

## Exponential sums for symplectic groups and their applications

by

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**1. Introduction.** Let  $\lambda$  be a nontrivial additive character of the finite field  $\mathbb{F}_q$ , and let  $r$  be a positive integer. Then we consider the exponential sum

$$(1.1) \quad \sum_{w \in \mathrm{Sp}(2n, q)} \lambda((\mathrm{tr} w)^r),$$

where  $\mathrm{Sp}(2n, q)$  is the symplectic group over  $\mathbb{F}_q$ , and  $\mathrm{tr} w$  is the trace of  $w$ . Also, we consider

$$(1.2) \quad \sum_{w \in \mathrm{GSp}(2n, q)} \lambda((\mathrm{tr} w)^r),$$

where  $\mathrm{GSp}(2n, q)$  denotes the symplectic similitude group over  $\mathbb{F}_q$ .

The main purpose of this paper is to find explicit expressions for the sums (1.1) and (1.2). It turns out that (1.1) is a polynomial in  $q$  times

$$(1.3) \quad \sum_{\gamma \in \mathbb{F}_q} \lambda(\gamma^r)$$

plus another polynomial in  $q$  involving certain exponential sums. On the other hand, the expression for (1.2) is similar to that for (1.1), except that the polynomial in  $q$  involving (1.3) is multiplied by  $q - 1$  and that the exponential sums appearing in the other polynomial in  $q$  are replaced by averages of those exponential sums.

In [8], the sums in (1.1) and (1.2) were studied for  $r = 1$  and the connection of the sum in (1.1) with Hodges' generalized Kloosterman sum over nonsingular alternating matrices was also investigated (cf. [4]–[6]). As the

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sum in (1.3) vanishes for  $r = 1$ , the polynomials involving (1.3) do not appear in that case. For  $r = 1$ , similar sums for other classical groups over a finite field have been considered ([7]–[14]).

The sums in (1.1) and (1.2) may be viewed as generalizations to the symplectic group case of the sum in (1.3), which was considered by several authors ([1]–[3]).

Another purpose of this paper is to find formulas for the number of elements  $w$  in  $\mathrm{Sp}(2n, q)$  and  $\mathrm{GSp}(2n, q)$  with  $\mathrm{tr} w = \beta$ , for each  $\beta \in \mathbb{F}_q$ . Although we derive those expressions from (5.2) based on a well-known principle, they can also be obtained from the expressions for (1.1) and (1.2) by specializing them to the  $r = q - 1$  and  $r = 1$  cases.

We now state the main results of this paper. For some notations here, one is referred to the next section.

**THEOREM A.** *The sum  $\sum_{w \in \mathrm{Sp}(2n, q)} \lambda((\mathrm{tr} w)^r)$  equals*

$$f(q) \sum_{\gamma \in \mathbb{F}_q} \lambda(\gamma^r)$$

plus

$$(1.4) \quad q^{n^2-1} \sum_{b=0}^{\lfloor n/2 \rfloor} q^{b(b+1)} \begin{bmatrix} n \\ 2b \end{bmatrix}_q \prod_{j=1}^b (q^{2j-1} - 1) \\ \times \sum_{l=1}^{\lfloor (n-2b+2)/2 \rfloor} q^l MK_{n-2b+2-2l}(\lambda^r; 1, 1) \sum_{\nu=1}^{l-1} \prod_{\nu=1}^{l-1} (q^{j_\nu-2\nu} - 1)$$

with

$$(1.5) \quad f(q) = q^{n^2-1} \left\{ \prod_{j=1}^n (q^{2j} - 1) - \sum_{b=0}^{\lfloor n/2 \rfloor} q^{b(b+1)} \begin{bmatrix} n \\ 2b \end{bmatrix}_q \prod_{j=1}^b (q^{2j-1} - 1) \right. \\ \left. \times \sum_{l=1}^{\lfloor (n-2b+2)/2 \rfloor} q^{l-1} (q-1)^{n-2b+2-2l} \sum_{\nu=1}^{l-1} \prod_{\nu=1}^{l-1} (q^{j_\nu-2\nu} - 1) \right\},$$

where both unspecified sums in (1.4) and (1.5) run over the same set of integers  $j_1, \dots, j_{l-1}$  satisfying  $2l - 1 \leq j_{l-1} \leq \dots \leq j_1 \leq n - 2b + 1$ , and  $MK_m(\lambda^r; a, b) = MK_m(\lambda^r; a, b; 0)$  is the exponential sum defined in (3.16) and (3.17) (cf. (3.19)).

**THEOREM B.** *With  $f(q)$  as in (1.5), the sum  $\sum_{w \in \mathrm{GSp}(2n, q)} \lambda((\mathrm{tr} w)^r)$  is given by*

$$(q - 1)f(q) \sum_{\gamma \in \mathbb{F}_q} \lambda(\gamma^r)$$

plus the expression in (1.4) with  $MK_{n-2b+2-2l}(\lambda^r; 1, 1)$  replaced by the average

$$\sum_{\alpha \in \mathbb{F}_q} MK_{n-2b+2-2l}(\lambda^r; \alpha, 1).$$

**THEOREM C.** For each  $\beta \in \mathbb{F}_q$ , the number  $N_{\text{Sp}(2n, q)}(\beta)$  of  $w \in \text{Sp}(2n, q)$  with  $\text{tr } w = \beta$  is given by

$$q^{n^2-1} \prod_{j=1}^n (q^{2j} - 1)$$

plus

$$\begin{aligned} & q^{n^2-1} \sum_{b=0}^{\lfloor n/2 \rfloor} q^{b(b+1)} \begin{bmatrix} n \\ 2b \end{bmatrix}_q \prod_{j=1}^b (q^{2j-1} - 1) \\ & \times \sum_{l=1}^{\lfloor (n-2b+2)/2 \rfloor} q^l (\delta(n-2b+2-2l, q; \beta) - q^{-1}(q-1)^{n-2b+2-2l}) \\ & \times \sum_{\nu=1}^{l-1} \prod_{\nu=1}^{l-1} (q^{j_\nu-2\nu} - 1), \end{aligned}$$

where the innermost sum runs over the same set of integers as in (1.4), and  $\delta(m, q; \beta)$  is as in (5.4) and (5.5).

**THEOREM D.** For each  $\beta \in \mathbb{F}_q$ , the number  $N_{\text{GSp}(2n, q)}(\beta)$  of  $w \in \text{GSp}(2n, q)$  with  $\text{tr } w = \beta$  is given by

$$\begin{cases} (q-1)q^{n^2-1} \prod_{j=1}^n (q^{2j} - 1) - q^{-1} \sum_{w \in \text{GSp}(2n, q)} \lambda(\text{tr } w) & \text{if } \beta \neq 0, \\ (q-1)q^{n^2-1} \prod_{j=1}^n (q^{2j} - 1) + q^{-1}(q-1) \sum_{w \in \text{GSp}(2n, q)} \lambda(\text{tr } w) & \text{if } \beta = 0, \end{cases}$$

where  $\lambda$  is any nontrivial additive character of  $\mathbb{F}_q$  as before and the last sum is the expression in Theorem B with  $r = 1$  (cf. (5.9)).

Theorems A, B, C and D are respectively stated below as Theorems 4.2, 4.1, 5.2 and 5.3.

**2. Preliminaries.** In this section, we fix some notations and gather some elementary facts that will be used in the sequel.

Let  $\mathbb{F}_q$  denote the finite field with  $q$  elements,  $q = p^d$  ( $p$  a prime,  $d$  a positive integer). Let  $\lambda$  be an additive character of  $\mathbb{F}_q$ . Then  $\lambda = \lambda_a$  for a

unique  $a \in \mathbb{F}_q$ , where, for  $\gamma \in \mathbb{F}_q$ ,

$$(2.1) \quad \lambda_a(\gamma) = \exp \left\{ \frac{2\pi i}{p} (a\gamma + (a\gamma)^p + \dots + (a\gamma)^{p^{d-1}}) \right\}.$$

It is nontrivial if  $a \neq 0$ .

In the following,  $\text{tr } A$  denotes the trace of  $A$  for a square matrix  $A$ , and  ${}^tB$  denotes the transpose of  $B$  for any matrix  $B$ .

Let  $\text{GL}(n, q)$  denote the group of all invertible  $n \times n$  matrices with entries in  $\mathbb{F}_q$ . The order of  $\text{GL}(n, q)$  equals

$$(2.2) \quad g_n = \prod_{j=0}^{n-1} (q^n - q^j) = q^{\binom{n}{2}} \prod_{j=1}^n (q^j - 1).$$

$\text{Sp}(2n, q)$  is the symplectic group over  $\mathbb{F}_q$  defined by

$$\text{Sp}(2n, q) = \{w \in \text{GL}(2n, q) \mid {}^t w J w = J\},$$

where

$$(2.3) \quad J = \begin{bmatrix} 0 & 1_n \\ -1_n & 0 \end{bmatrix}.$$

As is well known,

$$(2.4) \quad |\text{Sp}(2n, q)| = q^{n^2} \prod_{j=1}^n (q^{2j} - 1).$$

$P(2n, q)$  indicates the maximal parabolic subgroup of  $\text{Sp}(2n, q)$  given by

$$(2.5) \quad P(2n, q) = \left\{ \begin{bmatrix} A & 0 \\ 0 & {}^t A^{-1} \end{bmatrix} \begin{bmatrix} 1_n & B \\ 0 & 1_n \end{bmatrix} \in \text{Sp}(2n, q) \mid \begin{array}{l} A \in \text{GL}(n, q), \\ {}^t B = B \end{array} \right\}.$$

The Bruhat decomposition of  $\text{Sp}(2n, q)$  with respect to  $P(2n, q)$  can be expressed as a disjoint union of right cosets of  $P = P(2n, q)$ :

$$(2.6) \quad \text{Sp}(2n, q) = \bigsqcup_{b=0}^n P\sigma_b(A_b \backslash P),$$

where

$$(2.7) \quad A_b = A_b(q) = \{w \in P(2n, q) \mid \sigma_b w \sigma_b^{-1} \in P(2n, q)\},$$

$$(2.8) \quad \sigma_b = \begin{bmatrix} 0 & 0 & 1_b & 0 \\ 0 & 1_{n-b} & 0 & 0 \\ -1_b & 0 & 0 & 0 \\ 0 & 0 & 0 & 1_{n-b} \end{bmatrix}.$$

From (3.10) and (5.7) of [8] (cf. (2.17)),

$$(2.9) \quad |A_b(q) \backslash P(2n, q)| = q^{\binom{b+1}{2}} \begin{bmatrix} n \\ b \end{bmatrix}_q,$$

and the number  $a_b$  of all  $b \times b$  nonsingular alternating matrices over  $\mathbb{F}_q$ , for each positive integer  $b$ , is given by

$$(2.10) \quad a_b = \begin{cases} q^{(b/2)(b/2-1)} \prod_{i=1}^{b/2} (q^{2i-1} - 1) & \text{if } b \text{ is even,} \\ 0 & \text{if } b \text{ is odd.} \end{cases}$$

$\mathrm{GSp}(2n, q)$  denotes the symplectic similitude group over  $\mathbb{F}_q$  given by

$$\mathrm{GSp}(2n, q) = \{w \in \mathrm{GL}(2n, q) \mid {}^t w J w = \alpha(w) J \text{ for some } \alpha(w) \in \mathbb{F}_q^\times\},$$

where  $J$  is as in (2.3). We have

$$(2.11) \quad |\mathrm{GSp}(2n, q)| = (q - 1)q^{n^2} \prod_{j=1}^n (q^{2j} - 1).$$

$Q(2n, q)$  is the maximal parabolic subgroup of  $\mathrm{GSp}(2n, q)$  defined by

$$(2.12) \quad Q(2n, q) = \left\{ \begin{bmatrix} A & 0 \\ 0 & \alpha {}^t A^{-1} \end{bmatrix} \begin{bmatrix} 1_n & B \\ 0 & 1_n \end{bmatrix} \mid \begin{array}{l} A \in \mathrm{GL}(n, q), \\ \alpha \in \mathbb{F}_q^\times, {}^t B = B \end{array} \right\}.$$

The decomposition in (2.6) can be modified to give

$$(2.13) \quad \mathrm{GSp}(2n, q) = \prod_{b=0}^n Q\sigma_b(A_b \backslash P),$$

where  $Q = Q(2n, q)$  is as in (2.12).

We recall the following theorem from [17, Theorem 5.30]. For a nontrivial additive character  $\lambda$  of  $\mathbb{F}_q$  and a positive integer  $r$ ,

$$(2.14) \quad \sum_{\gamma \in \mathbb{F}_q} \lambda(\gamma^r) = \sum_{j=1}^{e-1} G(\psi^j, \lambda)$$

where  $\psi$  is a multiplicative character of  $\mathbb{F}_q$  of order  $e = (r, q-1)$  and  $G(\psi^j, \lambda)$  is the usual Gauss sum given by

$$(2.15) \quad G(\psi^j, \lambda) = \sum_{\gamma \in \mathbb{F}_q^\times} \psi^j(\gamma) \lambda(\gamma).$$

For a nontrivial additive character  $\lambda$  of  $\mathbb{F}_q$  and  $a, b \in \mathbb{F}_q$ , the usual Kloosterman sum is given by

$$(2.16) \quad K(\lambda; a, b) = \sum_{\gamma \in \mathbb{F}_q^\times} \lambda(a\gamma + b\gamma^{-1}).$$

We put, for integers  $n, b$  with  $0 \leq b \leq n$ ,

$$(2.17) \quad \begin{bmatrix} n \\ b \end{bmatrix}_q = \prod_{j=0}^{b-1} (q^{n-j} - 1) / (q^{b-j} - 1),$$

and put

$$(x; q)_n = (1 - x)(1 - xq) \dots (1 - xq^{n-1}),$$

for  $x$  an indeterminate and  $n$  a nonnegative integer. Then the  $q$ -binomial theorem says

$$(2.18) \quad \sum_{b=0}^n \begin{bmatrix} n \\ b \end{bmatrix}_q (-1)^b q^{\binom{b}{2}} x^b = (x; q)_n.$$

Finally, for a real number  $x$ ,  $[x]$  denotes the greatest integer  $\leq x$ .

**3. Certain exponential sums.** For a nontrivial additive character  $\lambda$  of  $\mathbb{F}_q$ ,  $r$  a positive integer, and for  $a, b \in \mathbb{F}_q$ , we define

$$(3.1) \quad K_{\text{GL}(t,q)}(\lambda^r; a, b) := \sum_{w \in \text{GL}(t,q)} \lambda((a \operatorname{tr} w + b \operatorname{tr} w^{-1})^r).$$

In [8], this sum was defined for  $r = 1$  and its explicit expression in that case was derived.

As mentioned in (4.4)–(4.6) of [8] and (3.3)–(3.5) of [7], we have the following decomposition:

$$(3.2) \quad \text{GL}(t, q) = P(t - 1, 1; q) \coprod P(t - 1, 1; q) \sigma(B(t, q) \backslash P(t - 1, 1; q)),$$

where

$$P(t-1, 1; q) = \left\{ \begin{bmatrix} A & B \\ 0 & d \end{bmatrix} \in \text{GL}(t, q) \mid \begin{array}{l} A, B, d \text{ are respectively of sizes} \\ (t-1) \times (t-1), (t-1) \times 1, 1 \times 1 \end{array} \right\},$$

$$B(t, q) = \{w \in P(t - 1, 1; q) \mid \sigma w \sigma^{-1} \in P(t - 1, 1; q)\},$$

$$\sigma = \begin{bmatrix} 0 & 0 & 1 \\ 0 & 1_{t-2} & 0 \\ -1 & 0 & 0 \end{bmatrix}.$$

A recursive relation for (3.1) can be obtained by using an argument similar to that in Section 4 of [8]. For this, we need to consider a sum which is slightly more general than (3.1). Namely, for  $\alpha \in \mathbb{F}_q^\times$ ,  $\beta \in \mathbb{F}_q$ , we define

$$(3.3) \quad K_{\text{GL}(t,q)}(\lambda^r; \alpha, 1; \beta) := \sum_{w \in \text{GL}(t,q)} \lambda((\alpha \operatorname{tr} w + \operatorname{tr} w^{-1} + \beta)^r).$$

Note that for  $\alpha = ab$  ( $a, b \in \mathbb{F}_q^\times$ ) and  $\beta = 0$ , this is the same as (3.1).

The sum in (3.3) can be written, in view of (3.2), as

$$(3.4) \quad K_{\text{GL}(t,q)}(\lambda^r; \alpha, 1; \beta) = \sum \lambda((\alpha \operatorname{tr} w + \operatorname{tr} w^{-1} + \beta)^r) + |B(t, q) \backslash P(t - 1, 1; q)| \sum \lambda((\alpha \operatorname{tr} w \sigma + \operatorname{tr} (w \sigma)^{-1} + \beta)^r),$$

where both sums are over  $w \in P(t-1, 1; q)$ . Here one must observe that, for each  $h \in P(t-1, 1; q)$ ,

$$\begin{aligned} \sum_{w \in P(t-1, 1; q)} \lambda((\alpha \operatorname{tr} w \sigma h + \operatorname{tr} (w \sigma h)^{-1} + \beta)^r) \\ &= \sum_{w \in P(t-1, 1; q)} \lambda((\alpha \operatorname{tr} h w \sigma + \operatorname{tr} (h w \sigma)^{-1} + \beta)^r) \\ &= \sum_{w \in P(t-1, 1; q)} \lambda((\alpha \operatorname{tr} w \sigma + \operatorname{tr} (w \sigma)^{-1} + \beta)^r). \end{aligned}$$

The first sum in (3.4) is

$$\begin{aligned} (3.5) \quad \sum_{A, B, d} \lambda((\alpha \operatorname{tr} A + \operatorname{tr} A^{-1} + \alpha d + d^{-1} + \beta)^r) \\ = q^{t-1} \sum_{d \in \mathbb{F}_q^\times} K_{\mathrm{GL}(t-1, q)}(\lambda^r; \alpha, 1; \alpha d + d^{-1} + \beta), \end{aligned}$$

where we use the form, with  $A$  of size  $(t-1) \times (t-1)$ ,  $d$  of size  $1 \times 1$ , etc.,

$$w = \begin{bmatrix} A & B \\ 0 & d \end{bmatrix} \in P(t-1, 1; q).$$

Write  $w \in P(t-1, 1; q)$  as

$$(3.6) \quad w = \begin{bmatrix} A_{11} & A_{12} & B_1 \\ A_{21} & A_{22} & B_2 \\ 0 & 0 & d \end{bmatrix}, \quad \begin{bmatrix} A_{11} & A_{12} \\ A_{21} & A_{22} \end{bmatrix}^{-1} = \begin{bmatrix} E_{11} & E_{12} \\ E_{21} & E_{22} \end{bmatrix},$$

where  $A_{11}, E_{11}, d$  are of size  $1 \times 1$ , and  $A_{22}, E_{22}$  are of size  $(t-2) \times (t-2)$ , etc. Then the second sum in (3.4) is

$$(3.7) \quad \sum \lambda((-\alpha B_1 + \alpha \operatorname{tr} A_{22} + \operatorname{tr} E_{22} - d^{-1} E_{11} B_1 - d^{-1} E_{12} B_2 + \beta)^r),$$

where the sum is over all  $A_{11}, A_{12}, A_{21}, A_{22}, B_1, B_2, d$ .

We separate the sum in (3.7) into the one with  $A_{12} \neq 0$  and the other with  $A_{12} = 0$ . Note that  $A_{12} = 0$  if and only if  $E_{12} = 0$ .

The subsum of (3.7) with  $A_{12} \neq 0$  is

$$(3.8) \quad \sum_{\substack{A \text{ with } A_{12} \neq 0 \\ B_1, d}} \sum_{B_2} \lambda((-\alpha B_1 + \alpha \operatorname{tr} A_{22} + \operatorname{tr} E_{22} - d^{-1} E_{11} B_1 \\ - d^{-1} E_{12} B_2 + \beta)^r).$$

Fix  $A$  with  $A_{12} \neq 0, B_1, d$ . Write  $E_{12} = [\alpha_1 \dots \alpha_{t-2}]$ ,  $B_2 = {}^t[\beta_1 \dots \beta_{t-2}]$ . Then  $\alpha_k \neq 0$  for some  $k$  ( $1 \leq k \leq t-2$ ).

Noting that, for  $a \in \mathbb{F}_q^\times$  and  $b \in \mathbb{F}_q$ ,

$$\sum_{\gamma \in \mathbb{F}_q} \lambda((a\gamma + b)^r) = \sum_{\gamma \in \mathbb{F}_q} \lambda(\gamma^r),$$

we see that the inner sum of (3.8) equals

$$(3.9) \quad \sum_{\substack{\text{all } \beta_i \\ \text{with } i \neq k}} \sum_{\beta_k} \lambda((-d^{-1}\alpha_k\beta_k + \dots)^r) = q^{t-3} \sum_{\gamma \in \mathbb{F}_q} \lambda(\gamma^r).$$

Combining (3.8) and (3.9), we see that the subsum of (3.7) with  $A_{12} \neq 0$  is

$$(3.10) \quad (g_{t-1} - (q-1)q^{t-2}g_{t-2})q^{t-2}(q-1) \sum_{\gamma \in \mathbb{F}_q} \lambda(\gamma^r).$$

The subsum of (3.7) with  $A_{12} = 0$  is

$$(3.11) \quad \sum \lambda((-\alpha + d^{-1}A_{11}^{-1})B_1 + \alpha \operatorname{tr} A_{22} + \operatorname{tr} A_{22}^{-1} + \beta)^r),$$

where the sum is over  $A = \begin{bmatrix} A_{11} & 0 \\ A_{21} & A_{22} \end{bmatrix}$ ,  $B = \begin{bmatrix} B_1 \\ B_2 \end{bmatrix}$ ,  $d$ .

Again, we separate the sum (3.11) into two subsums according as  $\alpha + d^{-1}A_{11}^{-1} \neq 0$  or  $\alpha + d^{-1}A_{11}^{-1} = 0$ .

Assume that  $\alpha + d^{-1}A_{11}^{-1} \neq 0$ , i.e.,  $d \neq -\alpha^{-1}A_{11}^{-1}$ . Proceeding just as when we were dealing with (3.8), we see that the subsum of (3.11) with  $d \neq -\alpha^{-1}A_{11}^{-1}$  is

$$(3.12) \quad (q-1)(q-2)q^{2t-4}g_{t-2} \sum_{\gamma \in \mathbb{F}_q} \lambda(\gamma^r).$$

On the other hand, it is easy to see that the subsum of (3.11) with  $d = -\alpha^{-1}A_{11}^{-1}$  equals

$$(3.13) \quad (q-1)q^{2t-3}K_{\text{GL}(t-2,q)}(\lambda^r; \alpha, 1; \beta).$$

As noted in (4.12) of [8],

$$(3.14) \quad |B(t, q) \setminus P(t-1, 1; q)| = q(q^{t-1} - 1)/(q-1).$$

From (2.2), (3.4), (3.5), (3.10)–(3.14), we get the following recursive relation.

LEMMA 3.1. *Let  $K_{\text{GL}(t,q)}(\lambda^r; \alpha, 1; \beta)$  be the sum defined by (3.3). Then, for integers  $t \geq 2$ ,  $\alpha \in \mathbb{F}_q^\times$  and  $\beta \in \mathbb{F}_q$ ,*



$$\begin{aligned}
 (3.15) \quad & K_{\text{GL}(t,q)}(\lambda^r; \alpha, 1; \beta) \\
 &= q^{\binom{t}{2}}(q^{t-1} - 2) \prod_{j=1}^{t-1} (q^j - 1) \sum_{\gamma \in \mathbb{F}_q} \lambda(\gamma^r) \\
 &\quad + q^{2t-2}(q^{t-1} - 1) K_{\text{GL}(t-2,q)}(\lambda^r; \alpha, 1; \beta) \\
 &\quad + q^{t-1} \sum_{\gamma \in \mathbb{F}_q^\times} K_{\text{GL}(t-1,q)}(\lambda^r; \alpha, 1; \alpha\gamma + \gamma^{-1} + \beta).
 \end{aligned}$$

Here we understand that  $K_{\text{GL}(0,q)}(\lambda^r; \alpha, 1; \beta) = \lambda(\beta^r)$ .

For a nontrivial additive character  $\lambda$ ,  $a, b, c \in \mathbb{F}_q$ , and a positive integer  $r$ , we define the exponential sum  $MK_m(\lambda^r; a, b; c)$  as

$$\begin{aligned}
 (3.16) \quad & MK_m(\lambda^r; a, b; c) \\
 &= \sum_{\gamma_1, \dots, \gamma_m \in \mathbb{F}_q^\times} \lambda((a\gamma_1 + b\gamma_1^{-1} + \dots + a\gamma_m + b\gamma_m^{-1} + c)^r)
 \end{aligned}$$

for  $m \geq 1$ , and

$$(3.17) \quad MK_0(\lambda^r; a, b; c) = \lambda(c^r).$$

Note that, for  $r = 1$ ,

$$(3.18) \quad MK_m(\lambda; a, b, c) = \lambda(c)K(\lambda; a, b)^m,$$

with  $K(\lambda; a, b)$  the usual Kloosterman sum as in (2.16).

If  $c = 0$ , then for brevity, we write

$$(3.19) \quad MK_m(\lambda^r; a, b) = MK_m(\lambda^r; a, b; 0).$$

From the recursive relation in (3.15), one can prove the following theorem by induction on  $t$ .

**THEOREM 3.2.** *For a nontrivial additive character  $\lambda$ , integers  $t, r \geq 1$ , and for  $\alpha \in \mathbb{F}_q^\times$  and  $\beta \in \mathbb{F}_q$ , the exponential sum  $K_{\text{GL}(t,q)}(\lambda^r; \alpha, 1; \beta)$  defined by (3.3) is*

$$\begin{aligned}
 (3.20) \quad & K_{\text{GL}(t,q)}(\lambda^r; \alpha, 1; \beta) \\
 &= q^{(t+1)(t-2)/2} \\
 &\quad \times \left\{ \prod_{j=1}^t (q^j - 1) - \sum_{l=1}^{[(t+2)/2]} q^{l-1}(q-1)^{t+2-2l} \sum_{\nu=1}^{l-1} \prod_{\nu=1}^{l-1} (q^{j_\nu-2\nu} - 1) \right\} \\
 &\quad \times \sum_{\gamma \in \mathbb{F}_q} \lambda(\gamma^r) \\
 &\quad + q^{(t+1)(t-2)/2} \sum_{l=1}^{[(t+2)/2]} q^l MK_{t+2-2l}(\lambda^r; \alpha, 1; \beta) \sum_{\nu=1}^{l-1} \prod_{\nu=1}^{l-1} (q^{j_\nu-2\nu} - 1),
 \end{aligned}$$

where both unspecified sums are over all integers  $j_1, \dots, j_{l-1}$  satisfying  $2l - 1 \leq j_{l-1} \leq j_{l-2} \leq \dots \leq j_1 \leq t + 1$ . Here we adopt the convention that the unspecified sums are 1 for  $l = 1$ .

**4. Main theorems.** In this section, we consider the sum in (1.2),

$$\sum_{w \in \text{GSp}(2n, q)} \lambda((\text{tr } w)^r),$$

for any nontrivial additive character  $\lambda$  of  $\mathbb{F}_q$  and any positive integer  $r$ , and find an explicit expression for it by using the decomposition in (2.13). An explicit expression for the similar sum over  $\text{Sp}(2n, q)$  will then follow by a simple observation.

The sum in (1.2) can be written, using (2.13), as

$$(4.1) \quad \sum_{b=0}^n |A_b \backslash P| \sum_{w \in Q} \lambda((\text{tr } w \sigma_b)^r),$$

where  $P = P(2n, q), Q = Q(2n, q), A_b = A_b(q), \sigma_b$  are respectively as in (2.5), (2.12), (2.7), (2.8).

Here one has to observe that, for each  $h \in P$ ,

$$\sum_{w \in Q} \lambda((\text{tr } w \sigma_b h)^r) = \sum_{w \in Q} \lambda((\text{tr } h w \sigma_b)^r) = \sum_{w \in Q} \lambda((\text{tr } w \sigma_b)^r).$$

Write  $w \in Q$  as

$$(4.2) \quad w = \begin{bmatrix} 1_n & 0 \\ 0 & \alpha 1_n \end{bmatrix} \begin{bmatrix} A & 0 \\ 0 & {}^t A^{-1} \end{bmatrix} \begin{bmatrix} 1_n & B \\ 0 & 1_n \end{bmatrix}$$

with

$$(4.3) \quad A = \begin{bmatrix} A_{11} & A_{12} \\ A_{21} & A_{22} \end{bmatrix}, \quad {}^t A^{-1} = \begin{bmatrix} E_{11} & E_{12} \\ E_{21} & E_{22} \end{bmatrix}, \quad B = \begin{bmatrix} B_{11} & B_{12} \\ {}^t B_{12} & B_{22} \end{bmatrix},$$

$${}^t B_{11} = B_{11}, \quad {}^t B_{22} = B_{22}.$$

Here  $A_{11}, A_{12}, A_{21}, A_{22}$  are respectively of sizes  $b \times b, b \times (n - b), (n - b) \times b, (n - b) \times (n - b)$ , and similarly for  ${}^t A^{-1}, B$ . Then

$$(4.4) \quad \sum_{w \in Q} \lambda((\text{tr } w \sigma_b)^r)$$

$$(4.5) \quad = \sum \lambda((- \text{tr } A_{11} B_{11} - \text{tr } A_{12} {}^t B_{12} + \text{tr } A_{22} + \alpha \text{tr } E_{22})^r),$$

where the sum is over  $A, B_{11}, B_{12}, B_{22}, \alpha$ , and  $B_{11}, B_{22}$  are subject to the conditions in (4.3).

Consider the sum in (4.5) first for the case  $1 \leq b \leq n - 1$  so that  $A_{12}$  does appear. We separate the sum into two subsums, with  $A_{12} \neq 0$  and

with  $A_{12} = 0$ ; the latter will be further divided into two subsums, with  $A_{11}$  alternating or not. So the sum in (4.5) is

$$(4.6) \quad \sum_{A_{12} \neq 0} \dots + \sum_{\substack{A_{12}=0 \\ A_{11} \text{ not alternating}}} \dots + \sum_{\substack{A_{12}=0 \\ A_{11} \text{ alternating}}} \dots$$

The first sum in (4.6) is

$$(4.7) \quad q^{\binom{n-b+1}{2}} \times \sum_{\substack{A \text{ with } A_{12} \neq 0 \\ B_{11}, \alpha}} \sum_{B_{12}} \lambda((- \operatorname{tr} A_{11} B_{11} - \operatorname{tr} A_{12} {}^t B_{12} + \operatorname{tr} A_{22} + \alpha \operatorname{tr} E_{22})^r).$$

The inner sum of (4.7) can be treated just as that of (3.8), so that it equals

$$(4.8) \quad q^{b(n-b)-1} \sum_{\gamma \in \mathbb{F}_q} \lambda(\gamma^r).$$

Combining (4.7) and (4.8), we see that the first sum of (4.6) equals

$$(4.9) \quad (q-1)q^{(n-1)(n+2)/2} (g_n - g_b g_{n-b} q^{b(n-b)}) \sum_{\gamma \in \mathbb{F}_q} \lambda(\gamma^r).$$

The subsum of (4.5) with  $A_{12} = 0$  is

$$(4.10) \quad \sum_{A_{21}, B_{12}, B_{22}} \sum_{A_{11}, A_{22}, B_{11}, \alpha} \lambda((- \operatorname{tr} A_{11} B_{11} + \operatorname{tr} A_{22} + \alpha \operatorname{tr} A_{22}^{-1})^r) \\ = q^{\binom{n-b+1}{2} + 2b(n-b)} \times \sum_{A_{11}, A_{22}, B_{11}, \alpha} \lambda((- \operatorname{tr} A_{11} B_{11} + \operatorname{tr} A_{22} + \alpha \operatorname{tr} A_{22}^{-1})^r).$$

Write  $A_{11} = (\alpha_{ij})$  and  $B_{11} = (\beta_{ij})$ . Then  $\operatorname{tr} A_{11} B_{11} = \sum_{1 \leq i \leq j \leq b} \gamma_{ij} \beta_{ij}$ , where

$$\gamma_{ij} = \begin{cases} \alpha_{ii} & \text{if } i = j, \\ \alpha_{ij} + \alpha_{ji} & \text{if } i < j. \end{cases}$$

So  $A_{11}$  is alternating if and only if  $\gamma_{ij} = 0$  for all  $1 \leq i \leq j \leq b$ .

The subsum of the sum in (4.10) with  $A_{11}$  not alternating is

$$(4.11) \quad \sum_{\substack{A_{11} \text{ not alternating} \\ A_{22}, \alpha}} \sum_{B_{11}} \lambda((- \operatorname{tr} A_{11} B_{11} + \operatorname{tr} A_{22} + \alpha \operatorname{tr} A_{22}^{-1})^r).$$

As  $A_{11}$  is not alternating,  $\gamma_{st} \neq 0$  for some  $s, t$ . By the same argument as in the case of (3.8), we see that the inner sum of (4.11) equals

$$(4.12) \quad q^{\binom{b+1}{2}-1} \sum_{\gamma \in \mathbb{F}_q} \lambda(\gamma^r).$$

Combining (4.10)–(4.12) shows that the middle sum in (4.6) is

$$(4.13) \quad (q-1)q^{(n-1)(n+2)/2}q^{b(n-b)}g_{n-b}(g_b-a_b)\sum_{\gamma \in \mathbb{F}_q}\lambda(\gamma^r),$$

where  $a_b$  denotes the number of all  $b \times b$  nonsingular alternating matrices over  $\mathbb{F}_q$  for each positive integer  $b$ .

The subsum of (4.10) with  $A_{11}$  alternating is

$$(4.14) \quad \sum_{\substack{A_{11} \text{ alternating} \\ B_{11}}} \sum_{\alpha} \sum_{A_{22}} \lambda((\text{tr } A_{22} + \alpha \text{ tr } A_{22}^{-1})^r) \\ = a_b q^{\binom{b+1}{2}} \sum_{\alpha \in \mathbb{F}_q^\times} K_{\text{GL}(n-b,q)}(\lambda^r; \alpha, 1),$$

where  $K_{\text{GL}(n-b,q)}(\lambda^r; \alpha, 1)$  is as in (3.1). Combining (4.10) and (4.14), we see that the last sum in (4.6) is

$$(4.15) \quad q^{(n-1)(n+2)/2}q^{b(n-b)+1}a_b \sum_{\alpha \in \mathbb{F}_q^\times} K_{\text{GL}(n-b,q)}(\lambda^r; \alpha, 1).$$

Adding up (4.9), (4.13), and (4.15), we have shown that, for each  $1 \leq b \leq n-1$ , the sum in (4.4) is

$$(4.16) \quad q^{(n-1)(n+2)/2} \left\{ (q-1)(g_n - q^{b(n-b)}g_{n-b}a_b) \sum_{\gamma \in \mathbb{F}_q} \lambda(\gamma^r) \right. \\ \left. + q^{b(n-b)+1}a_b \sum_{\alpha \in \mathbb{F}_q^\times} K_{\text{GL}(n-b,q)}(\lambda^r; \alpha, 1) \right\}.$$

Next, we consider the sum in (4.4) for  $b = n$ , which is given by

$$(4.17) \quad \sum_{w \in Q} \lambda((- \text{tr } AB)^r)$$

with  $w$  as in (4.2). Just as when we were dealing with the subsum of (4.5) with  $A_{12} = 0$ , we separate the sum in (4.17) into the one with  $A$  alternating and the other with  $A$  not alternating. Proceeding as above, we see that (4.17) equals

$$(4.18) \quad (q-1)q^{(n-1)(n+2)/2} \left\{ (g_n - a_n) \sum_{\gamma \in \mathbb{F}_q} \lambda(\gamma^r) + qa_n \right\}.$$

So if we agree that  $g_0 = 1, K_{\text{GL}(0,q)}(\lambda^r; \alpha, 1) = 1$  then this is just (4.16) for  $b = n$ . Observe that  $g_0 = 1$  is natural in view of the formula in (2.2). Further,  $K_{\text{GL}(0,q)}(\lambda^r; \alpha, 1) = 1$  is equivalent to saying that  $MK_0(\lambda^r; \alpha, 1) = 1$  (cf. (3.19)), which is consistent with our convention in (3.17).

Finally, the sum in (4.4) for  $b = 0$  is given by

$$(4.19) \quad \sum_{w \in Q} \lambda((\text{tr } A + \alpha \text{ tr } A^{-1})^r) = q^{\binom{n+1}{2}} \sum_{\alpha \in \mathbb{F}_q^\times} K_{\text{GL}(n,q)}(\lambda^r; \alpha, 1),$$

again with  $w$  as in (4.2). This agrees with (4.16) for  $b = 0$  if we understand that  $a_0 = 1$ . Here again  $a_0 = 1$  is natural in view of the formula in (2.10).

Putting everything together, we have shown so far that the sum in (4.1) can be written as

$$(4.20) \quad (q-1)q^{(n-1)(n+2)/2} \left\{ \sum_{b=0}^n |A_b \backslash P|(g_n - q^{b(n-b)} g_{n-b} a_b) \right\} \sum_{\gamma \in \mathbb{F}_q} \lambda(\gamma^r) \\ + q^{\binom{n+1}{2}} \sum_{b=0}^n |A_b \backslash P| q^{b(n-b)} a_b \sum_{\alpha \in \mathbb{F}_q^\times} K_{\text{GL}(n-b,q)}(\lambda^r; \alpha, 1).$$

From (2.2), (2.9), (2.10), (2.14), (2.15), (2.18) and from the explicit expression of  $K_{\text{GL}(t,q)}(\lambda^r; \alpha, 1)$  in (3.20) with  $\beta = 0$  (cf. (3.19)), we have the following theorem.

**THEOREM 4.1.** *For any nontrivial additive character  $\lambda$  of  $\mathbb{F}_q$  and any positive integer  $r$ , the exponential sum*

$$\sum_{w \in \text{GSp}(2n,q)} \lambda((\text{tr } w)^r)$$

is given by

$$(4.21) \quad (q-1)q^{n^2-1} \left\{ \prod_{j=1}^n (q^{2j} - 1) - \sum_{b=0}^{[n/2]} q^{b(b+1)} \begin{bmatrix} n \\ 2b \end{bmatrix}_q \prod_{j=1}^b (q^{2j-1} - 1) \right. \\ \times \left. \sum_{l=1}^{[(n-2b+2)/2]} q^{l-1} (q-1)^{n-2b+2-2l} \sum_{\nu=1}^{l-1} \prod_{\nu=1}^{l-1} (q^{j_\nu-2\nu} - 1) \right\} \sum_{j=1}^{e-1} G(\psi^j, \lambda) \\ + q^{n^2-1} \sum_{b=0}^{[n/2]} q^{b(b+1)} \begin{bmatrix} n \\ 2b \end{bmatrix}_q \prod_{j=1}^b (q^{2j-1} - 1) \\ \times \sum_{l=1}^{[(n-2b+2)/2]} q^l \sum_{\alpha \in \mathbb{F}_q^\times} MK_{n-2b+2-2l}(\lambda^r; \alpha, 1) \sum_{\nu=1}^{l-1} \prod_{\nu=1}^{l-1} (q^{j_\nu-2\nu} - 1),$$

where both unspecified sums run over the same set of integers  $j_1, \dots, j_{l-1}$  satisfying  $2l-1 \leq j_{l-1} \leq \dots \leq j_1 \leq n-2b+1$ ,  $\psi$  is a multiplicative character of  $\mathbb{F}_q$  of order  $e = (r, q-1)$ , and  $MK_m(\lambda^r; \alpha, 1)$  is the exponential sum defined in (3.16), (3.17) (cf. (3.18), (3.19)).

As, with  $d_\alpha = \begin{bmatrix} 1_n & 0 \\ 0 & \alpha 1_n \end{bmatrix}$ ,

$$\mathrm{GSp}(2n, q) = \prod_{\alpha \in \mathbb{F}_q^\times} d_\alpha \mathrm{Sp}(2n, q),$$

we see that the sum  $\sum_{w \in \mathrm{Sp}(2n, q)} \lambda((\mathrm{tr} w)^r)$  in (1.1) is the same as the expression in (4.21), except that the foremost term  $q - 1$  does not appear and that  $\sum_{\alpha \in \mathbb{F}_q^\times} MK_{n-2b+2-2l}(\lambda^r; \alpha, 1)$  is replaced by  $MK_{n-2b+2-2l}(\lambda^r; 1, 1)$ .

**THEOREM 4.2.** *For any nontrivial additive character  $\lambda$  of  $\mathbb{F}_q$  and any positive integer  $r$ , the exponential sum*

$$\sum_{w \in \mathrm{Sp}(2n, q)} \lambda((\mathrm{tr} w)^r)$$

is given by

$$\begin{aligned} (4.22) \quad & q^{n^2-1} \left\{ \prod_{j=1}^n (q^{2j} - 1) - \sum_{b=0}^{\lfloor n/2 \rfloor} q^{b(b+1)} \begin{bmatrix} n \\ 2b \end{bmatrix}_q \prod_{j=1}^b (q^{2j-1} - 1) \right. \\ & \times \sum_{l=1}^{\lfloor (n-2b+2)/2 \rfloor} q^{l-1} (q-1)^{n-2b+2-2l} \sum_{\nu=1}^{l-1} \prod_{\nu=1}^{l-1} (q^{j_\nu-2\nu} - 1) \left. \right\} \sum_{j=1}^{e-1} G(\psi^j, \lambda) \\ & + q^{n^2-1} \sum_{b=0}^{\lfloor n/2 \rfloor} q^{b(b+1)} \begin{bmatrix} n \\ 2b \end{bmatrix}_q \prod_{j=1}^b (q^{2j-1} - 1) \\ & \times \sum_{l=1}^{\lfloor (n-2b+2)/2 \rfloor} q^l MK_{n-2b+2-2l}(\lambda^r; 1, 1) \sum_{\nu=1}^{l-1} \prod_{\nu=1}^{l-1} (q^{j_\nu-2\nu} - 1), \end{aligned}$$

where both unspecified sums,  $\psi$ , and  $MK_m(\lambda^r; 1, 1)$  are as in Theorem 4.1.

**REMARK.** If  $r = 1$ , then Theorems 4.1 and 4.2 reduce respectively to Theorem 5.3 with  $\chi$  trivial and Theorem 5.4 in [8].

**5. Applications to certain countings.** If  $G(q)$  is one of the finite classical groups over  $\mathbb{F}_q$ , then, for each  $\beta \in \mathbb{F}_q$ , we put

$$(5.1) \quad N_{G(q)}(\beta) = |\{w \in G(q) \mid \mathrm{tr} w = \beta\}|.$$

As applications, we will derive formulas for (5.1) in the case of  $G(q) = \mathrm{Sp}(2n, q)$  and  $\mathrm{GSp}(2n, q)$ .

For  $\lambda$  a nontrivial additive character of  $\mathbb{F}_q$ , we have

$$(5.2) \quad qN_{G(q)}(\beta) = |G(q)| + \sum_{\alpha \in \mathbb{F}_q^\times} \lambda(-\beta\alpha) \sum_{w \in G(q)} \lambda(\alpha \mathrm{tr} w).$$

Also, the following lemma can easily be proved.

LEMMA 5.1. *Let  $\lambda$  be a nontrivial additive character of  $\mathbb{F}_q$ ,  $\beta \in \mathbb{F}_q$ , and let  $m$  be a nonnegative integer. Then*

$$(5.3) \quad \sum_{\alpha \in \mathbb{F}_q^\times} \lambda(-\beta\alpha)K(\lambda; \alpha, \alpha)^m = q\delta(m, q; \beta) - (q - 1)^m,$$

where, for  $m \geq 1$ ,

$$(5.4) \quad \delta(m, q; \beta) = |\{(\alpha_1, \dots, \alpha_m) \in (\mathbb{F}_q^\times)^m \mid \alpha_1 + \alpha_1^{-1} + \dots + \alpha_m + \alpha_m^{-1} = \beta\}|$$

and

$$(5.5) \quad \delta(0, q; \beta) = \begin{cases} 1 & \text{if } \beta = 0, \\ 0 & \text{otherwise.} \end{cases}$$

Observe that an explicit expression of  $\sum_{w \in \text{Sp}(2n, q)} \lambda(\alpha \text{tr } w)$  for  $\alpha \in \mathbb{F}_q^\times$  is given by [8, Theorem 5.4] with  $K(\lambda; 1, 1)$  replaced by  $K(\lambda; \alpha, \alpha)$ . Now, this observation combined with (2.4), (5.2), (5.3) yields the following theorem.

THEOREM 5.2. *For each  $\beta \in \mathbb{F}_q$ , the number  $N_{\text{Sp}(2n, q)}(\beta)$ , defined in (5.1) with  $G(q) = \text{Sp}(2n, q)$ , is given by*

$$(5.6) \quad q^{n^2-1} \prod_{j=1}^n (q^{2j} - 1) + q^{n^2-1} \sum_{b=0}^{\lfloor n/2 \rfloor} q^{b(b+1)} \begin{bmatrix} n \\ 2b \end{bmatrix}_q \prod_{j=1}^b (q^{2j-1} - 1) \times \sum_{l=1}^{\lfloor (n-2b+2)/2 \rfloor} q^l (\delta(n - 2b + 2 - 2l, q; \beta) - q^{-1}(q - 1)^{n-2b+2-2l}) \times \sum_{\nu=1}^{l-1} \prod_{\nu=1}^{l-1} (q^{j_\nu-2\nu} - 1),$$

where the innermost sum is over all integers  $j_1, \dots, j_{l-1}$  satisfying  $2l - 1 \leq j_{l-1} \leq \dots \leq j_1 \leq n - 2b + 1$ , and  $\delta(m, q; \beta)$  is defined as in (5.4) and (5.5).

As  $\alpha \text{GSp}(2n, q) = \text{GSp}(2n, q)$  for any  $\alpha \in \mathbb{F}_q^\times$ , we see from (5.2) that

$$(5.7) \quad N_{\text{GSp}(2n, q)}(\beta) = q^{-1} |\text{GSp}(2n, q)| + q^{-1} \sum_{w \in \text{GSp}(2n, q)} \lambda(\text{tr } w) \sum_{\alpha \in \mathbb{F}_q^\times} \lambda(-\beta\alpha).$$

So we get the following theorem from (2.11), (5.7), and [8, Theorem 5.3].

THEOREM 5.3. For each  $\beta \in \mathbb{F}_q$ , the number  $N_{\text{GSp}(2n,q)}(\beta)$  is given by

$$(5.8) \quad \begin{cases} (q-1)q^{n^2-1} \prod_{j=1}^n (q^{2j}-1) - q^{-1} \sum_{w \in \text{GSp}(2n,q)} \lambda(\text{tr } w) & \text{if } \beta \neq 0, \\ (q-1)q^{n^2-1} \prod_{j=1}^n (q^{2j}-1) + q^{-1}(q-1) \sum_{w \in \text{GSp}(2n,q)} \lambda(\text{tr } w) & \text{otherwise,} \end{cases}$$

where

$$(5.9) \quad \begin{aligned} & \sum_{w \in \text{GSp}(2n,q)} \lambda(\text{tr } w) \\ &= q^{n^2-1} \sum_{b=0}^{\lfloor n/2 \rfloor} q^{b(b+1)} \begin{bmatrix} n \\ 2b \end{bmatrix}_q \prod_{j=1}^b (q^{2j-1}-1) \\ & \quad \times \sum_{l=1}^{\lfloor (n-2b+2)/2 \rfloor} q^l \sum_{\alpha \in \mathbb{F}_q^\times} K(\lambda; \alpha, 1)^{n-2b+2-2l} \sum_{\nu=1}^{l-1} \prod_{\nu=1}^{l-1} (q^{j_\nu-2\nu}-1). \end{aligned}$$

Here the innermost sum is over all integers  $j_1, \dots, j_{l-1}$  satisfying  $2l-1 \leq j_{l-1} \leq \dots \leq j_1 \leq n-2b+1$ .

REMARK. As we remarked in [8], the following average of  $t$ th powers of Kloosterman sums, appearing in (5.9),

$$\sum_{\alpha \in \mathbb{F}_q^\times} K(\lambda; \alpha, 1)^t$$

was studied by some authors [15], [16], [18].

In particular, it can be shown that, for any nontrivial additive character  $\lambda$  of  $\mathbb{F}_q$ , we have

$$\sum_{\alpha \in \mathbb{F}_q^\times} K(\lambda; \alpha, 1)^t = \sum_{\alpha \in \mathbb{F}_q^\times} K(\lambda_1; \alpha, 1)^t,$$

and, for  $t \geq 1$ ,

$$(5.10) \quad \sum_{\alpha \in \mathbb{F}_q^\times} K(\lambda_1; \alpha, 1)^t = q^2 M_{t-1} - (q-1)^{t-1} + 2(-1)^{t-1},$$

where  $M_t$  is the number of  $\alpha_1, \dots, \alpha_t \in \mathbb{F}_q^\times$  satisfying  $\alpha_1 + \dots + \alpha_t = 1$  and  $\alpha_1^{-1} + \dots + \alpha_t^{-1} = 1$  for  $t \geq 1$ ,  $M_0 = 0$ , and  $\lambda_1$  is as in (2.1).

In [18], Salié showed (5.10) under the assumption that  $q$  is an odd prime. However, this assumption is not necessary and it holds true for any  $q$ .



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