  $Z_p$ -basis for  $M$ , i.e., let  $M = Z_p \cdot H + Z_p \cdot Hg_2 + \cdots + Z_p \cdot Hg_s$ , where  $s = [G:H]$ , and the operation of  $G$  on  $M$  is by right multiplication.

For each  $g$  in  $G$ ,  $C_M(H)g = C_M(H^g)$ , hence  $U = C_M(\bigcup_{g \in G} H^g)$ . In other words, if  $N$  is the normal closure of  $H$  in  $G$ , then  $U = C_M(N)$ . Since  $N$  is normal in  $G$ ,  $U$  is a  $Z_p(G)$ -submodule of  $M$ .

Let  $\mathfrak{D}_1, \dots, \mathfrak{D}_m$  be the orbits of the cosets  $Hg_i$  under action by  $N$ . Since  $N \triangleleft G$ ,  $G$  permutes these orbits transitively, thus all orbits have the same number of elements  $[N:H]$ . Since  $H$  is not normal in  $G$ , it follows that  $[N:H] \geq 3$ .

For each  $i$ , let  $\mathfrak{D}_i = \{Hg_{i1}, \dots, Hg_{ir}\}$  where  $r = [N:H]$ . Set  $u_i = \sum_{j=1}^r Hg_{ij}$ . It is a standard result that the elements  $u_i$  of  $M$  form a  $Z_p$ -basis for  $C_M(N)$ . Hence a  $Z_p$ -basis for  $M/U$  consists of the cosets:

$$\{U + Hg_{ij} \mid 1 \leq i \leq m, 1 \leq j \leq r-1\}.$$

Suppose  $x$  lies in the kernel of the representation of  $G$  on  $M/U$ . Then for  $1 \leq i \leq m$ , and  $1 \leq j \leq r-1$  we have

$$Hg_{ij}x - Hg_{ij} = \sum_{k=1}^m \alpha_k u_k,$$

where the  $\alpha_k$  are suitably chosen elements of  $Z_p$ . Since  $Hg_{ij}x$  is a coset, and each  $u_k$  is a sum of at least three distinct cosets, we must have  $\alpha_k = 0$  for each  $k$ . Since  $x$  permutes the orbits of  $N$ , it follows from the fact that  $x$  fixes  $Hg_{i1}$  that  $x$  fixes each orbit  $\mathfrak{D}_i$ . This, together with our above remarks show that  $x$  lies in the kernel of  $M$ . Since  $M$  is faithful, so is  $M/U$ .

**LEMMA 5.5.** *Let  $\mathcal{E}$  and  $\mathcal{F}$  satisfy Hypothesis I,  $\mathcal{E} \subset \mathcal{F}$ , and suppose there is an element  $H$  in  $\mathcal{U} \cap \mathcal{E} - \mathcal{F}$  such that  $O_p(H) = 1$ . Then*

$$\mathcal{U} \supseteq \{G \in \mathcal{F} \mid F(G) \text{ is a } p\text{-group}\}.$$

*Proof.* Let  $G$  be an element of  $\mathcal{F}$  such that  $F(G)$  is a  $p$ -group. Let  $E$  be an  $\mathcal{E}$ -subgroup of  $G$ , and assume  $O_{p'}(E_{\mathcal{F}}) > 1$ . Since  $F(G)$  is a  $p$ -group,  $O_{p'}(G) = 1$ , so the permutation representation on the cosets of  $O_{p'}(E_{\mathcal{F}})$  is faithful. Let  $M$  be the  $Z_p(G)$ -module which gives this representation, and let  $U = C_M(N)$ , where  $N$  is the normal closure in  $G$  of  $O_{p'}(E_{\mathcal{F}})$ . By Lemma 5.4, the  $Z_p(G)$ -module  $M^* = M/U$  is faithful. Let  $X = GM^*$ . Then  $F(X) = F(G)M^*$ , so  $X/F(X)$  is isomorphic to  $G/F(G)$ . Since  $G$  is in  $\mathcal{F}$ , so is  $X$ . Now  $E^* = EC_{M^*}(O_{p'}(E_{\mathcal{F}}))$  is an  $\mathcal{E}$ -subgroup of  $X$ . Since  $U$  centralizes  $O_{p'}(E_{\mathcal{F}})$ , we have  $C_{M^*}(O_{p'}(E_{\mathcal{F}})) = C_M(O_{p'}(E_{\mathcal{F}}))/U$ . Let  $T$  be the intersection of all conjugates of  $E^*$  in  $X$ . Since  $E^* \cap M^* = C_{M^*}(O_{p'}(E_{\mathcal{F}}))$ , it follows that

$$T \cap M^* = C_{M^*}(N) = 1.$$

But if  $K$  is a normal subgroup of  $X$ , whose intersection with  $M^*$  is trivial, then  $K$  centralizes  $M^*$ .  $C_X(M^*) = C_G(M^*)M^*$ , so the fact that  $G$  is faithful on  $M^*$  says that  $M^*$  is self-centralizing in  $X$ , consequently  $K = 1$ . From this we have  $T = 1$ , so the representation of  $X$  on the conjugates of  $E^*$  is faithful. Certainly it also follows that the representation of  $X$  on  $E_{\mathcal{F}}^*$  is faithful, so if  $t$  is any prime which does not divide the order of  $X$ , then  $X \in \langle \phi(t) \rangle = \mathcal{U}$ , by Lemma 4.4. Therefore  $G$ , as a factor group of  $X$ , also lies in  $\mathcal{U}$ .

We may now assume  $O_{p'}(E_{\mathcal{F}}) = 1$ , so  $E_{\mathcal{F}}$  is a  $p$ -group. It is time to use  $H$ . If  $R = I_1 \dot{+} \cdots \dot{+} I_t$  is a decomposition of the regular  $Z_p(H)$ -module into its principal indecomposable constituents, we let

$K_j = I_j/U_j$  for each  $j$ . Here  $U_j$  is the unique maximal submodule of  $I_j$ . Since  $R$  is faithful, and  $F(H)$  is a  $p'$ -group, it follows from Lemmas 3.1 and 3.2 that  $R^* = K_1 + \cdots + K_t$  is faithful. Since  $H$  is not an element of  $\mathcal{T}$ , it follows that for some  $j$ ,  $B = H/C_H(K_j)$  does not lie in  $\mathcal{T}$ . Let  $K = K_j$ , then  $B$  is an element of  $\mathcal{U} \cap \mathcal{E} - \mathcal{T}$  which has  $K$  as a faithful irreducible  $Z_p(B)$ -module.

Let  $S$  be the regular  $Z_p(G)$ -module, and set  $W = (B \times G)(K \otimes S)$ , where the action of  $B \times G$  on  $K \otimes S$  by conjugation is the canonical action of  $B \times G$  on the module  $K \otimes S$ . To show  $G$  lies in  $\mathcal{U}$ , it is sufficient to show  $W$  is in  $\mathcal{U}$ , since  $G$  is a factor group of  $W$ .

Since  $B$  has a faithful irreducible  $Z_p(B)$ -module,  $F(B)$  is a  $p'$ -group. Therefore if  $N$  is the kernel of the representation of  $F(B \times G)$  on  $K \otimes S$ , then  $N = N \cap F(B) \times N \cap F(G)$ . Since  $B$  and  $G$  act faithfully on  $K \otimes S$ ,  $F(B \times G)$  is faithful on  $K \otimes S$ . By Lemma 3.2,  $K \otimes S$  is faithful. Therefore  $O_p(W) = 1$ , so we have  $F(W) = F(G)(K \otimes S)$ . Since  $W/F(W)$  is isomorphic to  $B \times (G/F(G))$ , an element of  $\mathcal{U}$ , it follows that  $W$  lies in  $\mathcal{T}$ .

An  $\mathcal{E}$ -subgroup of  $B \times G$  is  $B \times E$ , so

$$E^* = (B \times E)C_{K \otimes S}(O_{p'}((B \times E)_{\mathcal{T}}))$$

is an  $\mathcal{E}$ -subgroup of  $W$ . Since  $B \in \mathcal{U} \cap \mathcal{E} - \mathcal{T}$ ,  $1 < B_{\mathcal{T}} \leq F(B)$ , so  $B_{\mathcal{T}}$  is a  $p'$ -group. By assumption  $E_{\mathcal{T}}$  is a  $p$ -group. Let  $V$  be the collection of elements of  $B_{\mathcal{T}}$  which appear as components of elements of  $(B \times E)_{\mathcal{T}}$ . Then  $V$  is a normal subgroup of  $B$ , and  $(B \times E)_{\mathcal{T}} \leq V \times E$ . Since  $B/V$  is isomorphic to  $(B \times E)/(V \times E)$ ,  $B/V$  lies in  $\mathcal{T}$ , hence  $V = B_{\mathcal{T}}$ . If  $v \in V$ , then for some  $u$  in  $E_{\mathcal{T}}$ ,  $v \times u$  lies in  $(B \times E)_{\mathcal{T}}$ . Since  $B_{\mathcal{T}}$  is a  $p'$ -group, and  $E_{\mathcal{T}}$  is a  $p$ -group,  $v$  is equal to a power of  $v \times u$ . Therefore

$$(5.3) \quad B_{\mathcal{T}} = O_{p'}((B \times E)_{\mathcal{T}}).$$

Now the restriction of  $K \otimes S$  to  $B_{\mathcal{T}}$  is a multiple of the restriction of  $K$  to  $B_{\mathcal{T}}$ , so it follows from Lemma 3.1 that  $C_{K \otimes S}(B_{\mathcal{T}}) = 1$ . By (5.3),  $B \times E$  is an  $\mathcal{E}$ -subgroup of  $W$ .

Let  $t$  be a prime which does not divide  $|W|$ . The fact that the representation of  $W$  on the cosets of  $B \times E$  is faithful implies that the same is true of the representation of  $W$  on the cosets of  $(B \times E)_{\mathcal{T}}$ . By part (b) of Lemma 4.4,  $W$  is an element of  $\langle \Phi(t) \rangle = \mathcal{U}$ . Therefore  $G$  lies in  $\mathcal{U}$  in every case, so the proof of Lemma 5.5 is complete.

Because of the preceding lemma, we give

**DEFINITION 5.6.** Let  $\eta = \{p \mid \mathcal{U} \cap \mathcal{E} - \mathcal{T} \text{ contains a group } H \text{ with } O_p(H) = 1\}$ . We call a prime  $p$  *special* if  $p$  is an element of  $\eta'$ .



LEMMA 5.7. *If  $\mathcal{E}$  and  $\mathcal{F}$  satisfy Hypothesis I, and  $\mathcal{E} \subset \mathcal{F}$ , then there is at most one special prime.*

*Proof.* Let  $G$  be an element of minimal order in  $\mathcal{F} - \mathcal{E}$ . Then  $G$  is the semi-direct product  $EM$  where  $E$  is an  $\mathcal{E}$ -subgroup of  $G$ , and  $M$  is the unique minimal normal subgroup of  $G$ .

Since  $E$  acts faithfully and irreducibly on  $M$ ,  $M = F(G)$ . By Lemma 5.2,  $E$  is not an element of  $\mathcal{F}$ , and since  $G \in \mathcal{F}$ ,  $G/F(G)$  lies in  $\mathcal{U}$ , so  $E \in \mathcal{U} \cap \mathcal{E} - \mathcal{F}$ .

Since  $O_r(E) \cap O_s(E) = 1$  for two distinct primes  $r, s$ ,  $E/O_t(E)$  lies in  $\mathcal{F}$  for at most one prime  $t$ . If  $s \neq t$ , then  $E/O_s(E) \in \mathcal{U} \cap \mathcal{E} - \mathcal{F}$ , so  $\eta' \subseteq \{t\}$ .

REMARK. In general, we cannot control the choice of  $G$  enough to be certain that there are no special primes. This is the basis for the example in § 6, and the reason behind

*Hypothesis II.* Let  $G = EM$  be a fixed element of minimal order in  $\mathcal{F} - \mathcal{E}$ . If  $r$  is any prime such that  $E/O_r(E)$  lies in  $\mathcal{F}$ , we assume that  $\mathcal{S}(r')$ , the formation of all  $r'$ -groups, is not contained in  $\mathcal{F}$ . (Such a prime does not necessarily exist.)

THEOREM 5.8. *Suppose  $\mathcal{E}$  and  $\mathcal{F}$  satisfy Hypotheses I and II. If  $\mathcal{E} \subset \mathcal{F}$ , then  $\mathcal{F} = \mathcal{S}$ , the collection of all solvable groups.*

*Proof.* Our first step is to show that  $\mathcal{U}$  contains the collection,  $\mathcal{S}(\eta)$ , of all solvable  $\eta$ -groups. By Lemma 5.5, the fact that  $\mathcal{N} \subseteq \mathcal{E} \subseteq \mathcal{F}$  shows that  $\mathcal{U}$  contains the collection of all nilpotent  $\eta$ -groups. Proceeding by induction, we assume that  $\mathcal{U}$  contains the collection,  $\mathcal{N}^i(\eta)$ , of all solvable  $\eta$ -groups of nilpotent length at most  $i$ . Since

$$\mathcal{N}^{i+1}(\eta) = \{G \in \mathcal{S} \mid G/F(G) \in \mathcal{N}^i(\eta)\},$$

$\mathcal{F}$  contains all solvable  $\eta$ -groups of nilpotent length at most  $i + 1$ .

Let  $G \in \mathcal{N}^{i+1}(\eta)$ , and  $F(G) = P_1 \times \cdots \times P_s$ , where  $P_i$  is the Sylow  $p_i$ -subgroup of  $F(G)$ . Set  $N_i = \prod_{k \neq i} P_k$ , and let  $R_i$  be the regular  $Z_{p_i}(G/N_i)$ -module for each  $i = 1, \dots, s$ . We allow  $G$  to act on the direct product  $R = R_1 \times \cdots \times R_s$  by conjugation according to the rule

$$(5.4) \quad (r_1 \times r_2 \times \cdots \times r_s)^g = r_1(N_1g) \times r_2(N_2g) \times \cdots \times r_s(N_sg).$$

Then we form the semi-direct product  $X = GR$ . By construction,  $N_i$  centralizes the  $p_i$ -group  $R_i$ , hence the group  $F(G)R$  is nilpotent. Since  $F(X)/R$  is a normal nilpotent subgroup of  $X/R$ , and  $X/R$  is

isomorphic to  $G$ ,  $F(X) \leq F(G)R$ . Therefore  $F(G)R$  is the Fitting subgroup of  $X$ , and  $X/F(X)$  is isomorphic to  $G/F(G)$ . Since  $G/F(G)$  lies in  $\mathcal{U}$ , it follows that  $X$  lies in  $\mathcal{F}$ .

For each  $i$ , set  $\bar{X}_i = X/N_i(\prod_{k \neq i} R_k)$ ,  $\bar{R}_i = N_i R/N_i(\prod_{k \neq i} R_k)$ , and  $\bar{G} = G(\prod_{k \neq i} R_k)/N_i(\prod_{k \neq i} R_k)$ . By modularity

$$G(\prod_{k \neq i} R_k) \cap N_i R = N_i(\prod_{k \neq i} R_k).$$

Thus  $\bar{X}_i$  is the semi-direct product of  $\bar{R}_i$  by  $\bar{G}_i$ , hence

$$C_{\bar{X}_i}(\bar{R}_i) = C_{\bar{G}_i}(\bar{R}_i)\bar{R}_i.$$

Because  $\bar{G}_i$  acts faithfully on  $\bar{R}_i$ , it follows that  $\bar{R}_i$  is a self-centralizing normal  $p_i$ -subgroup of  $\bar{X}_i$ . Therefore  $O_{p_i}(\bar{X}_i) = 1$ , so  $F(\bar{X}_i)$  is a  $p_i$ -group. But  $p_i$  lies in  $\eta$ , so by Lemma 5.5,  $\bar{X}_i$  is an element of  $\mathcal{U}$  for each  $i$ . Since the intersection of the groups  $N_i(\prod_{k \neq i} R_k)$  over all  $i$  is the identity,  $X$  is an element of  $\mathcal{U}$ . Therefore  $G$  lies in  $\mathcal{U}$ , and by induction it follows that  $\mathcal{S}(\eta) \subseteq \mathcal{U}$ .

By Lemma 5.7, if  $EM$  is the minimal element of  $\mathcal{F} - \mathcal{E}$  mentioned in Hypothesis II, then there is at most one prime  $r^*$  such that  $E/O_{r^*}(E)$  lies in  $\mathcal{F}$ , thus  $\eta$  contains  $(r^*)'$ . Therefore,

$$\mathcal{S}((r^*)') \subseteq \mathcal{S}(\eta) \subseteq \mathcal{U} \subseteq \mathcal{F}.$$

Suppose  $\mathcal{E}$  does not contain  $\mathcal{S}((r^*)')$ , and let  $G^* = E^*M^*$  be an element of minimal order in  $\mathcal{S}((r^*)') - \mathcal{E}$ . By Lemma 5.2,  $E^*$  is an element of  $\mathcal{U} \cap \mathcal{E} - \mathcal{F}$ , and since  $E^* \in \mathcal{S}((r^*)')$ ,  $O_{r^*}(E^*) = 1$ . Therefore  $\eta$  contains all primes.

Now suppose  $\mathcal{E}$  contains  $\mathcal{S}((r^*)')$ . By assumption  $\mathcal{F}$  does not contain  $\mathcal{S}((r^*)')$ , so we can choose  $H$  in  $\mathcal{S}((r^*)') \subseteq \mathcal{U}$ ,  $H$  is an element of  $\mathcal{U} \cap \mathcal{E} - \mathcal{F}$  with  $O_{r^*}(H) = 1$ . Therefore  $\eta$  contains all primes in every case, so we have

$$\mathcal{S} = \mathcal{S}(\eta) \subseteq \mathcal{U} \subseteq \mathcal{F} \subseteq \mathcal{S},$$

which completes the proof of Theorem 5.8.

**COROLLARY 5.9.** *Let  $\mathcal{N}^i$  be the collection of groups of nilpotent length at most  $i$ . Then  $\mathcal{N}^i$  is maximal with respect to the partial ordering  $\ll$ .*

*Proof.* If we set  $\mathcal{N}^0 = \{1\}$ , then for  $i \geq 1$ ,

$$\mathcal{N}^i = \{G \in \mathcal{S} \mid G/F(G) \in \mathcal{N}^{i-1}\}.$$

For each prime  $p$ ,  $\mathcal{S}(p')$  is not contained in  $\mathcal{N}^{i-1}$ , hence the hypothesis of Theorem 5.8 is satisfied. The result follows from

## Theorem 5.8.

6. An example. Let  $r$  be a prime. Throughout this section, we let  $\mathcal{R}$  be the formation of all group  $G$  such that  $G/F(G)$  is an  $r'$ -group. For each prime  $p$ , we set  $\mathcal{R}(p) = \mathcal{S}(r')$ ;  $\{\mathcal{R}(p)\}$  forms a local definition for  $\mathcal{R}$  because of Lemma 5.1. In this section, we shall characterize the formations which strongly contain  $\mathcal{R}$ . The formation  $\mathcal{R}$  provides an example which shows that Hypothesis II is not redundant.

LEMMA 6.1. *Let  $G$  be a group with Sylow  $r$ -subgroup  $R$ . Then  $N_G(R)$  is an  $R$ -subgroup of  $G$ .*

*Proof.* Clearly  $N_G(R)$  lies in  $\mathcal{R}$ . Suppose  $N_G(R) \leq U \leq G$ . We need to show  $N_G(R)$  covers  $U/R_{\mathcal{R}}$ . Clearly  $U_{\mathcal{R}}$  is the smallest normal subgroup of  $U$  whose factor group has a normal Sylow  $r$ -subgroup. If  $V$  is the smallest normal subgroup of  $U$  whose factor group  $U/V$  is an  $r'$ -group, then  $R \leq V$ , so  $V$  is transitive on the Sylow  $r$ -subgroups of  $U$ . Consequently  $N_G(R)V = U$ . Since  $R$  covers every  $r$ -section of  $U$ , it follows that  $N_G(R)$  covers  $U/U_{\mathcal{R}}$ . By definition,  $N_G(R)$  is an  $\mathcal{R}$ -subgroup of  $G$ .

Suppose  $\mathcal{F} \gg \mathcal{R}$ , and  $\mathcal{F} \supset \mathcal{R}$ . If  $\{\mathcal{F}(q)\}$  is the minimal local definition of  $\mathcal{F}$ , it follows from Theorem 5.3 that  $\mathcal{F}(q) = \mathcal{F}(s)$  for each  $q, s$ . We set  $\mathcal{U} = \mathcal{F}(q)$ . If  $H$  lies in  $\mathcal{U} \cap \mathcal{R}$ , then  $H$  has a normal Sylow  $r$ -subgroup, so  $H/O_r(H)$  lies in  $\mathcal{S}(r')$ . Therefore, Hypothesis II is violated for the prime  $r$ . It follows from Lemma 5.7 that  $r$  is the unique special prime associated with  $\mathcal{F}$  and  $\mathcal{R}$ . The next theorem gives a class of formations which strongly contain  $\mathcal{R}$ .

THEOREM 6.2. *Let  $\mathcal{F}$  be a nonempty formation. Let*

$$\mathcal{U} = \{G \in \mathcal{S} \mid G/O_{r'}(G) \in \mathcal{F}\},$$

*then  $\mathcal{U}$  is a formation. If*

$$\mathcal{F} = \{G \in \mathcal{S} \mid G/F(G) \in \mathcal{U}\},$$

*then  $\mathcal{F}$  strongly contains  $\mathcal{R}$ .*

*Proof.* Suppose  $G \in \mathcal{U}$ , and  $N \triangleleft G$ . Then  $O_{r'}(G)N/N \leq O_{r'}(G/N)$ . Since  $G/O_{r'}(G) \in \mathcal{F}$ , the same is true of  $(G/N)/O_{r'}(G/N)$ . Therefore  $G/N$  is an element of  $\mathcal{U}$ .

Now let  $N_1, N_2$  be two normal subgroups of  $G$  such that  $G/N_i$  lies in  $\mathcal{U}$  for each  $i$ . For each  $i$ , let  $M_i/N_i = O_{r'}(G/N_i)$ , then  $G/M_i$

lies in  $\mathcal{F}$  for each  $i$ . Since  $\mathcal{F}$  is a formation,  $G/M_1 \cap M_2$  is in  $\mathcal{F}$ . For each  $i$ ,  $(M_1 \cap M_2)N_i/N_i$  is an  $r'$ -group, so it follows that the factor group of  $G/N_1 \cap N_2$  by  $O_{r'}(G/N_1 \cap N_2)$  lies in  $\mathcal{F}$ . Therefore  $\mathcal{U}$  is a formation.

To show  $\mathcal{R} \ll \mathcal{F}$ , it is sufficient to show that  $\Phi(p) \subseteq \mathcal{U}$  for each prime  $p$ . Suppose  $G \in \Phi(r)$ , then  $G$  has a faithful irreducible  $Z_r(G)$ -module. This means that  $O_r(G) = 1$ . Since  $G$  lies in  $\mathcal{F}$ ,  $G/F(G)$  lies in  $\mathcal{U}$ . But  $F(G)$  is an  $r'$ -group, so it follows that  $G/O_{r'}(G)$  lies in  $\mathcal{F}$ . Therefore  $G$  lies in  $\mathcal{U}$ .

Suppose  $G \in \Phi(p)$  for  $p$  distinct from  $r$ . An  $\mathcal{R}$ -subgroup of  $G$  is  $N_G(R)$  where  $R$  is a Sylow  $r$ -subgroup of  $G$ . Since  $p \neq r$ ,  $O_p(N_G(R)_{\mathcal{F}(r')}) = R$ . Therefore  $G$  has a faithful irreducible  $Z_p(G)$ -module  $J$  such that  $1 < C_J(R) \leq J$ . By Lemma 3.1, either  $C_J(O_r(G)) = J$ , or it is the identity. The latter possibility cannot occur because  $1 < C_J(R) \leq C_J(O_r(G))$ . Therefore the fact that  $J$  is faithful says that  $O_r(G) = 1$ , so  $F(G)$  is an  $r'$ -group.  $G$  lies in  $\mathcal{F}$ , so the same argument that was used in the preceding paragraph shows that  $G/O_{r'}(G)$  is in  $\mathcal{F}$ . Therefore  $G \in \mathcal{U}$ . By Theorem 4.3,  $\mathcal{R}$  is strongly contained in  $\mathcal{F}$ .

Since our choice of  $\mathcal{F}$  is arbitrary, it follows that we can choose an infinite number of distinct formations which strongly contain  $\mathcal{R}$ . Our last theorem shows that we have actually found all formations which strongly contain  $\mathcal{R}$ .

**THEOREM 6.3.** *Suppose  $\mathcal{F} \gg \mathcal{R}$ , and  $\{\mathcal{F}(q)\}$  is the minimal local definition for  $\mathcal{F}$ . Then there is a nonempty formation  $\mathcal{I}$  such that*

$$\mathcal{F}(q) = \{G \in \mathcal{S} \mid G/O_{r'}(G) \in \mathcal{I}\}.$$

*Proof.* Suppose  $\mathcal{F} \supset \mathcal{R}$ . By Theorem 5.3, there is a formation  $\mathcal{U}$  such that  $\mathcal{F}(q) = \mathcal{U}$  for each  $q$ . Our first step is to show that  $\mathcal{U}$  is the smallest formation generated by the set  $\{H \in \mathcal{F} \mid O_r(H) = 1\}$ . Let  $\mathcal{U}^*$  be the smallest formation generated by this set.

Suppose  $H \in \mathcal{F}$ , and  $O_r(H) = 1$ . Let  $K = I_1 \dot{+} \cdots \dot{+} I_s$  be the decomposition of the regular  $Z_r(H)$ -module  $K$  into principal indecomposable submodules. By Lemmas 3.1, and 3.2, and the fact that  $F(H)$  is an  $r'$ -group, it follows that  $H$  acts faithfully on  $J = J_1 \dot{+} \cdots \dot{+} J_s$ , where for each  $k$ ,  $J_k$  is the quotient of  $I_k$  by its unique maximal submodule. For each  $k$ , set  $H_k = H/C_H(J_k)$ . Then  $J_k$  is a faithful irreducible  $Z_r(H_k)$ -module. If  $R_k$  is a Sylow  $r$ -subgroup of  $H_k$ , then  $N_{H_k}(R_k)$  is an  $\mathcal{R}$ -subgroup of  $H_k$ , and by definition, it follows that  $H_k$  lies in  $\Phi(r)$  for each  $k$ . Since  $\mathcal{R} \ll \mathcal{F}$ , we have  $H_k \in \mathcal{F}(r) = \mathcal{U}$ . Since  $H$  is faithful on  $J$ ,  $H$  lies in  $\mathcal{U}$ . We have

just shown that all generators of  $\mathcal{U}^*$  lie in  $\mathcal{U}$ , therefore  $\mathcal{U}^*$  is contained in  $\mathcal{U}$ . We know that  $\mathcal{U}$  is the smallest formation generated by  $\Phi(r)$ , from the proof of Theorem 5.3. Thus if we show  $\Phi(r) \subseteq \mathcal{U}^*$ , we have shown  $\mathcal{U} \subseteq \mathcal{U}^*$ . If  $G$  lies in  $\Phi(r)$ , then  $G$  has a faithful irreducible  $Z_r(G)$ -module, and  $G$  lies in  $\mathcal{F}$ . Then  $O_r(G) = 1$ , so by definition  $G$  lies in  $\mathcal{U}^*$ . This shows  $\mathcal{U} = \mathcal{U}^*$ .

Let  $\mathcal{F}$  be the smallest formation generated by the set  $\{H/O_{r'}(H) \mid H \in \mathcal{U}\}$ . Set  $\mathcal{U}' = \{G \in \mathcal{S} \mid G/O_{r'}(G) \in \mathcal{F}\}$ . We want to show  $\mathcal{U} = \mathcal{U}'$ . By construction  $\mathcal{U} \subseteq \mathcal{U}'$ .

Since the generators of  $\mathcal{F}$  are elements of  $\mathcal{U}$ , we must have  $\mathcal{F} \subseteq \mathcal{U}$ . Therefore, if  $G \in \mathcal{U}'$ , then  $G/O_{r'}(G)$  lies in  $\mathcal{U}$ . To show  $G$  lies in  $\mathcal{U}$ , we use induction on the nilpotent length of  $O_{r'}(G)$ . If  $O_{r'}(G)$  is nilpotent, then it follows that  $G/F(G)$  lies in  $\mathcal{U}$ . Thus  $G \in \mathcal{F}$ . By our first paragraph,  $G/O_r(G)$  lies in  $\mathcal{U}$ , so  $G$  also lies in  $\mathcal{U}$  since  $O_r(G) \cap O_{r'}(G) = 1$ .

We note that  $O_{r'}(G/F(O_{r'}(G))) = O_{r'}(G)/F(O_{r'}(G))$ , hence by induction, if  $G$  is in  $\mathcal{U}'$ , then  $G/F(O_{r'}(G))$  is in  $\mathcal{U}$ . Therefore  $G$  lies in  $\mathcal{F}$ . By our first paragraph  $G/O_r(G)$  is in  $\mathcal{U}$ , so once again it follows that  $G$  lies in  $\mathcal{U}$ . Therefore  $\mathcal{U} = \mathcal{U}'$ . This completes the proof in the case when  $\mathcal{R} \subset \mathcal{F}$ .

If  $\mathcal{R} = \mathcal{F}$ , we let  $\mathcal{F}$  be the formation consisting only of the identity. We must then show that  $\{\mathcal{R}(q)\}$  is the minimal local definition for  $\mathcal{R}$ .

Let  $\{\mathcal{R}^*(q)\}$  be the minimal local definition for  $\mathcal{R}$ . Suppose  $p$  is an arbitrary prime,  $G \in \mathcal{S}(r') = \mathcal{R}(p)$ , and  $t$  is a prime which does not divide  $rp \mid G \mid$ . Let  $K$  be the regular  $Z_t(G)$ -module. Set  $G^* = GK$ . Let  $K_1$  be the regular  $Z_p(G^*)$ -module. Let  $G' = G^*K_1$ . Since  $G$  acts faithfully on  $K$ , and  $G^*$  acts faithfully on  $K_1$ ,  $O_{p'p}(G') = K_1$ . Depending on the choice of  $p$ ,  $G'$  is either an  $r'$ -group, or has  $K_1$  as a normal Sylow  $r$ -subgroup. Therefore  $G' \in \mathcal{R}$ , hence  $G'/O_{p'p}(G') = G'/K_1$  lies in  $\mathcal{R}^*(p)$ . Therefore  $\mathcal{S}(r') \subseteq \mathcal{R}^*(p)$ . This completes the proof.

I would like to thank my advisor Professor Marshall Hall for his help and encouragement. In addition, I would like to thank Professor E. C. Dade for his help in this work.

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Received January 12, 1968. This paper is based on a thesis submitted to the California Institute of Technology.

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