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EXTENSIONS OF WILSON'S LEMMA AND THE AX-KATZ THEOREM

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ABSTRACT. A classical result of A. Fleck states that if p is a prime, and n>0 and r are integers, then

$$\sum_{k \equiv r \, (\text{mod } p)} \binom{n}{k} (-1)^k \equiv 0 \ (\text{mod } p^{\lfloor (n-1)/(p-1) \rfloor}).$$

In 2006 R. M. Wilson used Fleck's congruence and Weisman's extension to present a useful lemma on polynomials modulo prime powers, and applied this lemma to re-prove the Ax-Katz theorem on systems of polynomial equations over finite fields and deduce various results on codewords in p-ary linear codes with weights. In light of the generalizations of Fleck's congruence given by D. Wan, and D. M. Davis and Z.-W. Sun during 2006–2007, we obtain new extensions of Wilson's lemma and the Ax-Katz theorem.

1. Introduction

Let p be a prime, and let $n \in \mathbb{N} = \{0, 1, 2, \ldots\}$ and $r \in \mathbb{Z}$. In 1913 A. Fleck (cf. [4, p. 274]) proved that

$$\operatorname{ord}_{p}\left(\sum_{k\equiv r\,(\text{mod }p)}\binom{n}{k}(-1)^{k}\right) \geq \left\lfloor\frac{n-1}{p-1}\right\rfloor,\tag{1.1}$$

where $\lfloor \cdot \rfloor$ is the well-known floor function, and the *p*-adic order $\operatorname{ord}_p(\alpha)$ of a *p*-adic number α is given by $\sup\{a \in \mathbb{Z} : \alpha/p^a \in \mathbb{Z}_p\}$. (As usual \mathbb{Z}_p denotes the ring of *p*-adic integers in the *p*-adic field \mathbb{Q}_p .)

Let $a \in \mathbb{Z}^+ = \{1, 2, 3, \ldots\}$. In 1977, motivated by his study of *p*-adically continuous functions and unaware of Fleck's earlier result, C. S. Weisman [20] extended Fleck's inequality as follows:

$$\operatorname{ord}_{p}\left(\sum_{k\equiv r\,(\text{mod }p^{a})}\binom{n}{k}(-1)^{k}\right) \geq \left\lfloor\frac{n-p^{a-1}}{\varphi(p^{a})}\right\rfloor,\tag{1.2}$$

where φ is Euler's totient function. See also [14] for another proof of this.

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For a function f from the complex field \mathbb{C} to \mathbb{C} , let $\Delta^0 f(x) = f(x)$, $\Delta f(x) = f(x+1) - f(x)$ and $\Delta^n f(x) = \Delta(\Delta^{n-1} f(x))$ for $n = 2, 3, \ldots$ Now we recall a classical interpolation formula due to I. Newton and J. Gregory.

Newton-Gregory Interpolation Formula. Given a function $f : \mathbb{C} \to \mathbb{C}$, for any $d \in \mathbb{N}$ we have

$$f(x) = \sum_{n=0}^{d} c_n \binom{x}{n} + R_d(x),$$

where

$$c_n = \Delta^n f(0) = \sum_{k=0}^n \binom{n}{k} (-1)^{n-k} f(k)$$

and

$$R_d(x) = \begin{vmatrix} 1 & 0 & \cdots & 0 & f(0) \\ 1 & 1^1 & \cdots & 1^d & f(1) \\ \cdots & \cdots & \cdots & \cdots & \cdots \\ 1 & d^1 & \cdots & d^d & f(d) \\ 1 & x^1 & \cdots & x^d & f(x) \end{vmatrix} / \begin{vmatrix} 1^1 & 1^2 & \cdots & 1^d \\ 2^1 & 2^2 & \cdots & 2^d \\ \cdots & \cdots & \cdots & \cdots \\ d^1 & d^2 & \cdots & d^d \end{vmatrix}.$$

Note that the above $R_d(x)$ vanishes if f is a polynomial with deg $f \leq d$. In 2006 R. M. Wilson [21] rediscovered Weisman's (1.2) in the case $n \equiv p^{a-1} \pmod{\varphi(p^a)}$, and used it to obtain the following lemma (similar to the Newton-Gregory interpolation formula) and give many applications.

Wilson's Lemma. Let p be a prime, and let $a, b \in \mathbb{Z}^+$. Let f be an integer-valued function on the integers that is periodic modulo p^a . Then there exists a polynomial

$$w(x) = c_0 + c_1 x + c_2 {x \choose 2} + \dots + c_d {x \choose d} \quad (c_0, c_1, \dots, c_d \in \mathbb{Z})$$

of degree smaller than $b\varphi(p^a) + p^{a-1}$ such that

$$\operatorname{ord}_p(c_n) \ge \left| \frac{n - p^{a-1}}{\varphi(p^a)} \right| \quad \text{for all } n = 0, \dots, d,$$

and $w(x) \equiv f(x) \pmod{p^b}$ for all $x \in \mathbb{Z}$.

In this paper, for a prime p we let $\overline{\mathbb{Q}}_p$ be the algebraic closure of the field \mathbb{Q}_p and let $\overline{\mathbb{Z}}_p$ be the ring of p-adic algebraic integers in $\overline{\mathbb{Q}}_p$. For $m, n \in \mathbb{N}$ we use [m, n] to denote the set $\{x \in \mathbb{Z} : m \le x \le n\}$.

In view of the generalizations of Fleck's and Weisman's results given in [10, 18, 3, 13, 11, 15]), we are able to present the following further extension of Wilson's Lemma.

Theorem 1.1. Let p be a prime, and let $a \in \mathbb{N}$ and $b \in \mathbb{Z}^+$. Let $f(x) \in \overline{\mathbb{Q}}_p[x]$ with deg $f \leq l \in \mathbb{N}$ and $f(m) \in \overline{\mathbb{Z}}_p$ for all $m \in \mathbb{Z}$, and let g be a function from $[0, p^a - 1]$ to $\overline{\mathbb{Z}}_p$. Let $d \in \mathbb{N}$ be the maximal integer with $M_d < b$, where

$$M_d = \max\left\{ \left\lfloor \frac{d - lp^a - p^{a-1}}{\varphi(p^a)} \right\rfloor, \operatorname{ord}_p\left(\left\lfloor \frac{d}{p^{a-1}} \right\rfloor!\right) - \operatorname{ord}_p(l!) - \min\left\{l, \left\lfloor \frac{d}{p^a} \right\rfloor\right\} \right\}.$$

Then there exists a polynomial

$$P(x) = \sum_{n=0}^{d} c_n \binom{x}{n} \quad (c_0, \dots, c_d \in \overline{\mathbb{Z}}_p)$$
 (1.3)

with $\operatorname{ord}_{p}(c_{n}) \geq M_{n}$ for all $n = 0, \ldots, d$, such that

$$P(p^aq + r) \equiv f(q)g(r) \pmod{p^b}$$
 for all $q \in \mathbb{Z}$ and $r \in [0, p^a - 1]$. (1.4)

The following celebrated theorem (cf. C. Chevally [2], E. Warning [19] and Theorem 2.6 of M. B. Nathanson [9, pp. 50–51]) is well known and quite useful.

Chevalley-Warning Theorem. Let $f_1(x,...,x_n),...,f_m(x_1,...,x_n)$ be polynomials over a finite field F of characteristic p with $\deg f_1 + \cdots + \deg f_m < n$. Then the number of solutions to the system of equations

$$\begin{cases}
f_1(x_1, \dots, x_n) = 0, \\
\dots \\
f_m(x_1, \dots, x_n) = 0
\end{cases}$$
(1.5)

over F^n is a multiple of p.

Here is a further refinement of the Chevalley-Warning theorem due to J. Ax [1] in the case m = 1, and N. Katz [7] in the general case.

Ax-Katz Theorem. Let \mathbb{F}_q be the finite field with $q = p^a$ elements where p is a prime and $a \in \mathbb{Z}^+$. Let $f_1(x, \ldots, x_n), \ldots, f_m(x_1, \ldots, x_n)$ be nonzero polynomials over \mathbb{F}_q with degrees $d_1 \geq \ldots \geq d_m$ respectively. Then, for any positive integer b satisfying $n > (b-1)d_1 + (d_1 + \cdots + d_m)$, q^b divides the number of solutions to the system (1.5) over \mathbb{F}_q^n .

D. Wan [16, 17] gave a new proof of the Ax-Katz theorem via the Stickel-berger theorem. In 2005 X.-D. Hou [6] reduced the Ax-Katz theorem to the Ax theorem on a single polynomial equation. In 2006 Wilson [21] re-proved the Ax-Katz theorem for prime fields by using Wilson's Lemma.

With the help of Theorem 1.1, we establish the following theorem.

Theorem 1.2. Let p be a prime, and let $F_1(x), \ldots, F_m(x) \in \overline{\mathbb{Q}}_p[x]$ with $\deg F_k \leq l_k \in \mathbb{N}$ and $F_k(a) \in \overline{\mathbb{Z}}_p$ for all $a \in \mathbb{Z}$. Let $a_1, \ldots, a_m \in \mathbb{N}$, and let $f_1(x_1, \ldots, x_n), \ldots, f_m(x_1, \ldots, x_n)$ be nonzero polynomials with integer coefficients. Assume that $d_1\varphi(p^{a_1}) = \max_{1 \leq k \leq m} d_k\varphi(p^{a_k})$ where $d_k = \deg f_k$ for

 $k=1,\ldots,m.$ Let $b\in\mathbb{Z}^+$ and suppose that

$$n > (b-1) \max \left\{ \frac{d_1 \varphi(p^{a_1})}{p-1}, 1 \right\} + \frac{1}{p-1} \sum_{k=1}^{m} ((l_k + 1)p^{a_k} - [a_k \neq 0]) d_k, (1.6)$$

where $[a_k \neq 0]$ takes 1 or 0 according as $a_k \neq 0$ or not. Then

$$\sum_{\substack{x_1, \dots, x_n \in [0, p-1] \\ p^{a_k} | f_k(x_1, \dots, x_n) \text{ for all } k \in [1, m]}} \prod_{k=1}^m F_k\left(\frac{f_k(x_1, \dots, x_n)}{p^{a_k}}\right) \equiv 0 \pmod{p^b}.$$
 (1.7)

In the case $F_1(x) = \cdots = F_m(x) = 1$, Theorem 1.2 yields an extension of the Ax-Katz theorem for prime fields. In 1995 O. Moreno and C. J. Moreno [8] introduced a method to reduce the general case of the Ax-Katz theorem to the prime field case.

Corollary 1.1. Let $f_1(x_1, \ldots, x_n), \ldots, f_m(x_1, \ldots, x_n)$ be nonzero polynomials with integer coefficients having degrees $d_1 \geq \cdots \geq d_m$ respectively. If p is a prime, $a, b \in \mathbb{Z}^+, l_1, \ldots, l_m \in \mathbb{N}$ and

$$n > (b-1)d_1p^{a-1} + \frac{p^a - 1}{p-1} \sum_{k=1}^m d_k + \frac{p^a}{p-1} \sum_{k=1}^m l_k d_k, \tag{1.8}$$

then we have

$$\sum_{\substack{x_1, \dots, x_n \in [0, p-1] \\ p^a | f_k(x_1, \dots, x_n) \text{ for all } k \in [1, m]}} \prod_{k=1}^m \binom{f_k(x_1, \dots, x_n)/p^a}{l_k} \equiv 0 \pmod{p^b}.$$
 (1.9)

Proof. Just apply Theorem 1.2 with $a_k = a$ and $F_k(x) = \binom{x}{l_k}$ for $k = 1, \ldots, m$.

Let $q = p^a$ with p prime and $a \in \mathbb{Z}^+$, and let $\zeta_{q-1} \in \overline{\mathbb{Z}}_p$ be a primitive (q-1)-th roots of unity. It is well known that $\mathbb{Z}_p[\zeta_{q-1}]/(p)$ is a finite field of q elements. The finite field \mathbb{F}_q of $q = p^a$ elements is an extension of the prime field \mathbb{F}_p with $[\mathbb{F}_q : \mathbb{F}_p] = a$. Thus \mathbb{F}_q is isomorphic to \mathbb{F}_p^a and the Chevalley-Warning theorem can be reduced to the prime field case. Corollary 1.1 in the case a = b = 1 and $l_1 = \ldots = l_m = 0$ yields the Chevalley-Warning theorem for $\mathbb{F}_p = \mathbb{Z}/p\mathbb{Z}$ and hence the general case of the Chevalley-Warning theorem.

To end this section, we mention an open conjecture posed by the author in 2007 which also appeared in [12, Conjecture 40].

Conjecture 1.1. Let p be a prime, and let $l, n \in \mathbb{N}$ and $r \in \mathbb{Z}$. If n or r is not divisible by p, then we have

$$\operatorname{ord}_{p}\left(\sum_{k\equiv r \,(\text{mod }p)} \binom{n}{k} (-1)^{k} \binom{(k-r)/p}{l}\right)$$

$$\geq \left\lfloor \frac{n-lp-1}{p-1} \right\rfloor + \operatorname{ord}_{p}\left(\binom{\lfloor (n-l-1)/(p-1)\rfloor}{l}\right).$$

2. Proofs of Theorems 1.1 and 1.2

Lemma 2.1. Let p be a prime, and let $f(x) \in \overline{\mathbb{Q}}_p[x]$ with $\deg f \leq l \in \mathbb{N}$ and $f(m) \in \overline{\mathbb{Z}}_p$ for all $m \in \mathbb{Z}$. For any $a, n \in \mathbb{N}$ and $r \in \mathbb{Z}$, we have

$$\operatorname{ord}_{p}\left(\sum_{k\equiv r \,(\text{mod }p^{a})} \binom{n}{k} (-1)^{k} f\left(\frac{k-r}{p^{a}}\right)\right) \geq \left\lfloor \frac{n-lp^{a}-p^{a-1}}{\varphi(p^{a})} \right\rfloor \tag{2.1}$$

and

$$\operatorname{ord}_{p}\left(\sum_{k \equiv r \pmod{p^{a}}} \binom{n}{k} (-1)^{k} f\left(\frac{k-r}{p^{a}}\right)\right)$$

$$\geq \operatorname{ord}_{p}\left(\left\lfloor \frac{n}{p^{a-1}} \right\rfloor!\right) - \operatorname{ord}_{p}(l!) - \min\left\{l, \left\lfloor \frac{n}{p^{a}} \right\rfloor\right\}.$$
(2.2)

Proof. Let $c_j = \sum_{i=0}^j {j \choose i} (-1)^{j-i} f(i) \in \overline{\mathbb{Z}}_p$ for $j = 0, \dots, l$. As $\deg f \leq l$ and $f(x) - \sum_{j=0}^l c_j {x \choose j}$ vanishes at $0, \dots, l$, we have $f(x) = \sum_{j=0}^l c_j {x \choose j}$. So it suffices to consider the case $f(x) = {x \choose l}$ only.

If $a \in \mathbb{Z}^+$ then

$$O := \operatorname{ord}_p \left(\sum_{k=r \pmod{p^a}} \binom{n}{k} (-1)^k \binom{(k-r)/p^a}{l} \right) \ge \left\lfloor \frac{n - lp^a - p^{a-1}}{\varphi(p^a)} \right\rfloor$$

by D. Wan [18, Theorem 1.3] (see also [15] for a combinatorial proof). This is also true in the case a = 0, since

$$\sum_{k=0}^{n} \binom{n}{k} (-1)^k \binom{k-r}{l} = [l \ge n] (-1)^n \binom{-r}{l-n}$$

by a known identity (cf. [5, (5.24)]).

As $l!\binom{x}{l} \in \mathbb{Z}[x]$, by [3, Theorem 1.5] we have

$$O + \operatorname{ord}_p(l!) \ge \operatorname{ord}_p\left(\left\lfloor \frac{n}{p^a} \right\rfloor!\right) = \sum_{s=a+1}^{\infty} \left\lfloor \frac{n}{p^s} \right\rfloor = \operatorname{ord}_p\left(\left\lfloor \frac{n}{p^{a-1}} \right\rfloor!\right) - \left\lfloor \frac{n}{p^a} \right\rfloor.$$

By [13, Theorem 1.2], we also have

$$O \ge \operatorname{ord}_p\left(\left|\frac{n}{p^{a-1}}\right|!\right) - l - \operatorname{ord}_p(l!).$$

Combining the above we obtain both (2.1) and (2.2).

Proof of Theorem 1.1. Let $F(x) = f(\lfloor x/p^a \rfloor)g(\{x\}_{p^a})$ for $x \in \mathbb{Z}$, where $\{x\}_{p^a}$ denotes the least nonnegative residue of x modulo p^a . For

$$c_n := \sum_{k=0}^n \binom{n}{k} (-1)^{n-k} F(k)$$

$$= (-1)^n \sum_{r=0}^{p^a - 1} g(r) \sum_{k \equiv r \pmod{p^a}} \binom{n}{k} (-1)^k f\left(\frac{k - r}{p^a}\right),$$

we have $\operatorname{ord}_p(c_n) \geq M_n$ by Lemma 2.1. If n > d, then $\operatorname{ord}_p(c_n) \geq M_n \geq b$. Set $P(x) = \sum_{n=0}^d c_n \binom{x}{n}$. Then, for each $m \in \mathbb{N}$ we have

$$F(m) = \sum_{k=0}^{m} {m \choose k} F(k) (1-1)^{m-k} = \sum_{k=0}^{m} {m \choose k} F(k) \sum_{n=k}^{m} {m-k \choose n-k} (-1)^{n-k}$$

$$= \sum_{n=0}^{m} {m \choose n} \sum_{k=0}^{n} {n \choose k} (-1)^{n-k} F(k) = \sum_{n\in\mathbb{N}} {m \choose n} c_n$$

$$\equiv \sum_{n=0}^{d} {m \choose n} c_n = P(m) \pmod{p^b}.$$

Therefore $P(p^aq+r) \equiv F(p^aq+r) = f(q)g(r) \pmod{p^b}$ for all $q \in \mathbb{N}$ and $r \in [0, p^a - 1]$.

Choose $N \in \mathbb{N}$ such that $N - b \ge \operatorname{ord}_p(k)$ for all $k \in [1, \max\{d, l\}]$. For any $x \in \mathbb{Z}$ and $n \in [0, \max\{d, l\}]$, by the Chu-Vandermonde convolution identity (cf. [5, (5.27)]) we have

Therefore $P(x + p^N) \equiv P(x) \pmod{p^b}$ and $f(x + p^N) \equiv f(x) \pmod{p^b}$ for all $x \in \mathbb{Z}$. For $m = -p^a q + r$ with $q \in \mathbb{Z}^+$ and $r \in [0, p^a - 1]$, clearly $m + p^{a+q+N} \geq 0$ and hence

$$\begin{split} P(m) &\equiv P(m + p^{a+q+N}) \equiv F(m + p^{a+q+N}) \\ &\equiv f\left(\left\lfloor \frac{m}{p^a} \right\rfloor + p^{q+N}\right) g(\{m\}_{p^a}) \\ &\equiv f\left(\left\lfloor \frac{m}{p^a} \right\rfloor\right) g(\{m\}_{p^a}) = F(m) \pmod{p^b}. \end{split}$$

By the above, we do have $P(p^aq+r) \equiv F(p^aq+r) = f(q)g(r) \pmod{p^b}$ for all $q \in \mathbb{Z}$ and $r \in [0, p^a - 1]$.

Lemma 2.2. Let p be a prime, and let

$$F(x_1,\ldots,x_n) = \begin{pmatrix} f_1(x_1,\ldots,x_n) \\ j_1 \end{pmatrix} \cdots \begin{pmatrix} f_m(x_1,\ldots,x_n) \\ j_m \end{pmatrix},$$

where $j_k \in \mathbb{N}$ and $f_k(x_1, \ldots, x_n) \in \overline{\mathbb{Z}}_p[x_1, \ldots, x_n]$ for $k = 1, \ldots, m$. If the total degree of $F(x_1, \ldots, x_n)$ is smaller than (n-c+1)(p-1) for some $c \in \mathbb{N}$, then

$$\sum_{x_1, ..., x_n \in [0, p-1]} F(x_1, ..., x_n) \equiv 0 \text{ (mod } p^c).$$

Proof. See [21, Lemma 4] and its proof.

Proof of Theorem 1.2. Given $k \in [1, m]$, by Theorem 1.1 there is a polynomial

$$P_k(x) = \sum_{j=0}^{n_k} c_j^{(k)} {x \choose j} \quad (c_1^{(k)}, \dots, c_{n_k}^{(k)} \in \overline{\mathbb{Z}}_p)$$

such that

$$\operatorname{ord}_{p}(c_{j}^{(k)}) \ge \left| \frac{j - l_{k} p^{a_{k}} - p^{a_{k}-1}}{\varphi(p^{a_{k}})} \right|$$

for all $j = 0, \ldots, n_k$, and

$$P_k(x) \equiv \llbracket p^{a_k} \mid x \rrbracket F_k\left(\frac{x}{p^{a_k}}\right) \pmod{p^b}$$
 for all $x \in \mathbb{Z}$.

Therefore

$$\sum_{\substack{x_1, \dots, x_n \in [0, p-1] \\ p^{a_k} \mid f_k(x_1, \dots, x_n) \text{ for all } k \in [1, m]}} \prod_{k=1}^m F_k \left(\frac{f_k(x_1, \dots, x_n)}{p^{a_k}} \right)$$

$$\equiv \sum_{\substack{x_1, \dots, x_n \in [0, p-1] \\ x_1, \dots, x_n \in [0, p-1] \\ j_1 = 0}} \prod_{k=1}^m P_k(f_k(x_1, \dots, x_n))$$

$$\equiv \sum_{j_1 = 0}^{n_1} c_{j_1}^{(1)} \cdots \sum_{j_m = 0}^{n_m} c_{j_m}^{(m)} S(j_1, \dots, j_m) \pmod{p^b},$$

where

$$S(j_1, \dots, j_m) = \sum_{x_1, \dots, x_n \in [0, p-1]} \prod_{k=1}^m \binom{f_k(x_1, \dots, x_n)}{j_k}.$$

Fix $j_1 \in [0, n_1], \dots, j_m \in [0, n_m]$, and let

$$\alpha_k = \max\left\{ \left\lfloor \frac{j_k - l_k p^{a_k} - p^{a_k - 1}}{\varphi(p^{a_k})} \right\rfloor, 0 \right\} \quad \text{for } k = 1, \dots, m.$$

Then

$$\operatorname{ord}_p\left(c_{j_1}^{(1)}\cdots c_{j_m}^{(m)}\right) = \sum_{k=1}^m \operatorname{ord}_p\left(c_{j_k}^{(k)}\right) \ge \sum_{k=1}^m \alpha_k.$$

So it suffices to show that $\operatorname{ord}_p(S(j_1,\ldots,j_m)) \geq c = b - \sum_{k=1}^m \alpha_k$. Assume that c > 0. By the definition of α_k , we have $j_k - l_k p^{a_k} - p^{a_k-1} < (\alpha_k + 1)\varphi(p^{a_k})$ and hence

$$j_k \le l_k p^{a_k} + (\alpha_k + 1)\varphi(p^{a_k}) + [a_k \ne 0](p^{a_k-1} - 1).$$

Thus

$$\sum_{k=1}^{m} j_k d_k \leq \sum_{k=1}^{m} \left(l_k p^{a_k} + [a_k \neq 0] (p^{a_k-1} - 1) + (\alpha_k + 1) \varphi(p^{a_k}) \right) d_k$$

$$= \sum_{k=1}^{m} \left(l_k p^{a_k} + p^{a_k} - [a_k \neq 0] + \alpha_k \varphi(p^{a_k}) \right) d_k$$

$$\leq \sum_{k=1}^{m} \left((l_k + 1) p^{a_k} - [a_k \neq 0] \right) d_k + \varphi(p^{a_1}) d_1 \sum_{k=1}^{m} \alpha_k$$

and hence

$$\sum_{k=1}^{m} j_k d_k < n(p-1) - (b-1) \max \{ d_1 \varphi(p^{a_1}), p-1 \} + (b-c) d_1 \varphi(p^{a_1})$$

$$\leq n(p-1) - (c-1) \max \{ d_1 \varphi(p^{a_1}), p-1 \}.$$

Therefore

$$\deg \prod_{k=1}^{m} {f_k(x_1, \dots, x_n) \choose j_k} \le \sum_{k=1}^{m} j_k d_k < (p-1)(n-c+1)$$

and hence $S(j_1, \ldots, j_m) \equiv 0 \pmod{p^c}$ by Lemma 2.2. This concludes the proof.

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